**REGULATIONS on**

**Project Competition for Launching International Laboratories**

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

**in the period from December 01, 2019 to December 31, 2022**

1. **General Provisions**
   1. These Regulations set forth the requirements and organizational procedures for the Project Competition for Launching International Laboratories at National Research University Higher School of Economics in the period from December 01, 2019 to December 31, 2022 (hereafter, the “Competition”) held by National Research University Higher School of Economics (hereafter, the “University”, “HSE University”) with the aim of providing support to research teams, jointly supervised by leading international researchers and leading Russian scholars, including support for putting together research teams and achieving the Competition’s goals and objectives.
   2. Competition goals:

1.2.1. Establishment, support and development of fields of research, as well as world-class international schools at HSE University;

1.2.2. Providing support to existing and building new research teams at HSE University, as well as recruiting the leading international scholars;

1.2.3. Engaging students and doctoral students to work at HSE University’s international laboratories (hereafter, the IL) to let them get experience of project work in international research projects and cultivate relevant academic culture at the initial stage of their research career.

1.3. The Competition is focused on providing support to research projects with regard to the following priority topics:

1.3.1. Personal development and human capital;

1.3.2. Eliminating inequality and social stability;

1.3.3. Economic growth and social development policy;

1.3.4. Scientific and technological development, as well as digital transformation of economics and society;

1.3.5. Effective business;

1.3.6. Effective state government;

1.3.7. Personal, public and state security;

1.3.8. Measurement and analysis in social and economic sciences;

1.3.9. Neurosciences and high-technology health care;

1.3.10. Big data and applied artificial intelligence.

1. **Competition Participants**

2.1. HSE University’s (Moscow campus) research teams, jointly supervised by prominent international researchers, who hold leading positions in relevant fields of study (hereafter, “Leading Researchers”), and leading Russian scholars (hereafter, the “IL Heads”) shall be entitled to take part in the Competition.

2.2. The Leading Researcher and the IL Head shall be entitled to take part in the research project, which won the Competition.

2.3. International laboratories, which do not presuppose the establishment of an experimental base at HSE University, will be launched on the basis of the Competition results.

2.4. International laboratories, which may utilize an experimental base available at Institutions of the Russian Academy of Sciences, can be launched on the basis of the Competition results.

1. **Funding**

3.1. Based on the Competition’s results, winners shall be granted annual funding for conducting research in 2019-2022. The total amount of funding provided to each project receiving support on the basis of the Competition results shall not exceed:

* in 2019, 0.25 million roubles shall be allocated for scientific research implementation (salaries of the IL head and the project manager), including the personal income taxes and contributions to the social security funds;
* in 2020, 13 million roubles (up to 10 million roubles shall be allocated for scientific research implementation (salaries of the research team members), including the personal income taxes and contributions to the social security funds, and up to 3 million roubles for HSE University’s academic staff mobility, as well as the organisation of visits of international scholars and specialists, who are not employed at HSE University, with the aim of conducting joint research, holding conferences, summer schools, ongoing seminars and continuing professional development trainings, etc., as well as the necessary equipment and software acquisition);
* in 2021, 13 million roubles (up to 10 million roubles shall be allocated for scientific research implementation (salaries of the research team members), including the personal income taxes and contributions to the social security funds, and up to 3 million roubles for HSE University’s academic staff mobility, as well as the organisation of visits of international scholars and specialists, who are not employed at HSE University, with the aim of conducting joint research, holding conferences, summer schools, ongoing seminars and continuing professional development trainings, etc., as well as the necessary equipment and software acquisition);
* in 2022, 13 million roubles (up to 10 million roubles shall be allocated for scientific research implementation (salaries of the research team members), including the personal income taxes and contributions to the social security funds, and up to 3 million roubles for HSE University’s academic staff mobility, as well as the organisation of visits of international scholars and specialists, who are not employed at HSE University, with the aim of conducting joint research, holding conferences, summer schools, ongoing seminars and continuing professional development trainings, etc., as well as the necessary equipment and software acquisition).

3.2. The total amount of required funding shall be determined at the discretion of the Competition’s participants in view of the restrictions established in paragraph 3.1 hereof.

1. **Requirements to Research Projects and Implementation Arrangements**

4.1. A research project under consideration must not repeat ongoing or previous research conducted in the framework of other projects implemented at the University, as well as beyond its premises, and funded at the expense of the state budget subsidies of various levels and other sources. However, it may serve as continuation of ongoing or completed projects.

4.2. The following requirements for conducting research projects and relevant implementation arrangements are set for the Leading Researcher:

4.2.1. The Leading Researcher’s personal supervision (with him/her being physically present at HSE University) of IL operations shall be required for at least 45 working days per year (at least 2 visits per year, provided that the interval between these visits may not exceed 6 consecutive months);

4.2.2. Applicants may propose other conditions for engaging Leading Researcher (-s) in the given project within the framework of the Competition, thus specifying responsibilities of each Leading Researcher;

4.2.3. A 3-year employment agreement shall be concluded between the Leading Researcher and HSE University, which will become his/her primary full-time place of employment in the Russian Federation;

4.2.4. The Leading Researcher shall undertake to perform the following functions throughout the project implementation period:

4.2.4.1. Building a research team for conducting research, approving schedules for research work and developing research schools, jointly with the IL Head, acting as the representative of the Russian party;

4.2.4.2. Providing assistance to the IL Head in defining the prospects of research, selecting R&D methods and techniques, as well as possible solutions to the IL’s research objectives;

4.2.4.3. Supervising the development of methodological and working materials, forecasts and proposals, as well as other documents and methodological materials within the framework of the ongoing research project, as well as practical recommendations for properly applying research outcomes;

4.2.4.4. Engaging in teaching work and delivering courses on the topic of the given research project for at least 36 hours per year, in accordance with the approved individual plan of instruction;

4.2.4.5. publishing a predetermined number of articles[[1]](#footnote-1) in a relevant field of research in scientific journals indexed in WoS (Web of Science)[[2]](#footnote-2), with HSE University’s affiliation and mandatory reference to the source of research funding[[3]](#footnote-3). This affiliation should be stated in Russian as follows: Национальный исследовательский университет «Высшая школа экономики»; and in English: National Research University Higher School of Economics, Russian Federation / HSE University. At least 50% articles in a relevant research field must be published in WoS journals, indexed in Q1/Q2 according to impact factor in at least one of WoS subject categories[[4]](#footnote-4).

4.3. The following requirements for scientific research, as well as conditions of the research implementation, are established for the IL head:

4.3.1. The IL Head shall be responsible for direct supervision of the IL and organization of research teamwork, including drawing up research work schedules and related cost estimates, as well as submitting reports, pursuant to HSE University’s bylaws;

4.3.2. Should the team win the Competition, HSE University shall become the primary place employment for the IL Head. He/she must be also employed at the HSE University’s IL as a full-time staff member.

4.4. The following requirements for conducting research projects and related implementation arrangements are set for the research team throughout the entire project implementation period:

4.4.1. The research team, which is formed by the Leading Researcher along with the IL head for conducting scientific research, shall be comprised of at least two (2) Doctors of Sciences / Candidates of Sciences / PhD holders, who are employed at HSE University as their primary place of employment on a full-time basis, as well as at least three HSE University’s (doctoral) students. The research team members may be replaced in exceptional cases upon approval of the Vice Rector responsible for coordinating basic research projects and research projects conducted at HSE University pursuant to state assignments;

4.4.2. Staff shall only be recruited as staff members of the IL research team. A manager responsible for administrative support of the IL research project, pursuant to his/her employment agreement, shall be the only exception.

4.4.3. At least two (2) members of the research team (not including the IL head and the Leading Researcher) will be hired to the IL to full-time research fellow positions (or higher) with their primary place of employment at HSE University, should the team win the Competition;

4.4.4. All IL researchers, who have signed employment agreements with HSE University, shall be subject to research productivity assessment as per the Regulations for Research Productivity Assessment at HSE University, approved for the ongoing year (hereinafter - the “RPA”), with the exception of researchers who are exempt from such assessments, and who duly claimed this right by the deadline stated in the RPA, as well as other procedures, pursuant to HSE University’s bylaws applicable to researchers;

4.4.5. HSE University’s staff who have been assigned the status of “Meets the established RPA criteria” / “Provisionally meets the established RPA criteria”, after passing a relevant assessment, can be engaged in the IL projects under a fixed-term employment agreement. The effective term of such employment agreements shall be set by the IL Head, in accordance with the period of the research project’s implementation;

4.4.6. An employment agreement for completion of a certain stage of the research project shall be signed with employees who have not passed a RPA assessment and shall expire on December 31 of the ongoing calendar year;

4.4.7. Should the employees who had been hired to complete a certain stage of the research project be assigned the status of “Meets the established RPA criteria” / “Provisionally meets the established RPA criteria” following a relevant assessment, they may enter into a new employment agreement covering the entire period of the research project’s implementation;

4.4.8. HSE University’s staff, who have been assigned the status of “Does not meet the RPA established criteria”, cannot become members of the IL research team or join the IL task force prior to obtaining the status of “Meets the established RPA criteria” / “Provisionally meets the established RPA criteria”;

4.4.9. HSE University’s staff may be employed by only one of the University’s research subdivisions charged with implementing a research project (basic and applied research), pursuant to a given state assignment, or a research project supervised jointly by leading international and Russian researchers at HSE University. Staff members employed at a subdivision, which is part of an HSE University’s institute or research centre, can be the only exception. Such staff members may be engaged in two (2) research projects (a basic and applied research project implemented pursuant to a state assignment, and a research project supervised jointly by leading international and Russian researchers at HSE University), provided that their publications submitted for annual expert review based on the project results and as reporting materials with respect to ongoing projects, must be unique for each project;

4.4.10. If an HSE University’s staff member, who was hired pursuant to international recruitment procedures, is engaged in the IL on a part-time basis, his/her monthly remuneration, as fixed in his/her primary employment agreement with the University, shall be reduced by the amount of his/her monthly salary paid by the IL, with the exception of staff members hired to the IL at the minimal monthly rate of up to 5,000 roubles;

4.4.11. If an HSE University’s employee, who was hired pursuant to international recruitment procedures, is engaged in the IL, his/her personal research productivity shall not be taken into account as per the performance indicators in place for IL reporting purposes. However, if this employee co-authors publications with other IL staff members, such publications shall be counted towards the established IL performance indicators.

4.4.12. If an HSE University’s employee, who was hired pursuant to international recruitment procedures, is engaged to work at the IL, he/she can use the funds allocated to the IL for international and domestic academic mobility expenses only after using up all funds assigned for academic mobility within the framework of his/her employment agreement.

4.4.13. If an HSE University’s employee, who was hired pursuant to the Programme for recruitment of Russian postdocs, is engaged to work at the IL, this Programmes’ bylaws shall be applicable.

4.5. The IL Head and the Leading Researcher jointly bear responsibility for the successful achievement of research outcomes.

4.6. Each IL must maintain its own webpage on the HSE University’s corporate website (portal). The IL webpages must be maintained in Russian and English, and contain information on IL staff, events, ongoing research and publications. Information on IL staff shall be maintained on the IL webpage pursuant to HSE University’s internal bylaws. Furthermore, the IL Head and IL manager undertake to publish relevant information on IL activities on its respective website.

4.7. Pursuant to HSE University’s bylaws, each IL shall hire a manager who will be responsible for organizational arrangements, presentation of the project at HSE University’s subdivisions, liaisons with international researchers engaged in project work, as well as handling paperwork. An IL project manager must be hired on a full-time basis and possess appropriate English skills. He/she shall be recruited upon the approval of the HSE University’s International Laboratories Support Office.

4.8. The IL shall submit an annual report on the research results with regard to completion of the established annual performance indicators at a meeting of a Committee responsible for organizing international research projects co-supervised by leading international and Russian researchers at HSE University.

4.9. Requirements to IL performance indicators:

4.9.1. Publications submitted as reporting materials within the framework of IL research projects must be unique and in line with the topic of a given research project. As such, a paper must be published and presented as a reporting material for the first time;

4.9.2. Co-authored publications, prepared by authors engaged in different research projects, must be submitted as reporting materials for only one research project. If a publication has been submitted as a reporting material for one project, it cannot be submitted as a reporting material for any other research project;

4.9.3. If IL performance indicators include events to be held by the IL, one and the same event may be reported with respect to only one research project;

4.9.4. If IL performance indicators include the total number of (doctoral) students engaged at the IL as research assistants, and only HSE University’s (doctoral) students shall be given consideration;

4.9.5. If IL performance indicators include the total number of dissertations defended by prospective Candidates or Doctors of Sciences, only papers acknowledging HSE University’s affiliation shall be taken into account.

4.10. The IL research results achieved in 2019-2022 shall be subject to expert review, with due consideration of established annual performance indicators and the research work schedule. Three-year reports on IL activities and respective expert review results shall be examined at a meeting of the Committee responsible for organizing international research projects co-supervised by leading international and Russian researchers at HSE University, and at the meeting of the HSE University’s Expert Research Council. If an expert review produces positive results, the given project may be extended for subsequent three years.

**5.** **Expenses Incurred by Competition Participants**

5.1. All expenses associated with taking part in the Competition, including expenses relating to preparation and submission of related proposals, shall be covered by the Competition’s participants.

**6.** **Competition Proposal Contents**

6.1. The Competition Proposal (Annex No.1) shall include:

* + 1. Form No. 1: Registration Form

1. Form No. 2: List of Documents, specifying all documents attached to the Competition Proposal;
2. Form No. 3: Factsheet of the Competition Proposal;
3. Form No. 4: Concept of the International Laboratory;
4. Form No. 5: Leading Researcher’s Profile;
5. A letter from the Leading Researcher’s employer containing written consent for his/her participation in the given research project, as per the established terms and conditions, including personal supervision (with his/her personal presence at the University) of IL activities for at least 45 working days per year from 2020 to 2022 (in English). If more than one Leading Researcher is engaged in the project, a written consent for each of them, specifying the terms and conditions for their participation in the research project shall be submitted;
6. Form No. 6: Profile of the International Laboratory Head;
7. Form No. 7: Research Project Description;
8. Form No. 8: Research Project Performance Indicators;
9. Form No. 9: Research Project Work Schedule;
10. Form No. 10: Research Project Cost Estimate.

**7. Preparation and Submission of Competition Proposals**

7.1. Proposals meeting the eligibility criteria specified in Section 9 hereof may be submitted for the Competition. Applicants must prepare Competition Proposals in electronic format.

7.2. Competition proposals shall be made and submitted in Russian and English. Proposals in any other languages shall be regarded as inconsistent with the established requirements.

7.3. The required total funding allocated for conducting scientific research, which should be indicated in the Competition Proposal in roubles, shall not exceed the limit specified in paragraph 3.1. hereof.

7.4. Any discrepancies in the details provided in the Competition Proposal shall be regarded as inconsistent with the established requirements.

7.5. If certain documents specified in the List of Competition Documents are missing, or inconsistent with the established format, or lack any mandatory details, such proposal shall be regarded as inconsistent with the established requirements.

7.6. An electronic version of the Competition Proposal shall be stored on a flash memory card and contain the following information:

7.7. An electronic version of the Competition Proposal shall be submitted in the period from 17.06.2019 until 02.09.2019 by email at [concurs\_labs@hse.ru](mailto:concurs_labs@hse.ru)and be comprised of the following documents:

7.7.1 Proposal in Russian, in Word;

7.7.2 Proposal in English, in Word;

7.7.3 Proposal in Russian, in pdf, containing scanned copies of the signatures of the Leading Researcher and the IL Head;

7.7.4 Proposal in English, in pdf, containing scanned copies of the signatures of the Leading Researcher and the IL Head;

7.7.5 the Leading Researcher’s passport copy, residence permit copy (if any), a copy of diploma / PhD certificate and CV, as well as copies of any other diplomas and certificates, etc., enclosed;

7.7.6. In case international laboratories are supposed to use an experimental base available at Institutions of the Russian Academy of Sciences, as per clause 2.4 hereof, additional documents shall be attached to the Competition Proposal (project support letters from basic Institutions of the Russian Academy of Sciences, draft agreements about joint research projects, details in regards to co-financing to be provided by an Institution of the Russian Academy of Sciences, granting the right to use their experimental base).

7.8. The Competition Proposals received after the deadline established by these Regulations shall not be accepted.

**8.** **Review of the Competition Proposals**

8.1. Within 1 (one) working day after submission deadline for Competition Proposals, the Competition Proposals shall be subject to initial screening performed by the members of the Support Centre for International Laboratories, who must check all proposals for compliance with formal requirements established hereby. Incomplete proposals, or those which do not meet the established criteria, shall be rejected.

8.2. After conducting a technical expert review for compliance/non-compliance with the requirements to Competition documents, proposals shall be submitted to the HSE University’s Office for Research Evaluation for subsequent expert review, as per the established criteria.

**9. Proposals Assessment Criteria**

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| --- | --- | --- |
| No. | Criteria | Requirements |
| 1. Academic achievements and professional experience of the Leading Researcher/research team | | |
| 1. | Level of academic publications | Scores: Journals (leading, professional) which publish the Leading Researcher’s articles, and the scope of such publications; how typical is the level of research output for leading researchers in this field of study; citation index of the Leading Researcher’s publications |
| 2. | Leading Researcher’s experience as a research team leader | Scores: The Leading Researcher’s administrative experience in building a research team and ensuring efficient team management; the Leading Researcher’s experience in research staff training |
| 1. 2. IL research potential | | |
| 3. | Relevance of proposed research project | Scores: Relevance of proposed research project and its correspondence to contemporary state of research in a given field, chances of obtaining breakthrough results in line with international standards |
| 4. | Feasibility of goals within the given timeframe, relying on suggested methods | Scores: Detailed elaboration of project outcomes and their compliance with international standards; |
| 5. | Adequacy of the requested funding vs project goals and quality of cost estimate | Scores: Adequate funding requested |
| 1. IL composition | | |
| 6. | Research productivity of the research team | Scores: number of articles, monographs, published conference papers, prepared by participants over the previous 5 years; the level of publications, publishers, and conferences; the number and level of articles published in WoS journals; number of articles planned for publication in WoS journals during 3 years. |
| 7. | Research team members | Scores: Team members, including young researchers, (doctoral) students; ability to solve complex research and organizational tasks, conduct research and obtain world-class research results; availability of research publications prepared in co-authorship by research team members and international scholars (e.g., joint research projects, co-authored articles, joint presentations made at international academic conferences). |
| 8. | Anticipated IL contributions to the University’s development, in line with HSE University’s Strategic Development Programme | Scores: Whether or not the input made by the IL shall lead to a significant improvement of research productivity at the University; the IL projected contributions to HSE University’s Strategic Development Programme |

**10.** **Competition Results and Competition Winners**

10.1. The Competition results shall be finalized by November 11, 2019 (inclusive) at a meeting of the Committee responsible for organizing international research projects co-supervised by leading international and Russian researchers at HSE University, where decisions on projects’ financing shall be made on the basis on submitted proposals and the results of the expert review.

10.2. Members of the Committee responsible for organizing international research projects co-supervised by leading international and Russian researchers at HSE University who have submitted proposals for the Competition, e.g. as members of the research team, shall not take part in the voting with respect to the allocation of funds for implementation of relevant projects aimed at Launching International Laboratories at National Research University Higher School of Economics in the period from December 1, 2019 to December 31, 2022.

10.3. Within 10 (ten) days after the announcement of the Competition’s results, winners shall draw up draft IL regulations and submit them for approval to the Vice Rector responsible for coordinating the activities of international laboratories, the Administration and General Services Office, Legal Support Office and Chief Financial Officer.

**11. Returning Competition Proposals**

11.1. Competition Proposals submitted by participants (including supporting documents) shall not be returned to Competition participants and no written review for each proposal shall be provided.

1. Hereinafter, the term “articles” refers to articles and reviews, as well as oral presentations included in the programme of conferences appearing on the List of Conferences in Computer Science, Level А\* according to CORE rating (version as of 2014), which are taken into account for the purposes of awarding Tier 3 academic bonuses, as well as monographs issued by one of the publishing houses listed on the website of HSE University’s Scientometrics Centre at https://scientometrics.hse.ru/evaluation, which are taken into account for the purposes of awarding Tier 3 academic bonuses. [↑](#footnote-ref-1)
2. The following Web of Science indices shall be considered: Science Citation Index Expanded, Social Sciences Citation Index, Arts and Humanities Citation Index. WoS indexation is not mandatory for presentations at conferences included in the relevant List, as well as for monographs issued by publishers included in the relevant List. [↑](#footnote-ref-2)
3. The competition winner will be informed as to the source of funding. [↑](#footnote-ref-3)
4. The number of articles in the relevant research field, which must be published in scientific journals indexed in Q1/Q2 of WoS, shall be defined individually upon approval of the Leading Researcher. Conference presentations delivered at conferences included in the relevant List, as well as monographs issued by publishers included in the relevant List, shall be considered as equivalents of such articles. [↑](#footnote-ref-4)