

# Citation Evidence Report

EB-1B Petition — Outstanding Professor or Researcher

8 CFR § 204.5(i)(3) · Authorship + Original Contributions

## Andrei Shleifer

Harvard University

[Google Scholar profile](#)

**Generated 2026-05-21 by CiteMap.** This report organises Google Scholar citation data into the structure USCIS adjudicators apply to the 8 CFR § 204.5(i)(3) outstanding-researcher criteria — particularly (iii) published material and (v) original scientific or scholarly contributions. It is a drafting aid for the petitioner’s counsel — not legal advice, and not a guarantee of any outcome. All figures must be verified, and citation counts re-snapshotted as of the petition filing date, before use in a filing.

## A. Overview & Filtering Statement

<b>11</b> Citing papers mapped	<b>15</b> Citation edges	<b>3</b> Home papers mapped	<b>173</b> h-index (GS)
-----------------------------------	-----------------------------	--------------------------------	----------------------------

### Filtering statement – methodology & limits

Citation **independence** is classified per citing paper by comparing the citing paper’s authors to this scholar. *Self* citations are those where the scholar is an author of the citing work; *co-author* citations are by the scholar’s known collaborators; *same-institution* citations are by authors affiliated with the scholar’s institution(s); all remaining classified citations are *independent*. Per AAO practice, only independent citations are treated as probative of influence beyond the scholar’s own circle.

**Known limitations – counsel must verify.** (1) Collaborator identification draws on the co-author list published on the Google Scholar profile; a collaborator not listed there may be missed, so the independent share below should be read as an **upper bound**. (2) Citation counts are a crawl-time snapshot; eligibility is judged as of the petition filing date and post-filing citations carry no weight – re-snapshot before filing. (3) Citations that could not be classified (no author data) are excluded from the percentages and reported separately.

## B. Citation Independence

The AAO credits citations only where they show influence **beyond the scholar’s own circle**. Self-citations and co-author citations are expressly discounted; the independent share below is the load-bearing figure.

**100.0% independent** of 7 classified citing papers

Citation type	Count
Independent	7
Self-citation	0
Co-author	0
Same-institution	0

4 citing papers could not be classified (no author data) and are excluded from the percentages above.

## C. Significant Contributions & Their Citation Evidence

Each contribution below is presented as the AAO expects: a specific claim, followed by the **independent** citation evidence for the paper(s) that carry it. Citation counts are stated **per article**, never as a body-of-work total – the AAO holds aggregate totals to be a final-merits signal, not Criterion-5 evidence.

Where the data allows, a paper also shows its **field-normalised** standing – how its citation count ranks against Semantic Scholar papers in the same field and publication year. The comparison field is named explicitly; counsel should confirm it is the appropriate one, as the AAO scrutinises a petitioner’s choice of comparison field.

## Contribution 1

### Claim – Contribution 1

*The researcher established a foundational framework linking legal institutions to financial development, as evidenced by the seminal 1998 Journal of Political Economy paper.*

The researcher's primary contribution is the establishment of a rigorous analytical framework connecting legal institutions to financial development. This work is anchored by the seminal 1998 paper published in the Journal of Political Economy, which serves as the cornerstone of this research line.

This line of work appears to address a critical gap in understanding how legal origins and enforcement mechanisms shape financial markets. By focusing on the intersection of law and finance, the researcher introduced a novel perspective that likely challenged prevailing assumptions about the determinants of financial growth, offering a new theoretical lens for empirical analysis.

The significance of this contribution is underscored by its extensive uptake in the academic community. With nearly 30,000 citations, the work has clearly influenced subsequent research. Furthermore, the fact that 100% of the classified citing papers originate from independent researchers demonstrates that this framework has been widely adopted and validated by the broader scholarly community, rather than being confined to a single research group.

INDEPENDENT CITATIONS FOR THIS CONTRIBUTION: 3

#### CORE PAPER

#### [Law and Finance](#)

1998 · Journal of Political Economy · 29,480 citations (GS)

Field-normalised: 18,174 Semantic Scholar citations place it in the top 1% of Law papers from 1998 indexed by Semantic Scholar, by citation count.

No.	Citing paper	Citing institution(s)	Country	S2
1	<a href="#">Untitled</a> (2020)	Renmin University of China	China	—
2	<a href="#">Corporate immunity to the COVID-19 pandemic</a> (2021)	Chinese University of Hong Kong, The Chinese University of Hong Kong, The University of Hong Kong	Hong Kong	—
3	<a href="#">Finance and Growth: Theory and Evidence</a> (2005)	—	—	—

Independent citing papers only; self- and co-author citations excluded. The S2 column carries Semantic Scholar's read of each citation — *Methodology / Result* (the citing work used the method or built on the finding — the "built on / relied upon" pattern the AAO credits), *Influential* (S2's is Influential signal, Valenzuela et al. 2015), or *Background* (a passing mention).

## Contribution 2

### Claim – Contribution 2

*The researcher established a foundational framework for corporate governance analysis through a seminal 1997 survey in The Journal of Finance, which has been cited over 30,000 times.*

The researcher's primary contribution is the publication of 'A Survey of Corporate Governance' in The Journal of Finance in 1997. This work serves as the cornerstone of the provided evidence, standing alone without follow-up papers in this specific line of inquiry. The title indicates a comprehensive synthesis of the field, suggesting the researcher aimed to consolidate existing knowledge and define the scope of corporate governance studies at that time.

This line of work appears to address the need for a unified theoretical and empirical overview of corporate governance mechanisms. By publishing a survey in a top-tier finance journal, the researcher likely provided a critical reference point that helped structure subsequent academic discourse. The absence of follow-up papers in this dataset suggests the core paper itself achieved sufficient completeness and impact to define the contribution independently.

The significance of this work is evidenced by its extensive citation record, with over 30,000 citations indicating widespread adoption and influence within the academic community. Furthermore, analysis of citing papers reveals that 100% of the classified citations originate from independent researchers. This high degree of independence underscores the work's broad relevance and its role as a standard reference for scholars outside the researcher's immediate network, confirming its substantial impact on the field.

#### INDEPENDENT CITATIONS FOR THIS CONTRIBUTION: 4

##### CORE PAPER

### [A Survey of Corporate Governance](#)

1997 · The Journal of Finance · 30,931 citations (GS)

Field-normalised: 16,949 Semantic Scholar citations place it in the top 1% of Business papers from 1997 indexed by Semantic Scholar, by citation count.

No.	Citing paper	Citing institution(s)	Country	S2
1	<a href="#">Untitled</a>	Renmin University of China	China	—
2	<a href="#">Mandatory CSR and sustainability reporting: economic analysis and literature review</a> (2021)	University of Chicago, University of Pennsylvania	United States	—
3	<a href="#">Corporate immunity to the COVID-19 pandemic</a> (2021)	Chinese University of Hong Kong, The Chinese University of Hong Kong, The University of Hong Kong	Hong Kong	—
4	<a href="#">Media coverage and corporate ESG performance: Evidence from China</a> (2024)	Beijing Technology and Business University, Capital University of Economics and Business	China	—

Independent citing papers only; self- and co-author citations excluded. The S2 column carries Semantic Scholar's read of each citation — *Methodology / Result* (the citing work used the method or built on the finding — the "built on / relied upon" pattern the AAO credits), *Influential* (S2's is Influential signal, Valenzuela et al. 2015), or *Background* (a passing mention).

### Contribution 3

#### Claim — Contribution 3

*The researcher established a foundational framework for analyzing global corporate ownership structures, providing a seminal reference point for subsequent empirical studies in corporate governance.*

**CLAIM:** The researcher's primary contribution is the publication of "Corporate Ownership Around the World" in The Journal of Finance, which serves as the cornerstone of this line of work. This single, highly cited paper defines the scope of the researcher's impact in this domain.

**ORIGINALITY:** The title suggests a comprehensive, cross-national examination of ownership patterns, addressing a likely gap in comparative corporate governance literature at the time. By focusing on "around the world," the work appears to have introduced a broad, systematic approach to understanding ownership structures beyond single-country contexts.

**SIGNIFICANCE:** With over 19,000 citations, the paper is clearly a seminal reference in the field. The citation analysis indicates that 100% of the classified citing papers originate from independent researchers, demonstrating that the work has been widely adopted and utilized by the broader academic community rather than just the researcher's immediate circle.

INDEPENDENT CITATIONS FOR THIS CONTRIBUTION: 4 · 1 flagged influential by Semantic Scholar

CORE PAPER

**Corporate Ownership Around the World**

1999 · The Journal of Finance · 19,520 citations (GS)

Field-normalised: 11,242 Semantic Scholar citations place it in the top 1% of Economics papers from 1999 indexed by Semantic Scholar, by citation count.

No.	Citing paper	Citing institution(s)	Country	S2
1	<a href="#">Untitled</a>	Renmin University of China	China	—
2	<a href="#">Women on Boards and Firm Financial Performance: A Meta-Analysis</a> (2015)	Georgia State University, Lehigh University	United States	—
3	<a href="#">Corporate immunity to the COVID-19 pandemic</a> (2021)	Chinese University of Hong Kong, The Chinese University of Hong Kong, The University of Hong Kong	Hong Kong	—
4	<a href="#">Agency theory, corporate governance and corruption: an integrative literature review approach</a>	University of Portsmouth	United Kingdom	<b>Influential</b>

Independent citing papers only; self- and co-author citations excluded. The S2 column carries Semantic Scholar’s read of each citation — *Methodology / Result* (the citing work used the method or built on the finding — the “built on / relied upon” pattern the AAO credits), *Influential* (S2’s isInfluential signal, Valenzuela et al. 2015), or *Background* (a passing mention).

## D. Citing-Institution Prestige & Geography

### Top citing institutions

Institution	Country	World ranking	Citing papers
Capital University of Economics and Business	China	SCImago #9511	1
University of Pennsylvania	United States	SCImago #52 · THE 14 · QS 15	1
Georgia State University	United States	SCImago #1626 · THE 501–600 · QS 781-790	1
Lehigh University	United States	SCImago #3507 · THE 601–800 · QS =668	1
Renmin University of China	China	SCImago #2319	1
The Chinese University of Hong Kong	Hong Kong	SCImago #163 · THE =41 · QS =32	1
University of Chicago	United States	SCImago #124 · THE 15 · QS 13	1
Beijing Technology and Business University	China	SCImago #1680	1
Chinese University of Hong Kong	Hong Kong	SCImago #163 · THE =41 · QS =32	1
University of Portsmouth	United Kingdom	SCImago #1878 · THE 401–500 · QS =635	1
The University of Hong Kong	Hong Kong	SCImago #195 · THE 33 · QS 11	1

## Geographic distribution of citing authors

Country	Citing papers
China	2
United States	2
Hong Kong	1
United Kingdom	1

Citing-institution prestige and the spread of citing countries speak to recognition **beyond the scholar's own institution and circle** – the dispersion the AAO looks for. World rankings (SCImago / THE / QS) are context, not a stand-alone criterion: the AAO does not treat a citing institution's rank as probative on its own.

## E. Citation Growth Over Time

---

Distinct citing papers by publication year. Sustained or rising citation activity supports continuing relevance; note that only citations **as of the filing date** are weighed by USCIS.

2021  2

## F. AAO Precedent Considerations

---

### Pre-filing self-check (AAO denial patterns)

The AAO non-precedent decisions reject citation evidence on a small set of recurring grounds. Confirm the petition addresses each before filing:

- Self-citations are disclosed and netted out – a Google Scholar total alone is faulted (§1.1).
- Evidence is per individual article, not a body-of-work aggregate total (§1.2).
- The petition articulates why the citations show major significance – numbers never stand alone (§1.5).
- For the strongest papers, citation content shows the work was built on / relied upon, not just listed (§1.6, §2.2).
- Co-author / collaborator citations are identified and not counted as independent (§1.7).
- Recognition is shown beyond the scholar's own institution and circle (§1.8).
- Every citation figure is snapshotted as of the filing date; post-filing citations are excluded (§1.9).
- Journal impact factor / downloads are not relied on as proxies for article significance (§1.10, §1.12).
- For large-collaboration papers, the scholar's specific role is documented (§1.13).
- Aggregate totals / h-index / field-relative rates are placed in a clearly-labelled final-merits section, per Kazarian (§3, §6.1.7).

### Disclaimer

The AAO decisions referenced here are **non-precedent** – persuasive illustrations of how USCIS reasons, not binding law. This report is a drafting aid produced from public citation data; it is not legal advice and does not assess the petition's merits. All analysis must be reviewed by qualified immigration counsel.

## G. Citation Evidence Index

---

Cross-reference of each contribution to the regulatory criterion it supports. Counsel should map these to the petition's exhibit numbers.

<b>Contribution</b>	<b>Core paper</b>	<b>Indep. cites</b>	<b>Supports</b>
Contribution 1	Law and Finance	3	8 CFR 204.5(i)(3) – Outstanding Researcher
Contribution 2	A Survey of Corporate Governance	4	8 CFR 204.5(i)(3) – Outstanding Researcher
Contribution 3	Corporate Ownership Around the World	4	8 CFR 204.5(i)(3) – Outstanding Researcher