Annex 1

to the Rector’s Order No. 61/оd dated 22.05.2017

APPROVED BY

Rector

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Petr S. Chubik

22.05.2017

# REGULATIONS

**on the Record of Group A Indicators within RAS Effective Contract Regarding Supervision and Participation in R&D Projects and APES**

# Acronyms and definitions

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| --- | --- |
| **APES** | – Additional Paid Educational Services  |
| **CC** | – Civil Contract with individual person  |
| **UIS** | – Unified Information System of TPU |
| **ISS** | – Information and Software System |
| **R&D**  | – Research and Development |
| **RAS** | – Research and Academic Staff |
| **RS** | – Research Staff |
| **AS** | – Academic Staff |
| **AFEP** | – Accounting of Financial and Economic Performance |
| **AC** | – Academic Council |
| **FTP** | – Federal Target Program |

# General provisions

## Purpose and scope

* 1. Regulations on the Record of Group A Indicators within RAS Effective Contract Regarding Supervision and Participation in R&D Projects and APES (hereinafter referred to as the Regulations) ratifies the order of calculation and recording of academic and research performance indicators (criteria) of employees within the effective contract at Tomsk Polytechnic University (hereinafter referred to as the TPU).
	2. Requirements and guidelines of the Regulations are aimed at calculation and record of performance indicators regarding supervision and participation in R&D projects and APES that fall under performance indicators (criteria) of Group A within the effective contract of RAS TPU and are extended to all structural divisions of TPU, including separate structural divisions.
	3. List of indicators, minimal (planned) values of each academic and research performance indicator, requirements to their achievement, as well as terms of recognition are defined by the Regulations on Effective Contract for RAS TPU and internal policies and procedures of TPU.
	4. The Regulations are applied by TPU staff responsible for record and calculation of the corresponding performance indicators.
	5. RAS TPU is responsible for academic and research performance indicators.
	6. Amendments and additions to the Regulations are made pursuant to the procedure and in cases stipulated by internal policies and procedures of TPU.

## Subject of the Regulations

* 1. The subject of the Regulations includes performance indicators of Group A regarding RAS supervision and participation in R&D projects and APES.
	2. Performance indicators regarding supervision and participation in R&D projects and APES are considered confidential and are listed in Table 1.

Table 1. Performance indicators regarding supervision and participation in R&D projects and APES

| Reference code | Indicator |
| --- | --- |
| PR-А-6 | Coordination of a grant, commercial agreement, contract or agreement on additional paid educational services with the total financing attracted to TPU in the reporting period in the amount over *Sumprj*\* rub.  |
| PR-А-7 | Contribution to a project financed under a competitive grant, commercial agreement, contract or agreement on additional paid educational services that provides for off-budgetary or other forms of financing (exclusive of the funds of the Leading Research University project) and remuneration under civil contracts in the amount at least *Sumslr*\* rub.  |

**\*** Sumprj, Sumslr – minimal (planned) values of indicators stipulated by separate internal policies and procedures of TPU within the operating system of effective contract for RAS TPU.

# Calculation and record of performance indicators

## General provisions on calculation of performance indicators regarding supervision and participation in R&D projects and APES (PR-А-6 and PR-А-7)

* 1. The period from July 1 to June 30 of the following calendar year is accepted as the period for calculation of PR-A-6 and PR-A-7 performance indicators.
	2. Calculation of indicators is made project-wise (civil contracts, agreements, programs, grants, programs of additional education).
	3. Calculation of PR-A-6 and PR-A-7 performance indicators includes competitive projects financed from budgets at all levels or projects undertaken within income-generating activity and fallen under areas of Science and APES: scientific, research, or R&D projects, civil contracts, agreements, programs and grants, as well as programs of additional education.

Within the scope of the Regulations the programs of additional education are understood as a portfolio of APES contracts concluded within one educational program for a certain period and supervised by one employee (project leader).

Projects financed within the University Development Program and other internal TPU programs, as well as projects deemed target contracts and donation agreements shall not be calculated as part of PR-A-6 and PR-A-7 indicators.

* 1. The total value of PR-A-6 performance indicator is calculated according to the following formula:

PR-А-6 = $ Sum\_{in}-Sum\_{out}$

where

$Sum\_{in}$ – total amount of money actually received on TPU accounts within the reporting period of projects where RAS member acts as a coordinator;

$Sum\_{out}$ – total amount of money returned to the customer within the reporting period of projects where RAS member acts as a coordinator.

In case $Sum\_{out}$ exceeds $Sum\_{in}$ the total value of PR-A-6 performance indicator is taken to be equal to zero.

* 1. The total value of PR-A-7 performance indicator is calculated according to the following formula:

PR-А-7 = $\sum\_{}^{}S\_{emp}+\sum\_{}^{}CC\_{emp} $

where

$S\_{emp}$ **–** salary (extra payments, supplements or other allowances bound to actual performance under the project) for the corresponding position financed from projects falling under item 3.3 of the Regulations;

$CC\_{emp}$ – remunerations bound to actual performance under the project, under acceptance certificates within civil contracts financed from projects falling under item 3.3 of the Regulations.

In case an employee combines several positions or employment rates at TPU, then the fact of payment under the civil contract or the fact of salary reporting from the corresponding project in place of work and in position where the employee acts as the RAS member is taken into account when calculating the PR-A-7 performance indicator.

## Record of performance indicators regarding supervision and participation in R&D projects and APES

* 1. Planning of PR-A-6 and PR-A-7 performance indicators regarding supervision and participation in R&D projects and APES and their comparison with actual results is done automatically via UIS TPU and AFEP TPU.
	2. Planned values of PR-A-6 and PR-A-7 performance indicators are included into UIS TPU in compliance with the Regulations on RAS TPU Effective Contract through ISS ‘Individual Plan of AS/RS’.
	3. Calculation of actual values of PR-A-6 and PR-A-7 performance indicators is made via AFEP TPU implying data export to UIS TPU. Information on actual performance of indicators is listed in ISS ‘Individual Plan of AS/RS’.
	4. Salary calculation database ‘1C. Salary’ AFEP TPU serves the data source on actual accrual of remunerations for participation in projects.
	5. Database ‘1C. Accounts Department of TPU’ AFEP TPU (accounting of cash inflows and outflows) serves the data source for calculation of PR-A-6 performance indicator.
	6. Value of PR-A-7 performance indicator is confirmed by actual data on salary calculation. All signed acceptance certificates, orders on salary payment and other documents shall be de facto reflected in salary accounting for the period of calculation of indicators as provided for in item 3.1 of the Regulations.
	7. Record of actual values of PR-A-6 and PR-A-7 performance indicators is done via AFEP TPU across projects and RAS accurately to a ruble following rounding to the nearest whole number.
	8. PR-A-6 and PR-A-7 performance indicators are reported cumulatively for all RAS in ISS ‘Individual Plan of AS/RS’ accurately to a ruble following rounding to the nearest whole number.
	9. Information on PR-A-6 and PR-A-7 performance indicators is daily updated in ISS ‘Individual Plan of AS/RS’ and is used for reference only. Operational values of indicators are shown in employee’s personal account in section ‘Professional Activity>Performance Indicators>Indicators without Non-Recurrent Allowances of AC (operational)’.

The date of indicators recording displayed in ISS ‘Individual Plan of AS/RS’ corresponds to the start date of the current effective contract as provided for in item 3.1 of the Regulations.

* 1. General (final) closing of reporting period, final calculation and recording of PR-A-6 performance indicator values over the duration of the effective contract that ends on June 30 is made until July 10 of the same year.
	2. PR-A-6 performance indicator may be closed prior to the general closing of reporting period in case the RAS labor contract is terminated prior to the general date of effective contract termination or in case of compliance with the following conditions regarding projects where RAS acts as a coordinator:
	3. project corresponds to criteria of recognition as the project for calculation of PR-A-6 performance indicator;
	4. there is no accounts receivable or payable within the project as of the date of calculation of performance indicators;
	5. project is closed at least one month prior to the date of indicator recording as of the date of record (closing) of PR-A-6 performance indicator.
	6. General (final) closing of reporting period, final calculation and recording of PR-A-7 performance indicator values over the duration of the effective contract that ends on June 30 is made within five working days from the moment of completion of salary calculation for June of the same calendar year according to terms and conditions of the existing Collective Agreement of TPU.
	7. PR-A-7 performance indicator may be closed prior to the general closing of reporting period in case the RAS labor contract is terminated prior to the general date of effective contract termination or in case of compliance with one of the following conditions:
	8. single payment of remuneration by way of salary from funds of the project complying with item 3.3 of the Regulations (non-recurrent allowance or bonus) which was charged and paid not less than one month prior to the date of an indicator recording;
	9. civil contract is terminated at least one month prior to the date of indicators recording and all obligations hereof are fulfilled in full by both parties as of the date of recording (closing) of PR-A-7 performance indicator.
	10. Individual recording (closing) of PR-A-6 and PR-A-7 performance indicators is done once a month within five working days from the date of completion of salary calculation for the last month according to terms and conditions of the existing Collective Agreement of TPU.
	11. Total values of PR-A-6 and PR-A-7 performance indicators are uploaded into a separate section of ISS ‘Individual Plan of AS/RS’ and marked to show the date of final closing of reporting period. Once the values of indicators are fixed, the recalculation of data within the closed period is blocked, any changes are forbidden.

## Control and responsibility

* 1. Head of Financial Analysis Office of First Vice-Rector is responsible for calculation of actual PR-A-6 and PR-A-7 values and export of relevant information to ISS ‘Individual Plan of AS/RS’.
	2. Director of Electronic University Center of Informatization Division is responsible for displaying values of performance indicators regarding R&D and APES in ISS ‘Individual Plan of AS/RS’.
	3. First Vice-Rector ensures control over the implementation of the Regulations.

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