

APPROVED by
Programme Council of the HSE Academic Fund
Minutes No. 4, dated September 9, 2015

Regulations on the List of Non-eligible Journals and Publishers for Allocation of Academic Bonuses and Research Productivity Assessment at HSE

1. General Provisions

1.1. These Regulations on the List of Non-Eligible Journals and Publishers for Allocation of Academic Bonuses and Research Productivity Assessment at HSE (hereinafter, the “List of Non-eligible Journals”, or the “List”) is a document, which contains the titles of Russian and foreign journals and publishers. Publications in any of the aforementioned journals and editions shall not be considered eligible for the purposes of allocation of academic bonuses and research productivity assessments of HSE researchers. The quality level of publications in such journals and editions is below the minimal threshold established for works accepted for academic bonuses or research productivity assessments.

1.2. The details of each journal included on the List of Non-eligible Journals must include its official name, ISSN, official website and publisher (if this information is available in the public domain). For Russian journals or journals in the Russian language, these details must also include a link to a given journal’s profile in the Russian Science Citation Index (RSCI) published at eLIBRARY.ru (if applicable).

1.3. Details of each publisher on the List of Non-eligible Journals must include its official name and website, which should feature a list of journals and books produced by the publisher, as well as a link to the publisher’s profile in RSCI (if this information is available in the public domain). All journals, which are and/or have been produced by this publisher according to information on its official website shall be deemed added to the List by default unless expressly stated otherwise on the List.

¹ In accordance with p. 2.5 of the Regulations on Academic Bonuses at National Research University Higher School of Economics

If a relevant list of journals is not available on the publisher's official website, or on the RSCI website, it shall be provided in the List of Non-eligible Journals.

2. Expert Review

2.1. The List of Non-eligible Journals shall be compiled and modified by the Programme Council of the HSE Academic Fund (hereinafter, the "Council") based on the results of expert reviews performed by the HSE Office for Research Evaluation. The expert review procedure includes an analysis of the contents, peer review and editing practices, official websites and bibliometric and other characteristics of the respective journals and publishers. Similar lists drawn up by external experts shall also be considered.

2.2. The executive director of the HSE Academic Fund (hereinafter, the "executive director") is authorized to make decisions as to whether or not a specific journal should be added to the List or removed from it. Expert reviews shall be performed by the employees of the HSE Office for Research Evaluation (engagement of external experts is also allowed) within 20 (twenty) working days following the date when it was established that an expert review is required. The head of the HSE Office for Research Evaluation shall forward the results of the expert review to the executive director. If the Council does not have any claims with respect to the quality of the expert review, the given journal/publisher may undergo another expert review no earlier than within 2 (two) years following the initial review. Should the Council have any claims as to the quality of the expert review, it may return the report for revision to the HSE Office for Research Evaluation, which must make respective adjustments within 10 (ten) working days from the date when the claims were filed.

2.3. The List of Non-eligible Journals may be modified as per a decision adopted by the Council based on expert reports submitted by the HSE Office for Research Evaluation. The Council shall review all expert reports within 2 (two) weeks following their submission. The List published on the official website of the HSE Academic Fund shall be updated within 2 (two) working days from the date when a respective decision is adopted by the Council.

2.4. Expert reports shall be prepared by the employees of the HSE Office for Research

Evaluation based on standard criteria (Annex 1). A separate expert report shall be drawn up for each journal or publisher. Expert reports must include a table containing a list of criteria, which a specific journal/publisher should meet (along with a link to the source of information for each criterion), as well as a brief text addressed to the Council. If a journal/publisher meets at least 1 (one) pass-fail criterion, or more than 1 (one) first-class criterion, the head of the HSE Office for Research Evaluation shall submit the relevant expert report to the executive director.

2.5. All expert reports shall be stored with the HSE Office for Research Evaluation and may only be disclosed to the Council's members and HSE employees who are editors or sit on the editorial board or have published papers in the journals in question. The head of the HSE Office for Research Evaluation shall forward expert reports to the University's employees if the latter file a written request. All expert reports must be confidential and cannot be disclosed to third parties.

2.6. All journals and publishers mentioned in one of the lists at scholarlyoa.com (the Jeffrey Beall's lists available at <http://scholarlyoa.com/publishers/> and <http://scholarlyoa.com/individual-journals/>) as of the date of the most recent update shall be added to the List of Non-eligible Journals by default unless the List expressly states otherwise. If an HSE employee who has published an academic paper in a journal mentioned at scholarlyoa.com wishes to have this publication considered with respect to the allocation of academic bonuses or research productivity assessments, and has reason to believe that a respective journal/publisher should not be on this list, he/she may contact the head of the HSE Office for Research Evaluation and request that an additional expert review be performed. The employee must support his/her request with specific arguments in favour of this opinion. If the head of the HSE Office for Research Evaluation considers these arguments to be substantial, he/she may initiate an expert review, which shall be conducted as per the standard procedure specified herein. A relevant expert report shall be then submitted to the Council for further consideration. The Council may establish that a specific publisher/journal should be removed from the List. An entry to this effect shall be then added to the List of Non-eligible Journals.

2.7. If the List includes 2 (two) or more journals produced by the same publisher, the latter

shall be added to the List by default. As a result, all journals produced by this publisher shall all be deemed included on the List (unless expressly stated otherwise therein).

2.8. The respective academic councils and HR committees of HSE's subdivisions may contact the executive director and request that an expert review of specific journals be performed so that they could be subsequently added or removed from the List. The executive director shall then decide as to whether or not the expert review is viable and may disregard any requests that do not feature sufficient grounds to justify the review.

2.9. The List of Non-eligible Journals shall be published on the webpage (website) of the HSE Academic Fund, hosted on HSE's official website (portal). The List shall be accessible through employees' personal profiles (login and password are required).

2.10. These Regulations, as well as the criteria used for drawing up expert reports, shall be published on the HSE Academic Fund's webpage (website), hosted on the University's official website (portal).

Annex 1 to
Regulations on the List of Non-Eligible Journals
and Publishers for Allocation of Academic Bonuses
and Research Productivity Assessment at HSE

Criteria Used for Preparing Expert Reports in Regards to Journals under Review

No.	Criteria	Importance (pass-fail (PF) \ first-class (FC)\ second-class (SC) criteria)	Source of information for check	Group of criteria
1.1	No ISSN is specified on journal's website or its printed version	FC (PF if no ISSN can be found in the public domain)	Journal's website, RSCI (for Russian journals and journals in Russian included in the database) or WoS\Scopus (for journals indexed by these databases), official full-text, hard or e-copies of publications	Technical requirements
1.2	Publications do not include affiliation and/or authors' contact details	SC (FC if no e-mail and place of work are specified for each author)	Journal's website (if its archive is available on the website), RSCI (for Russian journals and journals in Russian included in the database) or WoS\Scopus (for journals indexed in these databases), official full-text hard or e-copies of publications	Technical requirements

2.1	Any publications produced over the last 3 years not containing bibliographies and/or page-by-page references or only featuring short bibliographies (examples must be presented)	FC (PF if articles feature neither bibliographies nor page-by-page references)	Journal's website, (if its archive is available on the website), RSCI (for Russian journals and journals in Russian included in the database) or WoS\Scopus (for journals indexed by these databases), official full-text hard or e-copies of publications	Content
2.2	Journals containing publications in 2 or more unrelated academic fields (in terms of topics or methodology)	FC	Journal's website (if its archive or contents are available on the website), RSCI (for Russian journals and journals in Russian included in the database) or WoS\Scopus (for journals indexed by these databases)	Content

2.3	Journal's title is not related to the topics of its publications and/or its authors originate from regions other than those specified in the title (e.g., the editorial board of the <i>European Journal of Scientific Research</i> is based in Pakistan and/or this journal publishes articles by Indian and Chinese authors or if the <i>Mediterranean Journal of Social Sciences</i> features publications in physics and electronics)	FC	Journal's website, RSCI (for Russian journals and journals in Russian included in the database) or WoS\Scopus (for journals indexed by these databases), official full-text hard or e-copies of publications	Content
2.4	Articles have not been properly edited/proofread (examples provided)	FC	Journal's website, RSCI (for Russian journals and journals in Russian included in the database), official full-text hard or e-copies of publications	Content
2.5	Journal with articles, which have been previously published in other journals over the last 3 years (examples provided)	FC	Journal's website where the same article has been published, RSCI (for Russian journals and journals in Russian included in the database) or WoS\Scopus (for journals indexed by these databases), official full-text hard or e-copies of publications	Content

2.6	Journal is positioned as a popular science journal or practice-oriented/analytical journal, or journal's target audience includes persons who are not engaged in R&D work at their place of employment	FC	Journal's website, official full-text hard or e-copies of publications	Content
2.7	Journal has been producing short (1-3 page) publications over the last 3 years – with respect to the humanities	SC	Journal's website, RSCI (for Russian journals and journals in Russian included in the database) or WoS\Scopus (for journals indexed by these databases), official full-text hard or e-copies of publications	Content
3.1	Publisher's details are not available on journal's website (e.g., title, address, phone number, e-mail and full name of its chief editor), or there is no link to the publisher's official website on the website	FC	Journal's website	Website

3.2	Journal does not have an official website	FC	Internet	Website
3.3	Journal's website or its printed version claims that it is indexed in WoS and/or Scopus, but this is, in fact, not true	FC (SC if the journal had been indexed in WoS and/or Scopus and was removed from these databases no more than 6 months prior to the date of expert review)	Journal's website, official full-text hard or e-copies of publications	Website
3.4	Lack of abstracts, keywords and/or authors' details in Russian (for journals in Russian) and English for all articles; no reviews available on journal's website	FC (SC if abstracts and keywords are available only in Russian)	Journal's website	Website
3.5	Journal's website or its printed version contains indicators included in the Misleading Metrics List, available at: http://scholarlyoa.com/other-pages/misleading-metrics/	SC	Journal's website, official full-text hard or e-copies of publications	Website
4.1	Journal requests that authors submit peer reviews in addition to their manuscripts	FC	Journal's website	Peer review
4.2	Standard timeframe on journal's website for peer review of publications (e.g., date of submission vs. date of publication) is too short to ensure high-quality review (2-3 weeks or less)	FC	Journal's website	Peer review

4.3	Lack of information on peer review process	FC (SC if peer reviews are declared but no regulations are available)	Journal's website, official full-text hard or e-copies of publications	Peer review
4.4	Journal does not disclose peer reviews to authors	SC (FC if a journal's website or its issues expressly state that peer reviews cannot be provided even upon request)	Journal's website, official full-text hard or e-copies of publications	Peer review
5.1	No details about the editorial board and/or editor-in-chief are provided	FC (PF if no editorial board is mentioned either on the website or in the journal's issues)	Journal's website, official full-text hard or e-copies of publications	Editors and editorial board
5.2	Editorial board includes less than 5 persons	FC	Journal's website, official full-text hard or e-copies of publications	Editors and editorial board
5.3	Publisher or journal openly recruits scholars to join its editorial board (on the website or via spam e-mails)	FC	Journal's website, examples of spam e-mails, provided by persons working in research and higher education	Editors and editorial board

5.4	Journal's editorial board includes persons who did not give their consent to join (should be confirmed by e-mail by such persons); Experts of the HSE Office of Research Evaluation may contact editorial board members if they have any grounds to believe that details provided on the website or printed version may be untrue.	FC	Journal's website, e-mail confirmation by persons who did not provide their consent to join the editorial board, but are nevertheless listed as its members	Editors and editorial board
5.5	Place of work of editorial board members is not specified	SC (FC if the place of work is not mentioned on the website and in journal issues)	Journal's website, official full-text hard or e-copies of publications	Editors and editorial board
5.6	Journal's editorial board includes authors of publications in other journals and editions on the List	SC	Journal's website, official full-text hard or e-copies of publications	Editors and editorial board
5.7	Journal's editorial board does not include representatives of foreign research institutions	SC	Journal's website, official full-text hard or e-copies of publications	Editors and editorial board
5.8	Owner or director of a publishing house is also the editor-in-chief of its journals (applicable to for-profit-publishers)	SC	Websites of journals produced by the publisher, official full-text hard or e-copies of publications	Editors and editorial board

5.9	More than 30% of journal's editorial board members sit on editorial board of another journal produced by the same publisher	SC	Websites of journals produced by the publisher, official full-text hard or e-copies of publications	Editors and editorial board
5.10	Journal's editorial board includes persons with no publications indexed in WoS Core Collection or Scopus (for foreign journals) or RSCI (for Russian journals and journals in Russian) over the last 10 years	SC	Journal's website, WoS Core Collection, Scopus (for foreign journals or representative of foreign research institutions on journal's editorial board), RSCI (for Russian journals and journals in Russian)	Editors and editorial board
5.11	Journal's editorial board does not include experts in relevant academic fields	SC	Journal's website, official full-text hard or e-copies of publications, CV or list of publications of persons on journal's editorial board (personal profiles in RSCI, Web of Science or Scopus)	Editors and editorial board

5.12	Inaccurate or false information about the position, academic degree and/or place of work of one or more persons on journal's editorial board	SC	Journal's website, official full-text hard or e-copies of publications, information on the position of an editorial board member or his/her CV presented on his/her official webpage or on the website of the institution where he/she is employed	Editors and editorial board
6.1	Fee-based virtual conferences are advertised online and/or in hard copy of the journal	FC	Journal's website, official full-text hard or e-copies of publications	Hard sell of services, commerce
6.2	Expedited publication of articles for a fee	FC	Journal's website	Hard sell of services, commerce
6.3	Spam messages sent to persons who did not give their consent for encouraging them to submit their articles	FC	Examples of spam messages	Hard sell of services, commerce

6.4	Journal's editorial board advertises additional fee-based services for authors on its website or in spam messages	FC	Journal's website, examples of spam messages	Hard sell of services, commerce
6.5	Journal uses indirect methods to obtain payment for publication of manuscripts (e.g., hard sell of subscription, etc.,)	FC	Journal's website, official full-text hard or e-copies of publications	Hard sell of services, commerce
7.1	Abnormally high number of publications produced over the most recent year	FC (PF if more than 1,000 articles have been published)	Journal's website (if its archive is available on the website), RSCI (for Russian journals and journals in Russian) or WoS/Scopus (for journals indexed in these databases)	Bibliometrics and citation index
7.2	Extra issues of the journal are published in addition to numbered issues	FC (PF if more than 100 publications have been produced in additional issues over the most recent year)	Journal's website (if its archive is available on the website), official full-text hard or e-copies of publications, RSCI (for Russian journals and journals in Russian) or WoS/Scopus (for journals indexed in these databases)	Bibliometrics and citation index

7.3	Journal's editorial team recommends that references to specific journals be included in manuscripts or automatic text reference search tools within a limited number of journals are available (as advertised on journal's website or by e-mail)	FC	Journal's website, examples of e-mails received by potential authors from the editorial team	Bibliometrics and citation index
7.4	Excessive cross-referencing between journals issued by the same publisher or affiliated publishers	FC	RSCI (for Russian journals and journals in Russian) or WoS/Scopus (for journals indexed in these databases)	Bibliometrics and citation index
7.5	Journal has had a high (over 30%) self-citation index over the last 3 years according to RSCI (for Russian journals and journals in Russian, which are not indexed in WoS or Scopus) or WoS/Scopus (for all other journals)	SC (FC if self-citation index exceeds 50%)	RSCI (for Russian journals and journals in Russian) or WoS/Scopus (for journals indexed in these databases)	Bibliometrics and citation index
7.6	High share (over 30%) of publications authored by persons employed at the organization responsible for journal over the last 3 years according to RSCI (for Russian journals and journals in Russian, which are not indexed in WoS or Scopus) or WoS/Scopus (for all other journals)	SC (FC if this share exceeds 50%)	RSCI (for Russian journals and journals in Russian) or WoS/Scopus (for journals indexed in these databases)	Bibliometrics and citation index

7.7	Journal is not indexed by RSCI (for Russian journals and journals in Russian) or in WoS or Scopus (for foreign journals)	SC	RSCI (for Russian journals and journals in Russian) or WoS/Scopus (for journals indexed in these databases)	Bibliometrics and citation index
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