

Annex
to HSE Directive
No. 6.18.1-01/180123-1,
dated January 18, 2023

APPROVED by
HSE University Academic Council
Minutes No. 12,
dated December 21, 2022

**REGULATIONS for
Staff Research Productivity Assessments at
National Research University Higher School of Economics**

1.1. These Regulations for Staff Research Productivity Assessments at National Research University Higher School of Economics (hereinafter the “Regulations” and “HSE University” or the “University”, respectively) are a bylaw of HSE University, hereby establishing the procedures for assessing the research productivity of the University’s staff (hereinafter “Research Productivity Assessments” or “RPA”).

1.2. Research Productivity Assessments are conducted in order to obtain data about the research output of HSE University’s staff, in order to apply such information when organizing university-wide competitions and other procedures, which require a research productivity index for respective decision-making processes.

1.3. Reviewed publications, which are written by staff members in line with the requirements listed in Annex 1 hereto and within a respective timeframe, shall be the subject to the RPA process. This timeframe shall be determined individually for each mechanism that utilizes RPA and selected from the following options:

1.3.1. 2 (two) full years prior to the current assessment period;

1.3.2. 2 (two) full years prior to the current assessment period and part of the current year prior to the date of the competitive assessment, as stated in the relevant regulations governing the ongoing competitive procedures (hereinafter the “cut-off date”);

1.3.3. other periods of time, if stipulated by the relevant regulations for competitive procedures.

1.4. Research Productivity Assessments are conducted using “Isaac the Robot”, HSE University’s automated electronic system, (<https://www.hse.ru/staff/robot>) (hereinafter “Isaac the Robot”) and focus on information about publications inputted by HSE University staff members to the publications database on the University’s corporate website (portal) and reviewed by the Publication Verification Unit, as well as the Online Media and Mobile Applications Office.

1.5. The procedures and timeframe for review are specified in the Regulations for Recording Information on Academic Publications by Staff and Doctoral Students of National Research University Higher School of Economics (<https://www.hse.ru/docs/228625941.html>) (hereafter the “Regulations for Records on Academic Publications”).

1.6. The staff are obliged to input information about publications in a timely manner to the publications database on the University’s corporate website (portal) and submit papers for review with due consideration of the established timeframe. If an author fails to upload a publication to the database and submit their paper for review by the deadline, as specified in

the Regulations for Records on Academic Publications, this shall not be considered as grounds for revising RPA results.

1.7. If an author is in disagreement with the review results, the procedures set forth in Annex 2 hereto shall be followed.

1.8. RPA results for the periods specified in pp. 1.3.1 and 1.3.2 of the Regulations are made available in staff personal accounts at: <https://www.hse.ru/user/robot/>.

1.9. The results of individual RPAs are not disclosed. However, they may be made available to the following staff categories:

1.9.1. HSE University top administration and heads of subdivisions - in regards to their staff;

1.9.2. staff of the Publication Verification Unit, Scientometrics Centre, the RPA Coordinator, and other staff engaged in RPA administration processes;

1.9.3. coordinators of competitions and other procedures involving the application of RPA data.

1.10. Access to RPA, as specified in p. 1.9 of the Regulations, can be provided as follows:

1.10.1. as a segment of data as at a given date;

1.10.2. on an ongoing basis via the Isaak the Robot system.

1.11. Access can be granted as per an official memo addressed to the Director for Academic Development. This memo should specify information about persons to be granted access, the format of access, the dates for sorting the required data segments, a list of subdivisions, and RPA results.

1.12. Publication activity (segments for monitoring) shall be monitored annually, as of March 25 of the year following the year of the assessment, based on segments of publications for the last 3 (three) full years. Pursuant to the Regulations for Records on Academic Publications, information about publications is to be submitted before February 25 in order to make sure that this information is considered.

1.13. The Regulations shall apply to the following staff categories (with the exception of the categories specified in p. 1.14 hereof):

1.13.1. faculty members at HSE University and its regional campuses (including internationally recruited staff);

1.13.2. researchers at HSE University and its regional campuses, including heads and deputy heads of scientific (research) subdivisions (including internationally recruited staff);

1.13.3. research assistants.

1.14. The following categories of staff are exempt from RPA:

1.14.1. holders of the honorary title (status) of HSE University's Tenured (Honorary) Professor or HSE University Distinguished Professor;

1.14.2. teaching staff working at HSE University as part of an adjunct or teaching track;

1.14.3. internationally recruited staff hired to tenure-track positions, during the first 3 (three) years of their employment;

1.14.4. research assistants and assistants, if they are degree students (at the Bachelor's or Master's degree level), or if they have graduated from a Bachelor's or Master's degree programme in the year of or the year prior to the given RPA¹;

1.14.5. pregnant women; women on a maternity leave, as well as those who returned from a maternity leave less than 5 (five) years ago; staff on leave to care for a child

¹ Students receiving their second (or subsequent) Bachelor's or Master's degree are not exempt from the RPA process.

under 3 (three) years of age, as well as those who have returned from a childcare leave less than 2 (two) years ago;

1.14.6. staff who have been on sick leave for a long period (over 6 (six) months) over the course of the past 3 (three) years.

1.15. Information about procedures for exemption from RPA, as pursuant to p. 1.14 hereof, is available on HSE University corporate website (portal) at: <https://www.hse.ru/science/our/evaluation>.

1.16. Staff members not falling into the categories specified in p. 1.13 hereof have the right to undergo the RPA process at their own request. To this end, they must input information on their publication on their personal page and submit it for review. In such instances, said staff members will be automatically subject to provisions of these Regulations.

1.17. As part of University-wide competitions or other procedures, which include the application of RPA-related data, the following minimum required RPA points apply, depending on the position filled:

| | | | |
|---------------------------------|---|---------------------------|--------------------|
| Chief / Leading Research Fellow | Senior Research Fellow, Junior Research Fellow, Heads and Deputy Heads of research subdivisions | | Research Assistant |
| Professor, Research Professor | Associate Professor / Assistant Professor | Senior Lecturer, Lecturer | Assistant |
| 18 points | 14 points | 12 points | 7 points |

1.18. If staff members are working at several positions as part of an affiliated employment arrangement, including internal and external employment, each position will be matched with the established minimum required criteria.

1.19. The criteria, specified in p. 1.17 hereof, shall apply to all staff members subject to the RPA process, pursuant to p. 1.13 hereof, irrespective of their FTE rate.

1.20. The responsibility for involving staff members subject to RPA in this process, as specified in p. 1.13 hereof, including the timely input of publications into their personal pages, and ensuring that the individual results of said staff members meet the criteria for the respective positions that they occupy, lies with the heads of their respective subdivisions.

1.21. The University-wide Committee for Research Productivity Assessment (hereafter the "RPA Committee") is the highest authority for matters relating to assessments of HSE University staff members' research productivity. The operational procedures of the RPA Committee are specified in Annex 2 to these Regulations.

Criteria for Annual Staff Research Productivity Assessments

1. A publication refers to a work that has been published and composed in accordance with academic writing standards and released by publishing house either in print form or electronic media. Publications must include an ISBN or ISSN identifier, the editor's name, and established circulation.

2. Only peer-reviewed publications shall be considered under the RPA process. If necessary, the RPA Coordinator, staff from the Office for Research Evaluation (ORE) or the Publication Verification Unit may request reviews from the candidate in hard copies or as correspondence with reviewers. If no proof of a publication review is available, a publication shall not be considered under the RPA process.

3. The following definitions shall be used as part of the RPA process with respect to peer-reviewed publications:

3.1. A monograph refers to an academic publication, which contains a complete and comprehensive analysis of a problem or a topic, prepared by an author independently or in co-authorship. In a given monograph, as a rule, the author (co-authors) shall be indicated on the cover, the front page and the reverse side of the front page. A monograph should provide information about 2 (two) or several reviewers holding an academic degree, who should be indicated in the details of the monograph. Exceptions may include monographs put out by foreign publishers. A monograph must feature a coherent structure, as described in its preface with references to all chapters. The cohesion of its structure shall also be demonstrated through mutual links between chapters and a logical transition from one chapter to another. A consistent scientific approach and terminology must be maintained in the entire text of the monograph. A monograph usually has a conclusion and, as a rule, a subject index, as well as a list of references. If a monograph has been written by several co-authors, it should have an executive editor. Authors of individual chapters, if such chapters are written by different authors, are usually not indicated in the chapter, but their names must be listed on the reverse side of the front page.

3.2. An article refers to an author's completed paper, describing the outcomes of original scientific research (i.e., an initial scientific article, hereafter an "article") or devoted to a review of previously published academic articles on the same topic (i.e., a scientific article, hereafter a "review") and published in an academic journal.

3.3. An academic publication refers to a publication which describes outcomes of theoretical and/or experimental research, as well as cultural heritage and historical documents prepared for publication.

3.4. An academic journal refers to a scientific publication, which features articles and materials on theoretical and experimental research, as well as articles and materials of an applied nature intended for researchers. Academic journals must follow the established criteria in terms of regular frequency of publication (at least 2 (two) times a year), a system of peer review and scientific editing, academic standards for the contents and format of an article's text, as well as available electronic versions.

3.5. A scientific review is published in an academic journal for the purpose of providing scientific commentary on a previously published publication.

3.6. A collection of academic papers (a collection of scientific articles) refers to a collection of papers produced by academic institutions or scientific organizations, including research teams. With respect to collections of academic papers, an individual article (chapter) refers to a scientific article and, as a rule, indicates the following details: the authors and their affiliations, an abstract, keywords, and a list of references. The abbreviations used, terminology and scientific approach may vary for individual chapters. Mutual references in individual chapters, with the exception of the preface, are rarely used, if at all. Each chapter may be considered independently on its own and without any harm to the overall logic of the scientific publication. If a collection of papers is being considered, as a rule, each chapter, but not the collection of papers in general, shall be individually reviewed.

3.7. Conference proceedings refer to a scientific publication specially prepared for the publication of proceedings of conferences in which no additional reviews are provided, other than reviews produced under the auspices of the conference. Articles in conference proceedings shall be considered if they feature all the characteristics of a scientific article, and not just an abstract or an extended abstract, regardless of the type of a report (e.g., a poster, an invited report, oral presentation, or any other report). Publications, which have been included in conference special issues of academic journals, or in special sections of regular issues, shall be classified as journal articles by default. If there is any doubt that an individual and conference-independent peer review, similar to the standard peer review, has been conducted in a given journal, the RPA Coordinator, staff of the Office for Research Evaluation and the Publication Verification Unit may request that authors submit the reviews received from the editorial office of the journal, as well as the editor's notification. In the absence of reviews or an editor's letter, such papers shall be classified in the category of conference proceedings.

3.8. A textbook refers to an educational publication, which features a systemic presentation of an academic discipline, its respective sections or topics, meeting the criteria of the educational programme and officially recognized as this type of edition, with information about (at least 2 (two)) reviewers provided. Textbooks published by foreign printers may be noted as an exception in regards to information about reviewers. The contents of a textbook should include a description of the teaching and learning methods used in the particular field, the methodological foundations of the basic laws and functional patterns used for developments in the respective field of knowledge or activities, as well as key issues and the most important trends in the development of the respective field of study.

3.9. A study guide is an educational and theoretical publication that partially replaces or supplements a textbook and is officially recognized as such type of publication, providing information about (at least 2 (two)) reviewers. Study guides are usually issued as a supplement to textbooks and may cover only 1 (one) or several parts of the course syllabus, but not the entire course.

4. Revised articles, monographs, textbooks, etc., may be recognized as separate publications if at least 30% of the text is new. If this requirement is not met, the publication shall be classified as a "Republication" and subsequently verified by the Publication Verification Unit. However, this shall not be assessed by Isaac the Robot. This rule also applies to translations.

5. A publication without an accurate affiliation with HSE University (please refer to recommendations here: <https://scientometrics.hse.ru/evaluation>) may only be considered if it

was released in the year when a respective researcher started his/her employment at HSE University or earlier.

6. The A+, A, B, C, D, and Z lists of eligible journals, the A^P list of leading publishers, and the A^{CONF} list of conferences in Computer Sciences are updated every year by the HSE University's Scientometrics Centre and published on the Centre's website (<https://scientometrics.hse.ru>). Assessments of publications are based on the Scientometrics Centre lists that are in force at the time of the respective assessment. The lists of journals shall be updated pursuant to the Regulations on the Consolidated List of Journals and Publishers for the Purposes of Awarding Academic Bonuses of HSE University's Staff.

7. The following types of eligible publications shall be considered as part of Research Productivity Assessment process, and the following points shall be awarded.

| | Types of Publication | Points Awarded | Minimum² number of pages (pages) | If there are more than 4 co-authors minimum² number of pages per co-author, at least (pages) |
|---|--|-----------------------|--|--|
| | <i>Monographs (books) and related chapters</i> | | | |
| 1 | A monograph put out by a publisher included in the A ^P List of Publishers ³ | 18 | 100 | 50 |
| 2 | A chapter (chapters) in a monograph ⁴ , put out by a publisher included in the A ^P List of Publishers. | 5 (7) | 10 total (10 per chapter on average) | 10 total (10 per chapter on average) |
| 3 | An article in an academic edition (collection), including conference proceedings, put out by a publisher included in the A ^P List of Publishers and/or an article in a WoS/Scopus-indexed conference proceedings (up to 2 (two) articles/chapters in one journal may be considered) | 3 | 5 ⁵ | – |
| 4 | An article in conference proceedings (journal) from the A ^{CONF} List of Eligible Conferences | 18 | - | - |

² For electronic publications without page numbering, the number of pages gets calculated at: 5 (five) pages = 10,000 characters.

³ For the purposes of this point, etymological dictionaries, as well as dictionaries of languages, with no written forms; dictionaries of rare and understudied languages; and corpus dictionaries of ancient written languages, are considered as the equivalent of monographs.

⁴ This category does not consider collections of publications (articles) without a preface describing chapters and the structure of the paper, and conference proceedings.

⁵ Restrictions with respect to the number of pages shall not apply in such fields as: Mathematics, Applied Mathematics, Computer Science, Physics, Chemistry and Engineering.

| | | | | |
|---|--|-------|--------------------------------------|--------------------------------------|
| 5 | Editing a monograph ⁶ , put out by a publisher included in the A ^P List of Publishers ⁷ | 10 | 100 | - |
| 6 | A monograph put out by a publisher not included in the A ^P List of Publishers ⁸ | 8 | 100 | 50 |
| 7 | A chapter (chapters) of a monograph put out by a publisher not included in the A ^P List of Publishers | 3 (4) | 10 total (10 per chapter on average) | 10 total (10 per chapter on average) |
| <i>Textbooks, Study Guides, and Related Chapters</i> | | | | |
| 8 | A textbook | 7 | 100 | 50 |
| 9 | A textbook chapter (chapters) | 3(5) | 15 total (15 per chapter on average) | 15 total (15 per chapter on average) |
| 10 | A study guide | 4 | 100 | 50 |
| 11 | A chapter (chapters) in a study guide | 1 (2) | 15 total (15 per chapter on average) | 15 total (15 per chapter on average) |
| <i>Articles / Reviews in Academic Journals⁹</i> | | | | |
| 12 | An article in an academic journal included in the A+ List | 18 | - | - |
| 13 | An article in an academic journal included in the A List | 18 | - | - |
| 14 | An article in an academic journal included in the B List | 7 | - | - |
| 15 | An article in an academic journal included in the C List | 6 | - | - |
| 16 | An article in an academic journal included in the D List | 5 | - | - |
| 17 | A scholarly review in a journal included in the A+, A, B, C, or D Lists (no more than 2 (two) reviews may be considered) | 2 | 3 | - |

⁶ This category does not consider collections of publications (articles) without a preface describing chapters and the structure of the paper, and conference proceedings.

⁷ In cases when the type of editing is not defined as "Executive Editing" in the details, the Office for Research Evaluation shall decide whether any points should be awarded. If one staff member is acting both as the author and managing editor of a book and chapters, the points for authorship and editing are not combined, and the maximum score is selected.

⁸ For the purposes of this paragraph, etymological dictionaries, as well as dictionaries of languages, having no written forms; dictionaries of rare and understudied languages; and corpus dictionaries of ancient written languages, are considered as an equivalent of monographs.

⁹ Restrictions with respect to the number of pages shall not apply in such fields as: Mathematics, Applied Mathematics, Computer Science, Physics, Chemistry and Engineering.

| <i>Other Publications</i> | | | |
|---------------------------|---|--|---|
| 18 | <p>1) publications of new historical sources introduced for the scholarly discussion;</p> <p>2) publications of archive materials with a translation thereof and/or detailed scientific commentary;</p> <p>3) publications of translations of texts of scientific, philosophical or religious heritage, translations of economic, administrative and literary texts of historic and cultural importance from ancient, oriental and rare languages, as well as archaic variations of European languages, into Russian and other contemporary languages, accompanied by a detailed scientific commentary;</p> <p>4) publications of prefaces, epilogues, comments, introductions, conclusions and articles in encyclopedias, etc.</p> | <p>The most comparable type of publication shall be identified from those specified above for the purpose of determining the score to assign to the publication from this list of “Other Publications”</p> | <p>Provided that the work meets all formal requirements for the respective type of publication: monograph, chapter in a monograph, an article in a peer-reviewed journal, or an article in conference proceedings</p> |

8. The following results of academic works are not subject to RPA:
- 8.1. pre-prints;
 - 8.2. articles and review articles in academic journals initially published online ('online first') (with the exception of online journals, which do not have printed versions), i.e., in journals whereby the online-first publication is considered final and bibliographic data (year, issue/edition, etc.) are not subject to subsequent changes;
 - 8.3. editorials, which contain reviews of articles describing the conference outcomes, etc.;
 - 8.4. in memoriam publications;
 - 8.5. published dissertations and author's abstracts;
 - 8.6. unpublished materials (e.g., reports on research work; materials submitted for publication);
 - 8.7. papers that have been published in the author's version without any prior editing and reviewing procedures;
 - 8.8. theses of reports and presentations;
 - 8.9. articles in conference proceedings drawn from materials of virtual conferences;
 - 8.10. booklets / pamphlets;
 - 8.11. scientific reports, including works put out by the HSE Publishing House, either individually or in collections of papers;
 - 8.12. transcripts and reviews of presentations at conferences and roundtables;
 - 8.13. materials published in newspapers, analytical, popular science and as part of other non-academic publications;
 - 8.14. teaching and learning materials;
 - 8.15. anthologies;
 - 8.16. translations of academic/scientific texts from a foreign language;
 - 8.17. reference works (e.g., dictionaries and reference books, with the exception of dictionaries mentioned footnotes 3 and 8, reference books, etc.);
 - 8.18. certificates of invention, copyright certificates and patents issued and awarded for inventions, utility models, industrial designs, certificates for software programs and databases, as well as topologies of integrated circuits.

Procedures for the University-wide Committee for Research Productivity Assessments

1. HSE University's RPA Committee shall be established by a directive issued by the Vice Rector charged with monitoring and analysis of HSE University's staff research productivity.

2. The University-wide Committee for Research Productivity Assessment (hereinafter the "RPA Committee") shall be responsible for:

2.1. reviewing cases, if the Publication Verification Unit and the Office for Research Evaluation have not reached decision with respect to such cases, or in the event of a staff member's disagreement with the decision issued;

2.2. initial expert reviews of publications with the aim of identifying an author's respective contributions (as a first or corresponding author) to respective papers, as pursuant to p. 10.5 of the Regulations on Academic Merit Bonuses;

2.3. other authorities set forth in HSE University's bylaws.

3. As a rule, meetings of the RPA Committee are held by e-mail, while decisions shall be made via online voting procedures. HSE University's academic staff undergoing the RPA process, Vice Rectors coordinating research and educational activities at the University, as well as the Director for Academic Development, the RPA Coordinator, the Publication Verification Unit, the Office for Research Evaluation, and the Centre for Basic Research, may file an inquiry with the RPA Committee.

4. In those cases described in p. 2.1 hereof, the RPA Committee shall proceed as follows:

4.1. If a staff member is in disagreement with the verification results, he/she must address the Publication Verification Unit for a detailed explanation of the decision provided. The Publication Verification Unit shall prepare their reply jointly, if necessary, with the Office for Research Evaluation;

4.2. If a staff member is in disagreement with the decision provided by both the Publication Verification Unit and the Office for Research Evaluation, the former shall forward the materials (including the publication, decisions issued by the Publication Verification Unit and the Office for Research Evaluation, along with the staff member's inquiry) to the RPA Coordinator;

4.3. The RPA Coordinator shall submit the materials for review and discussion to the RPA Committee. Inquiries will be reviewed within 30 days. The staff-member will be informed about the RPA Committee's decision via corporate e-mail, and the information may be uploaded into the Isaak the Robot system.

5. If an event similar to what is described in p. 2.2 occurs, the RPA Committee shall proceed as follows:

5.1. The Scientometrics Centre shall submit publications with HSE University's affiliation from the A List, which meet the requirements of p. 10.5 of the Regulations on Academic Merit Bonuses, to the RPA Coordinator.

5.2. A decision on the option of recognizing an author's respective contributions (as a first or corresponding author) to the relevant works shall be made by the Committee within 30 days.

6. Members of the RPA Committee must respect the confidentiality of any personalized information regarding RPA processes involving HSE University staff.

7. The RPA Committee reaches decisions by a simple majority vote of all members in attendance at the meeting. If there is a tie, the Committee's chairperson has the right to cast the deciding vote.

8. The activities of the RPA Committee are coordinated by its secretary. The RPA Coordinator acts as the RPA Committee's secretary.