Annex

to HSE Directive

No. 6.18.1-01/0812-04,

dated December 8, 2017

Approved

by HSE Academic Council

Minutes No. 11, dated November 24, 2017

with amendments approved by HSE Academic Council

Minutes No. 13, dated December 22, 2017, and enacted by HSE Directive No. 6.18.1-01/1201-12, dated January 12, 2018

**Regulations for Academic Bonuses**

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

1. **GENERAL PROVISIONS**

1.1. These Regulations for Academic Bonuses of National Research University Higher School of Economics (hereafter, the “Regulations”, the “University”, or “HSE”) set forth the general terms for academic bonus awards offered to researchers, faculty members and other staff employed at National Research University Higher School of Economics (hereafter, “HSE”, or the “University”) and its regional campuses, who are engaged in teaching activities at HSE campus in Moscow and the University’s regional campuses.

1.2. These Regulations aim at ensuring transparency in the decision-making process relating to the allocation of funds, open access to information and provision of equal opportunities for potential recipients of academic bonuses.

1.3. Definitions of key terms used in these Regulations:

1.3.1. an affiliation refers to the institutional attribution of a publication’s author;

1.3.2. a person applying for an academic bonus (hereafter, the “applicant”) refers to an applicant for an academic bonus;

1.3.3. academic merit pay is awarded to teachers, researchers and other staff members of HSE and its regional campuses engaged in teaching activities at HSE and its regional campuses as an incentive to encourage high levels of academic performance.

1.3.4. the Academic Bonus Committee (hereafter, the “|Committee”) is a collective body, which makes decisions on academic bonus awards and other matters, pursuant to these Regulations;

1.3.5. a monograph is a specialized work of writing, which discusses a given subject in detail, usually written by a single author or several co-authors. The name of the author (or co-authors) of a monograph must be identified on its cover, title page and overleaf. As a rule, a monograph must contain information about at least 2 (two) reviewers, who hold academic degrees, and whose names should be specified in the details of the monograph. The only exception may include monographs issued by international publishers.

a collective monograph refers to a research paper featuring research on a given problem and written by co-authors in conjunction while working on an institutional project, which may be officially proved by a reference to a grant, jointly conducted research seminars, and other evidence of respective teamwork. A chapter (section) may be written by a single author, or in co-authorship, but all chapters (sections) must be dedicated to a common topic. A collective monograph differs from a collection of research papers in terms of a consistent presentation of materials dedicated to a common idea, topic or concept, along with a common introduction, conclusion, findings and source base. A collective monograph must have a publishing editor;

1.3.6. a research paper means a completed work, which describes the results of original scientific research (hereafter, an “article”) or reviews previous publications on a common topic (hereafter, a “review”) and is published in a scientific journal;

1.3.7. a scientific publication means a publication containing a reference to (at least 2 (two)) reviewers in the dateline;

1.3.8. a scientific journal means a journal comprised of articles and materials concerning theoretical and empirical studies, as well as articles and materials of an applied nature, prepared in the interests of researchers. A scientific journal is a periodical published on at least a semi-annual basis. It should contain peer-reviewed articles, which must be consistent with academic standards and formatting requirements;

1.3.9. a published review refers to a publication in a scientific journal presented as an expert commentary on a previously published paper;

1.3.10. a revised edition refers to an edition reproducing a text, which was changed in full or in part as compared with a previous edition. Publications comprising at least 30% new text shall be considered independent publications as per these Regulations;

1.3.11. a publication means a published paper. Publications may include texts published in hard copy or electronically, which have an ISBN, ISSN or UDC (Library) identifier, as well as respective reviewers, an editor and proofreader. A publication may also have a predefined circulation requirement, depending on the publication type;

1.3.12. a collection of academic papers (or collection of research articles) refers to a collection produced by an educational institution or academic society, including research teams. Under these Regulations, an annual collection shall be comparable to a collection of academic papers,

1.3.13. a co-author is a person who has provided creative input in the production of a research paper in conjunction with a person who is an applicant for an academic bonus which is specified in the bibliographic description of the given publication[[1]](#footnote-2). HSE staff (including persons working under terms of external secondary employment), as well as persons other than HSE staff, may act as co-authors;

1.3.14. a stereotype edition is an edition of a publication that is reprinted without any changes;

1.3.15. a coursebook is an officially approved edition, which consistently describes a discipline, or its related sections and parts in line with a relevant educational programme, as well as contains information about (at least 2 (two)) reviewers; the contents of a coursebook must describe the methods applied in the acquisition and application of competencies in any particular field, the methodological grounds of underlying laws and patterns for activities and development within a relevant field of study or practical area, as well as any relevant key challenges and the most important development trends. If a coursebook is comprised of several parts (volumes), all volumes shall be regarded as one and the same publication. If the first part (volume) has been previously presented for an academic bonus, the second and subsequent parts (volumes) shall not be eligible for an academic bonus.

1.3.16. a study guide is an officially approved edition, which supplements or partially or fully replaces a coursebook and contains information about (at least (2) two) reviewers; a study guide is usually issued as a supplement to a coursebook and may cover one or several parts of the given study course, rather than the entire course. For the purposes of these Regulations the following study guides shall not be eligible for academic bonus: teaching and learning materials, educational and visual aids, workbooks, anthologies, self-study books, practical assignments, educational publications and reference books (dictionaries and glossaries), educational programmes, collections of tests (assignments, tests, Olympiad competition assignments, etc.), collections of problems, collections of lectures, etc. In case there are several parts (volumes), the entire publication shall be taken into consideration, rather than its individual parts (volumes). If the first part (volume) has previously been presented for academic merit pay, the second and subsequent parts (volumes) shall not be eligible for an academic bonus;

1.3.17. the Office of Academic Research (hereafter, “OAR”) is the HSE subdivision responsible for organizing the application process and receipt of applications, as well as providing support with respect to the Committee’s organizational and technical operations;

1.3.18. the Office for Research Evaluation (hereafter, “ORE”) is the HSE subdivision responsible for organizing expert reviews, including the production of expert reviews, selecting, accrediting and organizing expert activities, as well as summarizing materials with respect to reviews based on expert opinion.

1.4. All publications submitted electronically in order to apply for an academic bonus, as well as editions where such works are published, shall be checked for compliance with academic ethical principles. Information on any detected cases of borrowings, groundless quotations (including self-quotations), non-compliance with editorial and expert procedures and standards that are generally acceptable in the global academic community, shall be referred for consideration to the Academic Ethics Committee under the HSE Academic Council (hereafter, the “Academic Ethics Committee”).

Applicants shall be responsible for the accuracy of information that they provide with respect to publications and authorship. In case false information is provided, the Academic Bonus Committee may deprive the applicant of his/her right to receive academic bonus award and take part in competitions held by the HSE Academic Fund Programme for a period of 5 (five) years.

1.5. These Regulations and any amendments hereto shall be approved by the HSE Academic Council.

1. **TYPES OF ACADEMIC BONUS AWARDS**

2.1. Funds for academic bonus awards are fixed in the HSE’s budget as an individual expenditure item and shall be disbursed for the following types of academic bonus awards:

2.1.1. academic work bonus (Tier 1);

2.1.2. bonus for outstanding academic performance and contributions to HSE’s academic reputation (Tier 2);

2.1.3. bonus for publications in international peer-reviewed scientific journals (Tier 3);

2.1.4. the HSE Rector’s academic bonus award.

2.2. Applicants eligible for several types of academic bonus awards at the same time may only be granted 1 (one) award of those specified in pp. 2.1.1-2.1.4.

2.3. The size of academic bonus at HSE and its regional campuses shall be fixed annually as per a directive of the University’s Rector.

1. **ACADEMIC RESULTS**

3.1. Academic results shall be assessed on the basis of the given applicant’s publications produced over 2 (two) calendar years preceding the year of evaluation. These publications must satisfy the eligibility criteria specified in Annex 1 to the HSE Regulations for Staff Research Productivity Assessments in 2018[[2]](#footnote-3). The year specified in a bibliographical description shall be regarded as the year of publication, rather than the actual year of publication or submission for publication.

3.2. The following types of publications are eligible for academic bonus awards:

3.2.1. monographs;

3.2.2. legal commentaries;

3.2.3. coursebooks and study guides;

3.2.4. chapters/sections in monographs and legal commentaries;

3.2.5. chapters/sections in coursebooks and study guides;

3.2.6. articles in collections of research papers;

3.2.7. research articles and reviews in scientific journals (both Russian and international), as well as peer-reviewed electronic scientific journals;

3.2.8. articles in collections of conference papers;

3.2.9. published reviews of articles in scientific journals.

3.3. The following papers are deemed equivalent to academic results:

3.3.1. publications of primary sources used by historians for the first time[[3]](#footnote-4);

3.3.2. publication of archive materials with a translation and/or detailed scientific commentary provided;

3.3.3. publication of translations of texts representing 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, as well as archaic literary norm of European languages, into Russian and other contemporary languages, with a detailed academic commentary provided;

3.3.4. publications of prefaces, afterwords, comments, introductions, conclusions, and encyclopaedic articles, etc., if they are in compliance with formal requirements to the relevant type of a publication: chapter(s) of a monograph, an article in a collection of research papers, or an article in a peer-reviewed scientific journal.

3.4. The following papers shall not be regarded as an academic result:

3.4.1. working papers (pre-prints);

3.4.2. research papers and reviews in scientific/academic journals published in ‘online first’ format, with the exception of e-journals that only exist online (e.g., online publications in such journals are presented in their final version, and bibliography (e.g., year of publication, issue, etc.) is not subject to change);

3.4.3. published dissertations and their summaries;

3.4.4. any unpublished materials (e.g., reports on research work; materials submitted for publication);

3.4.5. publications in the author’s version, which has not been edited and/or reviewed;

3.4.6. key points of reports and presentations;

3.4.7. articles in collections of conference papers, for conferences held in absentia;

3.4.8. booklets;

3.4.9. research reports, published by the HSE Publishing House individually or as a collection, with the exception of materials of the April International Academic Conference;

3.4.10. verbatim records and reviews of conference and roundtable reports;

3.4.11. materials published in newspapers, analytical, scientific and other non-academic publications;

3.4.12. teaching and learning materials;

3.4.13. translations of scientific texts from a foreign language;

3.4.14. reference books (e.g., dictionaries, reference books, etc.);

3.4.15. inventor’s diplomas and certificates, patents, working models, industrial samples, software programme certificates, databases, and integrated circuit layouts[[4]](#footnote-5).

3.4.16. book reviews.

3.5. The following papers are not eligible for academic bonus awards:

3.5.1. publications in Russian and international journals, included on the Regulations on the List of Non-eligible Journals and Publishers for Allocation of Academic Bonuses and Research Productivity Assessment at HSE (hereinafter, the “List”)[[5]](#footnote-6), published on the website of the HSE Academic Fund Programme on HSE’s corporate website (portal) (hereafter, ”HSE portal”), at: <https://scientometrics.hse.ru/blacklist>.

Publications in journals included in the List following an evaluation of research productivity of HSE staff, shall not be eligible for an academic bonus from the date when the HSE Academic Fund Programme makes a respective decision.

3.5.2. publications of HSE doctoral students, for which special scholarships are awarded, as per HSE’s internal bylaws;

3.5.3. articles and reviews in Russian journals, where the applicant chairs an editorial board, editorial or supervisory council, or holds the office of editor in chief, deputy editor in chief, associated editor or a desk managing editor.

3.6. Applications for academic bonus at any level may include up to 1 (one) publication in a journal where the applicant’s immediate supervisor or head of his/her subdivision work in the position of editor in chief (or deputy editor in chief, academic editor, responsible editor, executive editor, invited editor of a special issue, where such a publication has appeared).

1. **AFFILIATION REQUIREMENTS**

4.1. Affiliation with HSE shall be considered eligible if it features HSE’s full official name specified in a required format, as per paragraph 4.3 hereof, clearly linked with the applicant’s (author’s) name. Controversial cases shall be referred to the Academic Bonus Committee.

4.2. Acknowledgement of support HSE provided to a research project, which generated the research outcomes, described or used in a publication, as well as relevant classes, lectures, etc., shall not be regarded as an affiliation.

4.3. The applicant’s (author’s) affiliation with HSE must be specified as follows:

4.3.1. in Russian: Национальный исследовательский университет «Высшая школа экономики»;

4.3.2. in English: National Research University Higher School of Economics;

4.3.3. in French: Université nationale de recherche École supérieure d'économie;

4.3.4. in German: Nationale Forschungsuniversität Hochschule für Wirtschaft;

4.3.5. in Spanish: Universidad Nacional de Investigación Escuela Superior de Economía;

4.3.6. in Italian: Università Nazionale della Ricerca Scuola Superiore di Economia.

4.4. All publications, submitted for any type of academic bonus, must feature an HSE affiliation in the format specified in p. 4.3 hereof, with the exception of the following cases:

4.4.1. an applicant (author) is a full-time employee who belongs to any category specified in paragraph 5.2 hereof, has worked for less than 1 (one) year at HSE or its regional campus at the moment when the application was submitted (including the period of external secondary employment), and he/she is applying for an academic bonus for a research paper[[6]](#footnote-7) or publication in a foreign peer-reviewed journal;

4.4.2. an applicant, who is an employee working at HSE under terms of external secondary employment in any category specified in paragraph 5.4 hereof, and has worked for less than 1 (one) year at HSE or one of its regional campuses at the moment when the application was submitted. Sub-paragraph 4.5.2 of paragraph 4.5 hereof shall be applicable to this category of applicants during the next academic bonus campaign.

4.5. In case the applicant (author) has several affiliations:

4.5.1. to be considered for an academic bonus of any level, publications of HSE full-time staff must have:

– a primary affiliation with HSE (when the sequential order is determined by the author, not the editor);

- no more than 1 (one) additional affiliation with a Russian or international organization, which is not an educational institution; and/or no more than 1 (one) affiliation with a foreign university/academic institution; and/or an affiliation with Independent University of Moscow.

4.5.2. to be considered for Tier 3 academic bonus, publications of HSE staff working under terms of external secondary employment must include:

– an HSE affiliation;

– and/or no more than one affiliation with a Russian or international higher education institution; and/or an affiliation with Independent University of Moscow; and/or no more than one affiliation with a Russian or international organization, which is not an educational institution.

1. **ELIGIBILITY CRITERIA FOR ACADEMIC BONUS AWARDS**

5.1. Academic bonuses are awarded if an applicant meets all of the following requirements:

5.1.1. the a bonus is awarded to the applicant in one of the forms specified in p. 2.1 hereof, on the basis of the results of an expert review and as per the decision of the Academic Bonus Committee;

5.1.2. the academic bonus recipient at the moment of an award can be referred to one of the groups of academic bonus recipients, as established by paragraph 5.2 hereof on the basis of information provided by the University’s HR Office, pursuant to established procedure.

5.2. The following staff categories are eligible for Tier 1 academic bonus assigned for academic work:

– full-time faculty of HSE’s regional campuses;

– staff members of HSE’s Moscow campus and its regional campuses, including researchers, administrative and managerial staff, employed on a full-time basis and engaged in teaching activities at the University with a FTE rate of at least 0.25 (with the exception of staff holding the honorary title (status) of HSE Tenured Professor, and Research Professor);

5.3. The following staff categories are eligible for Tier 2 academic bonus for outstanding academic performance and contributions to HSE’s academic reputation:

– full-time faculty of HSE and HSE regional campuses;

– staff members of HSE’s Moscow campus and its regional campuses (researchers, administrative and managerial staff), employed on a full-time basis and engaged in the teaching activities at the University with an FTE rate of at least 0.25;

5.4. Categories of persons eligible to receive an academic bonus for publications in international peer-reviewed scientific journals (Tier 3):

– full-time faculty of HSE’s Moscow campus and its regional campuses (or persons working under terms of external secondary employment);

– staff members of HSE’s Moscow campus and its regional campuses (researchers, administrative and managerial staff), employed on a full-time basis, and persons working under terms of external secondary employment, as well as engaged in teaching activities at the University with an FTE rate of at least 0.1;

– staff members of HSE’s Moscow campus and its regional campuses (researchers, administrative and management staff), employed on a full-time basis, provided that they were engaged in teaching activities at HSE in the previous academic year (without a fixed share of an FTE rate); performance records of researchers, academic, administrative and management staff in the previous academic year shall be maintained in the ASAV (the University’s comprehensive academic information system) based on related reports. Records filed with the ASAV before July 15 shall be given due consideration. The minimal workload for these categories of academic staff members shall come to 60 hours (or 0.1 of the FTE rate). Furthermore, the workload at the HSE Lyceum and/or under independent contractor agreements shall be counted as academic work, provided that the requirement in terms of academic hours is met.

5.5. The following staff categories are not eligible for academic bonuses:

5.5.1. faculty members and researchers recruited to HSE or its regional campuses through the international recruitment procedure for tenure-track, teaching-track or post-doc positions;

5.5.2. staff members working under employment agreements that require an employee’s physical presence in the Russian Federation;

5.5.3. researchers working under remote (distance) employment agreements;

5.5.4. persons, employed at HSE and its regional campuses under independent contractor agreements;

5.5.5. employees, falling into one of the categories specified in pp. 5.2-5.5, who, at the moment when academic bonus is awarded, are working as supervisors of grants or applied research and development projects, or are engaged in expert and analytical works (services) rendered on premises of another organization, as well as acting as applicants for a grant or applied R&D projects or expert and analytical works (services) rendered at another organization as a project manager (except in cases when an application for working at the premises of another organization was approved in writing by the HSE Rector, the First Vice Rector or Vice Rector responsible for the University’s basic research, as well as research activities performed pursuant to a state assignment).

Should such instances be uncovered, academic bonus shall not be further paid to such employees.

5.6. If an employee entitled to the academic bonus is appointed to one of the positions specified in pp. 5.5.1-5.5.4 hereof, his/her pay shall not be further awarded after the transfer date. In this regard, employees must inform the OAR about any changes in their work terms within 10 (ten) business days prior to the effective date of their new employment agreement, or prior to signing an addendum to the previous employment agreement.

5.7. The following staff categories are not eligible for Tier 2 academic bonus: Rector of the University, HSE Academic Supervisor, HSE President, First Vice Rectors, Vice Rectors, directors of relevant research areas, deans of faculties, directors of schools, ICEF Director, MIEM HSE Director, directors of HSE’s regional campuses, and staff members who have been bestowed the honorary status of HSE Tenured Professor.

If an employee is entitled to an academic bonus for his/her academic achievements or contributions to the reputation of the University and has been awarded the honorary status of HSE Tenured Professor, Tier 2 academic bonus award shall not be further provided as of the effective date of the respective addendum to his/her employment agreement. As such, the Tier 1 academic bonus shall be granted.

**6. GROUNDS FOR THE REDUCTION, SUSPENSION AND CANCELLATION OF ACADEMIC BONUS AWARDS.**

6.1. Academic bonus may be suspended or discontinued, while its total amount may be reduced in cases, specified in paragraphs 6.2 - 6.5 hereof, as per the decision of the Academic Bonus Committee, on the following grounds: the results of an expert review of the given publication, an official investigation, initiated by the executive director of the HSE Academic Fund Programme, or upon the recommendation of the Academic Ethics Committee.

6.2. Academic bonus payments may be suspended:

6.2.1. as per the decision of the Academic Bonus Committee – if HSE conducts an official investigation due to the respective employee’s failure to fulfil his/her duties / perform academic duties properly, as per their employment agreement, including the imposition of disciplinary measures - for the period of the official investigation;

6.2.2. as per the decision of the Academic Bonus Committee, as recommended by the Academic Ethics Committee – if the Academic Ethics Committee conducts an official investigation due to a given employee’s violation of academic and/or teaching principles – for the period of this official investigation.

Academic bonus payments, which have been suspended on the grounds specified in sub-paragraphs 6.2.1 and 6.2.2. hereof, may be resumed in case no violations were uncovered through an official investigation.

6.3. Academic bonus payments may be discontinued/cancelled:

6.3.1. as per the decision of the Academic Bonus Committee – in case an employee is subject to disciplinary measures. The Academic Bonus Committee may decide to cancel academic bonus as per an HSE directive, which imposes disciplinary measures on the employee, as well as based on the Committee’s conclusions following an unbiased review of the employee’s disciplinary offence;

6.3.2. as per the decision of the Academic Bonus Committee– in case the employee fails to fulfil his/her academic job duties properly, as per their employment agreement, which however did not result in official disciplinary measures, but can be proved by documentary evidence in the form of an official memorandum and/or report. The Academic Bonus Committee may make a decision to discontinue academic bonus payments following an unbiased review with respect to the employee’s failure to fulfil his/her duties / perform their duties properly;

6.3.3. as per the decision of the Academic Bonus Committee, following the recommendation of the Academic Ethics Committee – in case of a given employee’s violation of academic and/or teaching principles, as confirmed by a decision of the Academic Ethics Committee.

6.4. Academic merit pay may be reduced following the decision of the Academic Bonus Committee on the basis of expert review’s findings – in case the employee’s contribution to the joint effort of co-authors of a given publication (in non-standard cases) has been clearly determined – as of the date when the Committee makes this decision until the end of the period for which the academic bonus was awarded.

6.5. Academic merit pay may be discontinued following the decision of the Academic Bonus Committee due to a technical error, which was uncovered in the course of an additional expert review.

6.6. An employee, whose academic merit pay has been suspended/reduced following the Committee’s decision, is allowed to take part in the following year’s academic bonus campaign.

6.7. An employee, whose academic bonuses have been discontinued as per the decision of the Committee, shall not be entitled to academic bonus payments over the following 2 (two) years, unless otherwise decided by the Academic Bonus Committee or the HSE Rector. To this end, said employee may take part in academic bonus campaigns. However, any payments will be resumed only upon expiry of the two-year period after the decision for the cancellation of academic bonus comes in force.

**7. ACADEMIC BONUS CAMPAIGN DEADLINES**

7.1. Candidates for academic bonus awards of any level must add information on all publications, which are submitted for assessment, to the database of research publications on HSE’s corporate website (portal) by February 1 of the ongoing academic year.

7.2. Before March 15, the Publications Verification Unit of the Office of Public Relations and Online Media shall verify information submitted by HSE staff in the automated electronic system with respect to all publications submitted by February 1.

7.3. An application procedure for academic bonus awards shall be published on the web-page of HSE Academic Fund on the University’s portal by February 1.

**8. ASSESSMENT PROCEDURES**

8.1. Before March 20, the Office for Academic Research shall upload the scores from the automated online system according to the categories of academic bonus payment recipients.

8.2. The Office for Academic Research shall engage experts and thus review applications for an academic bonus (Tier 2 and 3), as pursuant to HSE bylaws.

8.3. Expert review results and scores awarded to publications shall be further considered by the Academic Bonus Committee.

**9. ELIGIBILITY CRITERIA FOR ACADEMIC BONUSES AWARDED FOR ACADEMIC WORK**

9.1. To be eligible for a Tier 1 academic bonus, a candidate must reach the threshold of scores awarded for the results of his/her academic work, pursuant to Annex No. 1 and 2 hereto. If a candidate has publications in research journals, only articles published in journals included in the Regulations on the List of Eligible Journals for Allocation of Academic Bonuses shall be considered. The list of journals is available on HSE’s portal at: <https://scientometrics.hse.ru/goodjournals>.

9.3. No more than 1 (one) article included in one journal issue shall be considered for assessment.

9.4. Two parts of a single article published in different issues of a journal shall be considered as one publication.

9.5. Bonus for academic work shall be awarded for 1 (one) year from September 1 of the current year to August 31 of the next year. The award shall be paid on a monthly basis and included in the average salary calculation for:

- full-time faculty of HSE’s regional campuses;

- researchers, administrative and managerial staff, employed at University’s Moscow campus and its regional campuses on a full-time basis and engaged in teaching activities at the University with a FTE rate of at least 0.25 (except for staff members with the honorary title (status) of HSE Tenured Professor, and Research Professor), on a pro rata basis with respect to FTE.

**10. ELIGIBILITY CRITERIA FOR ACADEMIC BONUSES AWARDED FOR ACADEMIC ACHIEVEMENTS AND CONTRIBUTIONS TO HSE’S ACADEMIC REPUTATION**

10.1. Academic bonuses for academic achievements and contributions to HSE’s academic reputation can only be awarded for one publication, such as a monograph, a coursebook or study guide. This category does not include collective monographs and collections of research papers.

10.2. If an applicant has received a grant from the HSE Publishing House for the publication of coursebooks within the framework of the HSE Publishing House programme, he/she shall not be entitled to academic bonuses for academic achievements and contributions to HSE’s academic reputation.

10.3. Translated papers, which have been previously published in the Russian Federation, may be presented for an academic bonus award if the applicant never submitted the original publication in Russian for an academic bonus award (of any level).

10.4. The applicant must specify only one publication of the relevant type (a monograph, a coursebook or study guide), which he/she considers the most relevant. Original publications shall be submitted to the OAR before March 20.

10.5. a publication shall be submitted for expert review, provided that the following conditions are met:

10.5.1. the publication meets established formal criteria;

10.5.2. the applicant has an affiliation with HSE and this is his/her only affiliation, as specified in p. 4.1 hereof (irrespective of his/her length of employment at HSE).

10.5.3. the applicant has attained the threshold of scores awarded for the results of his/her academic work, pursuant to Annex No. 1 and 2 hereto.

10.6. Expert reviews of publications shall be organized as follows:

10.6.1. initial (preliminary) expert reviews of monographs/coursebooks/study guides by the respective scientific committees of HSE faculties/regional campuses. Should any dispute arise as a result of an initial expert review, such matters shall be considered at a meeting of the Commission of the HSE Academic Council responsible for organizing research activities;

10.6.2. internal expert review of publications by coordinators of different research areas and rejection of some publications by the Academic Bonus Committee on grounds provided by coordinators;

10.6.3. independent (external) expert review of publications and submission of the results thereof to the Academic Bonus Committee.

10.7. If revised/amended publications are submitted, only publications containing more than 30% of revised text shall be referred for further expert review.

10.8. Academic bonuses for academic achievements and contributions to HSE’s academic reputation shall not be awarded to a co-author(s), if his/her another co-author has already been awarded a bonus for the given publication during the previous campaign.

10.9. If an applicant applies for academic bonuses for academic achievements and contributions to HSE’s academic reputation by submitting a publication, which had been rejected by the Committee in the previous year, owing to the negative results of an expert review, this publication shall not be resubmitted for expert review.

10.10. The total amount of bonus for academic achievements and contributions to HSE’s academic reputation awarded to an applicant for a publication prepared in co-authorship shall be defined as follows:

10.10.1 the total amount of academic bonus shall be divided by the number of co-authors from among HSE’s full-time staff who are seeking this bonus, as well as meet all requirements established in pp. 5.3 hereof, and multiplied by 1.25. If the co-author(s) do not apply for academic bonuses for any reasons, the total amount shall be awarded to one author who is seeking a bonus in line with the above formula;

10.10.2 an academic bonus shall be paid in full to 1 (one) author who works full-time at HSE, and meets all criteria specified in pp. 5.3 hereof, if the status of other co-authors does not meet the requirements set forth in pp. 5.1.3.1-5.1.3.2 hereof.

10.11. Tier 2 academic bonuses shall be established for 2 (two) years from September 1 of the current year until August 31 of the second year, shall be paid on a monthly basis pro rata to the actual working hours and included in the average salary calculation.

**11. ELIGIBILITY CRITERIA FOR ACADEMIC BONUSES AWARDED FOR PUBLICATIONS IN INTERNATIONAL PEER-REVIEWED JOURNALS**

11.1. Academic bonuses for publications in international peer-reviewed journals may be awarded for:

11.1.1. articles and reviews published in peer-reviewed journals, which are indexed in the WoS or Scopus databases[[7]](#footnote-8) and not included on the List;

11.1.2. monographs released by publishers pre-approved by HSE for the purposes of awarding Tier 3 academic bonuses (including monographs produced by co-authors, but no more than 4 authors per book), pursuant to the List of Eligible Book Publishers available on the HSE portal at <https://scientometrics.hse.ru/publishers>;

11.1.3. reviewed full papers/соnference papers delivered at A\* conferences in Computer Science (Informatics and Applied Mathematics) according to CORE rating, and published in collections of conference reports or international journals. The up-to-date list of conferences is available on the Scientometrics Centre’s website at <https://scientometrics.hse.ru/conferences>.

In case of submission of a poster conference report at an A\* conferences in Computer Science according to CORE rating, the decision with respect to Tier 3 academic bonus shall be made by the Academic Bonus Committee.

Conference reports delivered at A\* conferences in Computer Science according to CORE rating in the framework of sessions for young scholars (e.g., students, doctoral students/postdocs (doctoral consortium), etc.), satellite events, short demonstration sessions, etc., shall not be eligible for Tier 3 academic bonuses. In all other cases, decisions shall be made by the Academic Bonus Committee.

11.1.4. articles in leading analytical periodicals (magazines) in international relations, if such magazines had been pre-approved by experts. A relevant list of periodicals is available on the Scientometrics Centre’s website at <https://scientometrics.hse.ru/interelation>.

11.2. translated papers, which were previously published in the Russian Federation can be presented for an academic bonus award if the applicant had never submitted the Russian version of this publication for an academic bonus award (of any level).

11.3. in the course of publications assessments and final deliberations, the Academic Bonus Committee shall rely on the quartiles of WoS and/or Scopus-indexed journals, which shall be published on the Scientometrics Centre’s website before the start of the campaign at <https://scientometrics.hse.ru/quartiles>.

11.4. The following procedure is applicable for evaluating articles and reviews published in international journals:

11.4.1. relevant quartiles (i.e., a thematic category corresponding to the contents of the relevant publication) shall be determined in accordance with an algorithm, which is approved by the Council of the HSE Academic Fund Programme on an expert basis with the participation of coordinators in relevant fields of study, as well as independent experts and members of the Academic Bonus Committee;

11.4.2. articles and reviews in journals, assigned Q1 and Q2 by SJR, shall not be considered without reductions if their average self-citation index for a three-year period according to ScimagoJR/Scopus[[8]](#footnote-9), does not exceed the threshold (%), established by the Council of HSE Academic Fund Programme. The SJR quartile shall be lowered by one level for journals exceeding this threshold[[9]](#footnote-10). The Council of the HSE Academic Fund Programme retains the right to make exceptions for certain journals, based on the results of independent expert reviews.

11.5. The following procedure shall be applied for evaluating monographs, which are released by publishers included on the List of Eligible Book Publishers: monographs, released by any of publishers included on the latter list, shall be considered equivalent to publications in a foreign Q1 Journal.

11.6. For the purposes of evaluation, peer-reviewed reports delivered at A\*Computer Science conferences according to CORE rating shall be regarded as equivalent to publications in a foreign Q1 journal.

11.7. If a publication is not available in the WoS/Scopus database at the time of an expert review, Tier 3 academic bonus may still be awarded if all the following criteria are met:

11.7.1. a journal is indexed in Q1 and Q 2 of the WoS/Scopus database;

11.7.2. a publication features all relevant details available on the website of the given journal (number and year of issue, pages, and DOI);

11.7.3. an applicant’s (author’s) affiliation with HSE is clearly stated, as set forth in these Regulations (irrespective of his/her length of employment at HSE).

11.8. Academic bonuses for a publication in an international peer-reviewed scientific journal, co-authored by up to 5 (five) persons, shall be divided by the number of co-authors seeking academic bonus and multiplied by 1.25. Co-authors must be HSE staff with status meeting the eligibility criteria established in paragraph 5.4 hereof.

11.9. The total amount of academic bonus for a publication in an international peer-reviewed scientific journal shall be divided by 5, if the article has over 5 (five) co-authors. If the applicant is the first author, or an author designated as a corresponding author, at the discretion of the Academic Bonus Committee, the applicant may be awarded full academic bonus (if several co-authors, who are HSE staff members with status meeting the eligibility criteria established in paragraph 5.4 hereof, are seeking academic bonuses, the final amount shall be divided by the total number of eligible co-authors and multiplied by 1.25).

11.10. Academic bonus for a given publication shall not be awarded to a co-author(s), if another co-author had already been awarded bonus for this publication during the previous academic bonus campaign.

11.11. Bonus for publications in international peer-reviewed scientific journals may be awarded for 1 (one) or several publications:

11.1.11. if there are several publications, the academic bonus shall be fully awarded for the publication with the largest score (see paragraphs 11.8 and 11.9), while subsequent publications shall receive an additional 20% of the fixed academic bonus amount established for publications in the relevant quartile. Total academic bonus cannot exceed the Q1 bonus by 1.5 times;

11.11.2. staff members employed at HSE for less than 1 (one) year, whose publications have no affiliation with HSE, shall be entitled to academic bonus only for the publication with the largest score.

11.12. academic bonuses for 2 (two) years (from September 1 of the ongoing academic year to August 31 of the second year) shall be awarded for the following types of publications, provided that an HSE affiliation is clearly stated as specified in paragraph 4.4. hereof, and provided that paragraphs 4.6.1 and 4.6.2 of these Regulations are properly observed:

11.12.1. monographs, released by publishers included on the List of Eligible Book Publishers;

11.12.2. fully-fledged oral peer-reviewed reports delivered at A\* conferences in Computer Science according to CORE rating;

11.12.3. publications in journals which can be referred to a similar quartile as Q1 by WoS, pursuant to paragraph 11.4.1.

11.13. Academic bonuses for 1 (one) year (from September 1 of the ongoing year to August 31 of the following year) shall be awarded for:

11.1.13. publications which are in compliance with the requirements set forth in paragraphs 11.1.1-11.1.3 hereof, but do not feature an HSE affiliation, provided that paragraphs 4.5.1 and 4.5.2 hereof are still observed;

11.13.2. articles/reviews in journals referred to Q1 (except for those dealt with in paragraph 11.12.3);

11.13.3. articles/reviews in journals referred to Q2;

11.13.4. articles in leading analytical periodicals (magazines) in international relations.

11.14. If an academic bonus is awarded for several publications, as specified in paragraphs 11.1.1-11.1.4, the payment shall be awarded in full in the first year, and, in the next (second) year, academic bonus shall only be awarded for publications, specified in paragraphs 11.12.1-11.12.3 hereof.

11.15. Applicants who have been awarded academic bonuses for 2 (two) years can refuse to take the bonus in the second year and, instead, take part in the subsequent campaign by submitting new publications. To this end, an applicant should submit an application with his/her refusal to the Office for Academic Research within the timeframe of the relevant academic bonus campaign and thereby obtain access to the online applications system.

11.16. Academic bonus for publications in international peer-reviewed scientific journals shall be awarded on a monthly basis pro rata to actual work time and the relevant FTE rate (for staff members working under terms of secondary employment, and in case a staff member is employed on several fractions of FTE, the sum of all FTE rates shall be considered, provided that the total FTE rate does not exceed 0.5) and included in the average salary calculation.

**12. CONDITIONS FOR THE RECTOR’S ACADEMIC BONUS AWARD**

12.1. The HSE Rector’s academic bonus may be awarded to the applicant based on the final results of an academic performance appraisal, approved by the Academic Bonus Committee, which are submitted to the Rector by the Vice Rector responsible for HSE’s basic research, as well as research conducted pursuant to a state assignment (i.e., executive director of the HSE Academic Fund Programme). The size and timeframe of Rector’s academic bonus shall be established as per the Rector’s decision.

**13. FUNCTIONS OF THE ACADEMIC BONUS COMMITTEE; ORGANIZATIONAL AND TECHNICAL SUPPORT PROVIDED TO THE COMMITTEE**

13.1. Members of the Academic Bonus Committee shall be approved by the HSE Rector.

13.2. The Committee consists of the HSE Academic Supervisor, Rector, First Vice Rector (put forward as per the Rector’s recommendation), executive director of the HSE Academic Fund Programme, co-chairperson of the Council of the HSE Academic Fund Programme, and coordinators of respective research areas.

13.3. The Committee shall meet at least 1 (one) time a year. The electronic voting procedure shall be used in the period between meetings.

13.4. The Committee shall adopt all decisions by a simple majority. Should there be a tie, the HSE Rector retains the right to cast the deciding vote.

13.5. Decisions adopted by the Committee shall be fixed in meeting minutes, which, in turn, serve as the basis for directives issued in regards to payments, reductions, suspensions or cancellations of academic bonus awards. Such directives are signed by the Vice Rector responsible for coordinating the activities of the Office for Academic Research and the Office for Research Evaluation, respectively.

13.6. Minutes of the Committee’s meetings and related documents are intended for permanent storage and shall be stored in the Office for Academic Research for 5 (five) years. Upon expiry of this five-year period, the documents shall be handed over for archive storage to the HSE Administration and General Services Office, as per established procedure.

13.7. The Committee’s functions include:

13.7.1. approving results based on analysis of research publication assessments by category of recipients of academic bonuses, based on data available in the automated electronic system;

13.7.2. enacting the withdrawal of publications submitted for academic bonus awards for academic achievements and contributions to HSE’s academic reputation on relevant grounds, that had been rejected by research coordinators;

13.7.3. making decisions on awarding academic bonuses;

13.7.4. providing recommendations on candidates eligible for the Rector’s academic bonus (based on expert reviews of publications);

13.7.5. making decisions on suspensions of academic bonus awards, including:

- decisions on cancellation of academic bonuses;

- decisions on reducing the total amount of academic bonuses;

13.7.8. developing and setting evaluation criteria for publications;

13.7.9. settling any other matters within the competence of the Committee, including any other matters not covered by these Regulations.

13.8. The Office for Academic Research is responsible for providing organizational and technical support to the Committee’s operations.

13.9. The functions of the Office for Academic Research include:

13.9.1. providing advice on application procedures to authors (employees) seeking academic bonuses;

13.9.2. uploading information on the evaluation results of respective publications;

13.9.3. checking the status of applicants;

13.9.4. presenting the results of publication evaluations, including expert opinions, for the Committee’s consideration;

13.9.5. publishing a list of persons who have been awarded academic bonuses on HSE corporate website (portal) at <http://www.hse.ru/science/scifund>;

13.9.6. issuing directives on awards/ reductions/ suspensions/ cancellations of academic bonuses;

13.9.7. sending extracts from the meeting minutes of the Academic Bonus Committee with respect to academic bonuses awarded to staff at HSE’s regional campuses to other respective campuses.

13.10. The functions of the HSE Office for Research Evaluation include:

13.10.1. organizing and conducting expert reviews of publications;

13.10.2. downloading applications for academic bonuses from the HSE portal to the expert review system;

13.10.3. checking applications for their completeness and availability of all documents required for expert reviews. Should any questions arise, experts may ask an applicant to provide additional details;

13.10.4. producing the results of expert reviews for the Committee.

13.11. After the results have been approved by the Committee, the results of the expert review and evaluations of publications can be made available to the applicant upon request submitted to the HSE Office for Research Evaluation.

The conclusions of expert reviews in regards to research publications assessments for Tier 2 academic bonus awards shall be provided to applicants without scores (upon request submitted to the HSE Office for Research Evaluation).

**14. SETTLEMENT OF DISPUTES RELATED TO THE RESULTS OF EXPERT REVIEWS**

14.1. Any complaints concerning the organization of expert reviews shall be addressed to the Vice Rector responsible for coordinating the activities of the Office for Research Evaluation, pursuant to the allocation of responsibilities at HSE.

14.2. The results of a given expert review, including cases when an applicant’s complaint was found to be valid, shall not be revised, unless any errors have occurred as a result of a technical malfunction.

1. Pursuant to Article 1228 of the Civil Code of the Russian Federation, persons who provided no creative input to a given intellectual property, i.e. persons who only provided technical, advisory, organizational and material support, or assistance to its creator, or facilitated the registration of intellectual property rights or its use, or supervised related work processes, shall not be regarded as creators of such an intellectual property. [↑](#footnote-ref-2)
2. The reference to these Regulations is published on the webpage of the HSE Academic Fund Programme on HSE’s corporate website (portal). [↑](#footnote-ref-3)
3. These are publications of sources that need no translation (Russian sources of the 19th-21st centuries) or are not traditionally translated (e.g., sources in Russian dated as of the 17th-18th centuries) [↑](#footnote-ref-4)
4. Incentives relating to intellectual property rights are stipulated by the Regulations on Financial Incentives under the Intellectual Property Rights Policy of National Research University Higher School of Economics, approved by the HSE Academic Council, Minutes No. 45 dated April 26, 2013 (<http://www.hse.ru/docs/86975404.html>),. [↑](#footnote-ref-5)
5. The List is prepared on the basis of the Regulations on the List of Non-eligible Journals and Publishers for Allocation of Academic Bonuses and Research Productivity Assessment at HSE, approved by Minutes No. 4 of the Council of HSE Academic Fund Programme dated September 09, 2015. [↑](#footnote-ref-6)
6. The following publications submitted for Tier 1 academic bonus during the second year shall be taken into account:

   -- publications featuring HSE affiliation which were produced in the previous (first) calendar year;

   – publications produced in the second year (the year when a staff member got hired by HSE) without an HSE affiliation. [↑](#footnote-ref-7)
7. For the purposes of these Regulations, this category includes:

   – journals indexed in WoS – Science Citation Index Expanded (SCI-EXPANDED), Social Sciences Citation Index (SSCI), Arts & Humanities Citation Index (A&HCI), BKCI, CPCI. 1). Only the official Master Journal List <http://ip-science.thomsonreuters.com/mjl/> shall be used for checking whether or not a journal can be referred to the category of WoS-indexed journals;

   – journals indexed in Scopus – journals on the Scopus Title List at <https://www.elsevier.com/solutions/scopus/content> with “active” status and in the ScimagoJR database at <http://scimagojr.com/> [↑](#footnote-ref-8)
8. The share of self-citations in the total number of citations, received in the ongoing year with respect to articles published in the journal over the previous three years. The ratio shall be calculated based on the same period of time as the SJR ratio, which is used for determining quartiles of journals in Scopus. The priority use of Scopus for calculating this ratio can be explained with the fact that this base indexes much more journals, as compared with WoS. [↑](#footnote-ref-9)
9. If a publication is assigned Q3 after lowering by one quartile, it shall not be considered for Tier 3 academic bonus award. [↑](#footnote-ref-10)