如何分析和跟踪机构总体绩效并进行对比分析

马楠　博士

汤森路透

2013年6月4日

THOMSON REUTERS
汤森路透

机构研究绩效评估和学科分析需求

- 对研究绩效进行评估和标杆管理
  - 评估研究产出和影响力，分析并跟踪研究发展趋势；
  - 与全球同类研究机构进行标杆比较；
- 重点学科/优势学科定位与发展
  - 揭示优势学科分布以及发展趋势；
  - 推动潜力学科快速发展；
- 精确定位研究人才
  - 综合评估本机构具有潜力的研究人才；
  - 为机构吸引外部高端研究人才；
- 鼓励并倡导合作研究
  - 评估高效的合作研究伙伴；
  - ……

InCites—机构研究绩效综合分析工具

- 来自于 Web of Science 的30+年数据，提供7种学科分类体系；
- 基于全球基准数据，深入分析机构单篇论文、作者、学科、科研合作及研究影响力
- 对全球170多个国家与地区的3,000多所研究机构的产出和影响力进行多角度比较与分析

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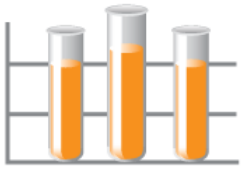
Training and Education Resources



RESEARCH PERFORMANCE PROFILES

Comprehensive Publication & Citation Reports
- Pinpoint influential and emerging researchers
- Monitor collaboration activity

Get Started

定制数据—机构、个人、主题、期刊的论文数据，能够进行多指标的深入分析(每季度更新)

GLOBAL COMPARISONS

Output & Impact Statistics for Benchmarking
- Compare your institution to others worldwide
- Identify field strengths within countries/territories

Get Started

预置数据—可以进行国家/地区和机构的多指标对比分析（每年更新）

INSTITUTIONAL PROFILES

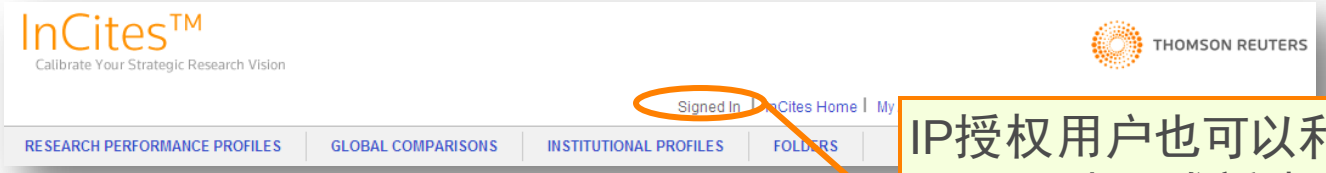
Key indicators of research excellence for leading institutions worldwide
- Examine measures on reputation, funding, publications, staff and students
- Use indicator groups to discover the strengths of comparable institutions

Get Started

概览数据—包含机构学术声誉、研究经费、教职工和学生数据（每年更新）

机构用户登录InCites

点击按钮快速登录



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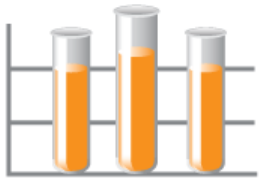
- Create a Custom Report
- Overview and Summary Metrics
- Productivity and Researcher Output
- Collaboration and Research Networks
- Specialization and Field Strengths
- Trends and Time Series Analysis
- Impact and Citation Rankings

- National Comparisons
- Institutional Comparisons

- View an Institutional Profile
- Create a Research Footprint™
- Create a Trend Graph
- Create a Scatter Plot

- My Saved Reports
- My Saved Custom Report Selections
- My Saved Document Collections
- Shared Reports
- Shared Custom Report Selections
- Shared Document Collections



RESEARCH PERFORMANCE PROFILES

- Identify field strengths within countries/territories

Get Started

INSTITUTIONAL PROFILES

Key indicators of research excellence for leading institutions worldwide

- Examine measures on reputation, funding, publications, staff and students
- Use indicator groups to discover the strengths of comparable institutions

Get Started

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如何全面了解并跟踪机构总体研究绩效

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Create a Custom Report
Overview and Summary Metrics
Productivity and Researcher Output
Collaboration and Research Networks
Specialization and Subject Area Strengths
Trends and Time Series Analysis
Impact and Citation Rankings

1. 点击Overview and Summary Metrics分析菜单

Dataset: Japanese Science & Technology Agency

the report for the overall dataset or create a custom report

such as h-index, category actual/expected citations, (CXC), disciplinarity, and more

Executive Summary
Summary Metrics
Citation Frequency Distribution
Source Articles per Year
Funding Agencies Listing

2. 点击Summary Metrics，建立机构分析仪表板

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SUMMARY METRICS

Report Limited To
Dataset:
Report Type:
Time Period:
Additional Information:

1. 引文指标

ch Dataset
report as InCitesTM, Thomson Reuters (2013). Report Created: Apr 12, 2013 Data Processed Mar 7, 2013 5:34:23 PM Data Source: Web of Science ® This data is reproduced under a license from Thomson Reuters. You may not copy distribute this data in whole or in part without the written consent of the Science business of Thomson Reuters. Subject area baseline data processed Jan. 1, 1981->Dec. 31, 2012

Citation Metrics

Times Cited	458,074
Web of Science Documents	66,887
Cites per Document	6.85
% Documents Cited	59%
h-index	164
Median Cites	1
2nd Generation Citations	5,086,948
2nd Generation Citations per Citing Document	16.70

Disciplinarity Metrics

Disciplinarity index	0.026
Interdisciplinarity index	0.76

2. 学科指标

Collaboration Metrics

Unique Authors	40,481
Average Authors per Document	6.46
Unique Institutions	6,508
Average Institutions per Document	1.97
Average Countries/Territories per Document	1.27

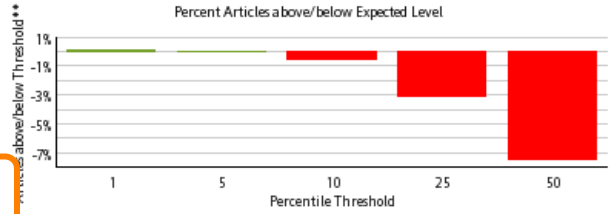
3. 合作指标

View Citation Frequency Distribution

Category actual / Expected Cites 0.99

Journal actual / Expected Cites 1.16

Average Percentile 58.83



Percentile	1	5	10	25	50
Number of Documents*	537	2482	4639	10786	20945
Percent of Documents	1.09%	5.05%	9.43%	21.92%	42.57%
Articles above/below Threshold**	0.09%	0.05%	-0.57%	-3.08%	-7.43%

*Includes document types: Article, Note, Review and Proceedings Paper (from SCIE/ SSCI/ A&HCI)
**Percentage articles above/below Expected Percentile Threshold' = (Percent of Documents [-] Percentile Threshold)

SUMMARY METRICS

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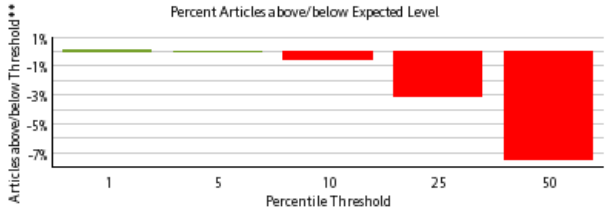
1. 基于学科的相对影响力

2. 基于期刊的相对影响力

3. 平均百分位

View Citation Fr ency Distribution



4.高于/低于期望水平的论文百分比

Citation Metrics

Times Cited	458,074
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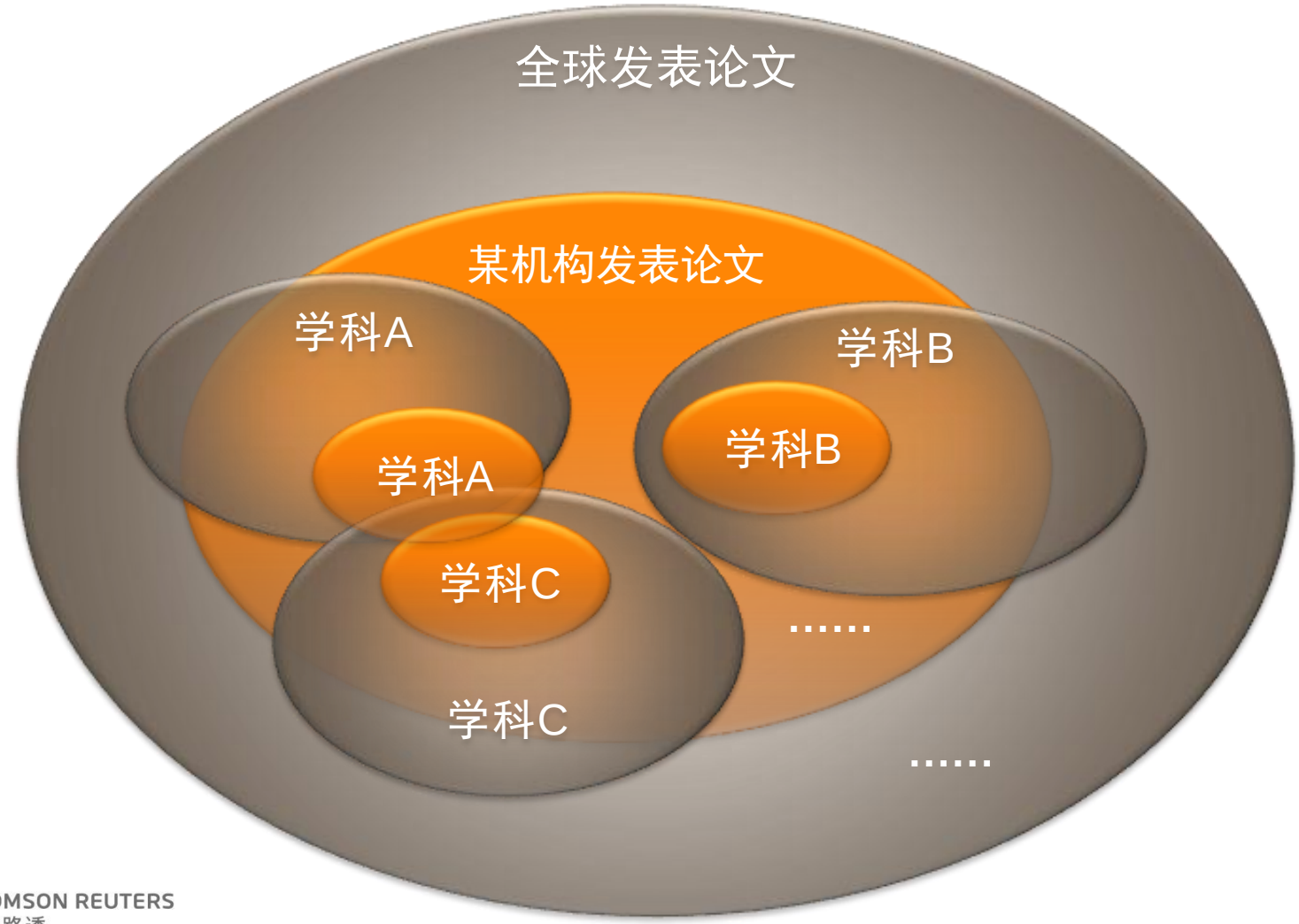
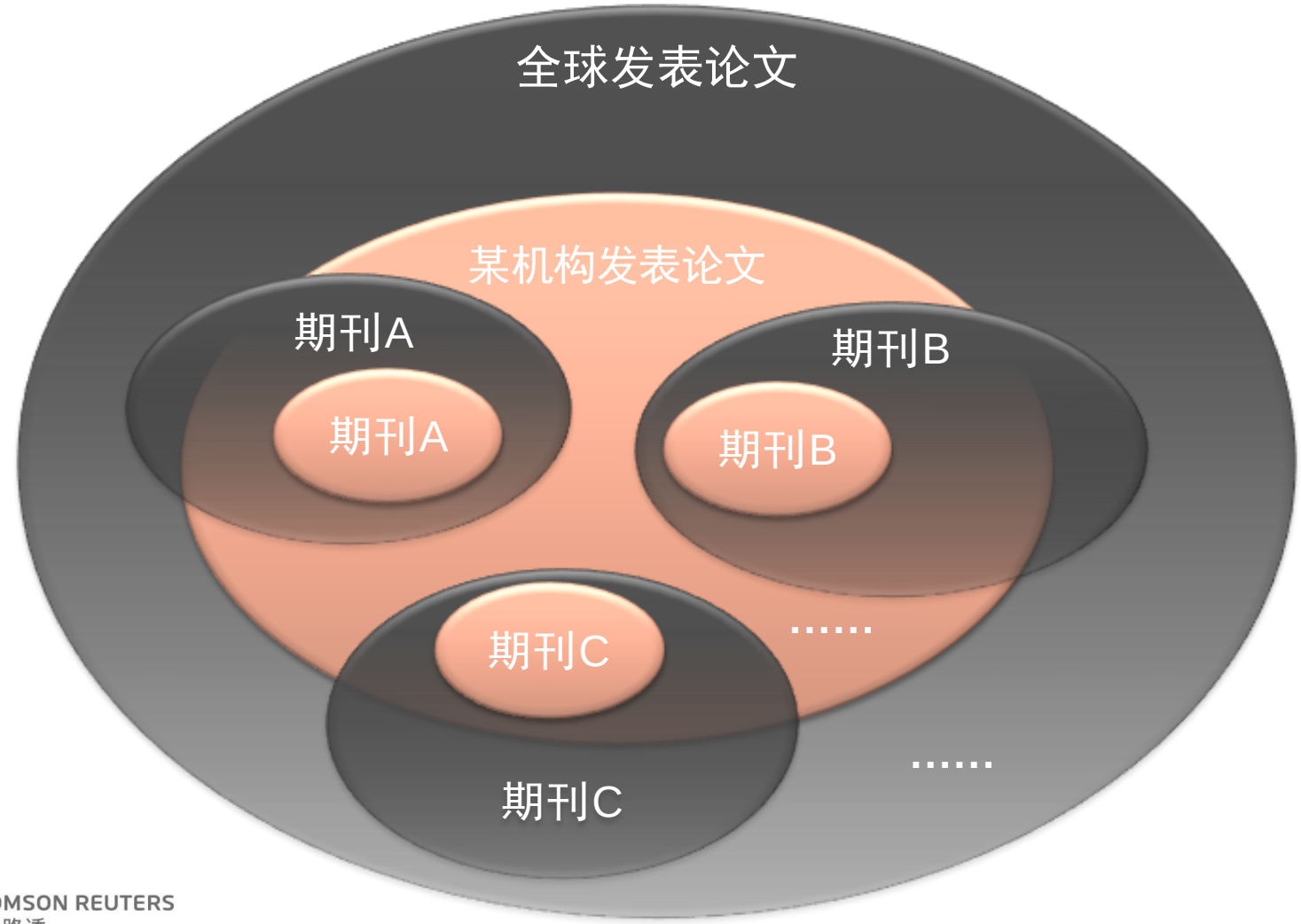
**Percentage articles above/below Expected Percentile Threshold' = (Percent of Documents [-] Percentile Threshold)

基于学科的相对影响力—示意

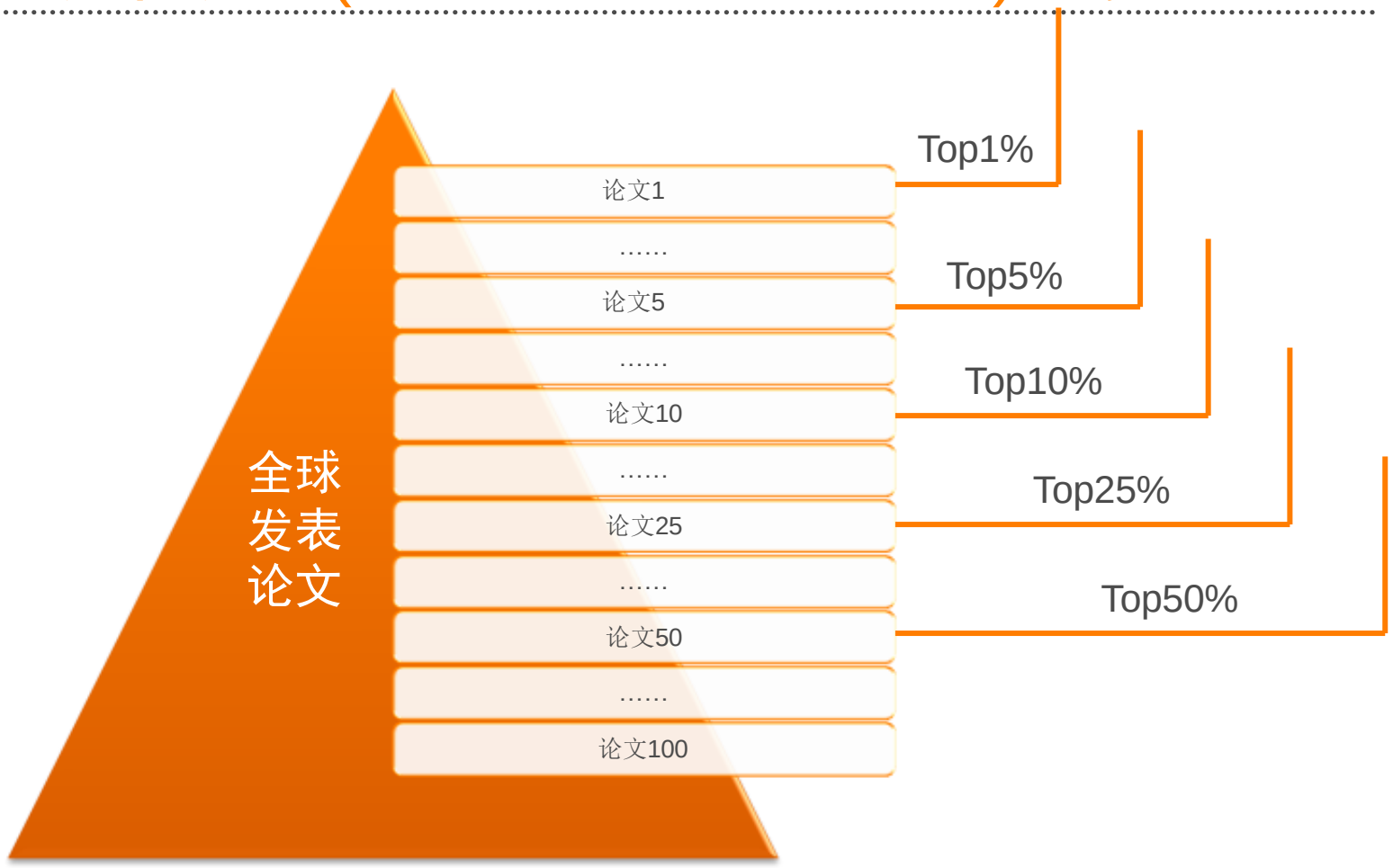


基于期刊的相对影响力—示意



平均百分位(Average Percentile)—示意

百分位分布(Percentile Distribution)—示意



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Dataset: University: Address Search D
Report Type: Summary Metrics
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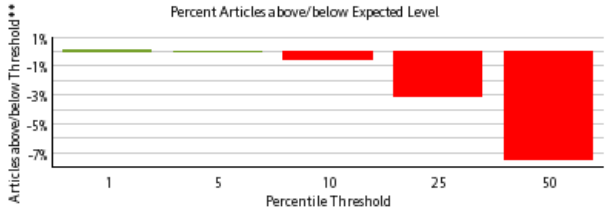
2. 基于期刊的相对影响力

3. 平均百分位

View Citation Fr ency Distribution



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**Percentage articles above/below Expected Percentile Threshold' = (Percent of Documents [-] Percentile Threshold)

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Executive Summary
Summary Metrics
Citation Frequency Distribution
Source Articles per Year
Funding Agencies Listing

Dataset: Japanese Science & Technology Agency

1. 点击Overview and Summary Metrics分析菜单

the report for the overall dataset or create a custom report

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2. 点击Executive Summary，生成机构总体发展趋势概览

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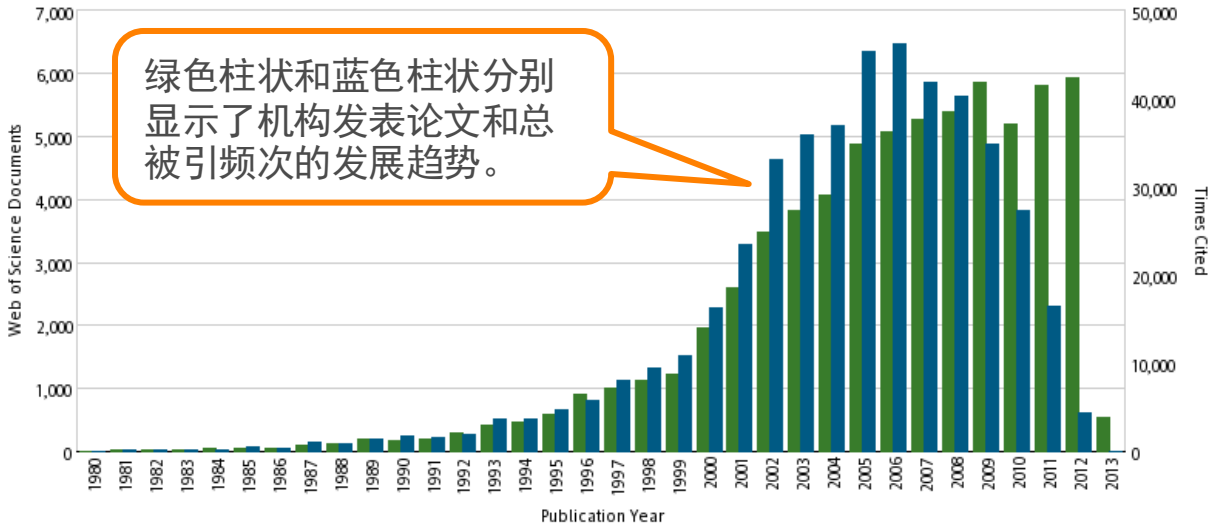
EXECUTIVE SUMMARY

Viewing Dataset: University: Address Search Dataset

The Executive Summary provides a synopsis of the InCites dataset. The graph displays the publications and the citations by year while the tables highlight the most frequently occurring authors and subject areas.
This dataset contains 66,887 source articles from 40,481 authors published between 1980 and 2013. This dataset also contains 304,555 articles that have cited the 66,887 source articles in this dataset.
Reports on the citing articles show the impact of an institution's publications on scholarly work in their fields.
InCites reports enable further analysis of the data including institutional and country collaborations and provide metrics such as h-index and expected citation count.

About the Data
The reports are based on an analysis of journal articles and proceedings indexed in the Web of Science. The analysis covers 30 years and all fields of science.

Unique Authors	40,481
Average Authors per Document	6.46
Unique Institutions	6,508
Average Institutions per Document	1.97



绿色柱状和蓝色柱状分别显示了机构发表论文和总被引频次的发展趋势。

对高产作者、高被引作者和高产学科的快捷显示

Top Producing Authors

WANG, Y	1,014
ZHANG, Y	988
ZHANG, L	915
WANG, J	914
LI, Y	901
LIU, Y	775
WANG, L	753
LI, LT	748
LI, J	726
ZHANG, J	701

Most Cited Authors

LI, YD	20,400
WANG, Y	13,445
WANG, X	11,814
WU, J	11,035
LI, Y	10,917
ZHANG, Y	10,758
LIU, F	10,351
LI, C	10,147
ZHANG, ZP	9,264
LI, JH	9,257

Most Active Subject Areas

ENGINEERING, ELECTRICAL & ELECTRONIC	10,849
MATERIALS SCIENCE, MULTIDISCIPLINARY	8,472
PHYSICS, APPLIED	5,658
COMPUTER SCIENCE, ARTIFICIAL INTELLIGENCE	3,784
OPTICS	3,764
TELECOMMUNICATIONS	3,730
CHEMISTRY, PHYSICAL	3,551
CHEMISTRY, MULTIDISCIPLINARY	2,993
COMPUTER SCIENCE, THEORY & METHODS	2,941
PHYSICS, CONDENSED MATTER	2,929

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- Productivity and Researcher Output
- Collaboration and Research Networks
- Specialization and Subject Area Strengths
- Trends and Time Series Analysis
- Impact and Citation Rankings

点击Create Custom Report, 生成定制化报告

Viewing Dataset: Dataset

University: Address Search

(which report to choose?)

Select metrics to be included in report:

Citation Metrics	h-index*	% Documents Cited
2nd Generation Citations*	Disciplinarity Metrics*	Self-citation Metrics
Collaboration*	Average Percentile	Percentile Distribution*

Selecting these items will increase the processing time

Time Period 2009 to 2013

Create Report | Preview Documents | Save Selections | Clear Selections

You can limit the data to be included in your report to specific items, or use a saved set from My Saved Selections.
Your selections will appear in the box on the right.

Authors | Subject Areas | Institutions | Countries / Territories | Journals | Titles | Keywords | Document Types | Document Numbers | Thresholds | Funding Agencies | Grant Numbers

Browse List | Search

Browse **AUTHORS** beginning with:

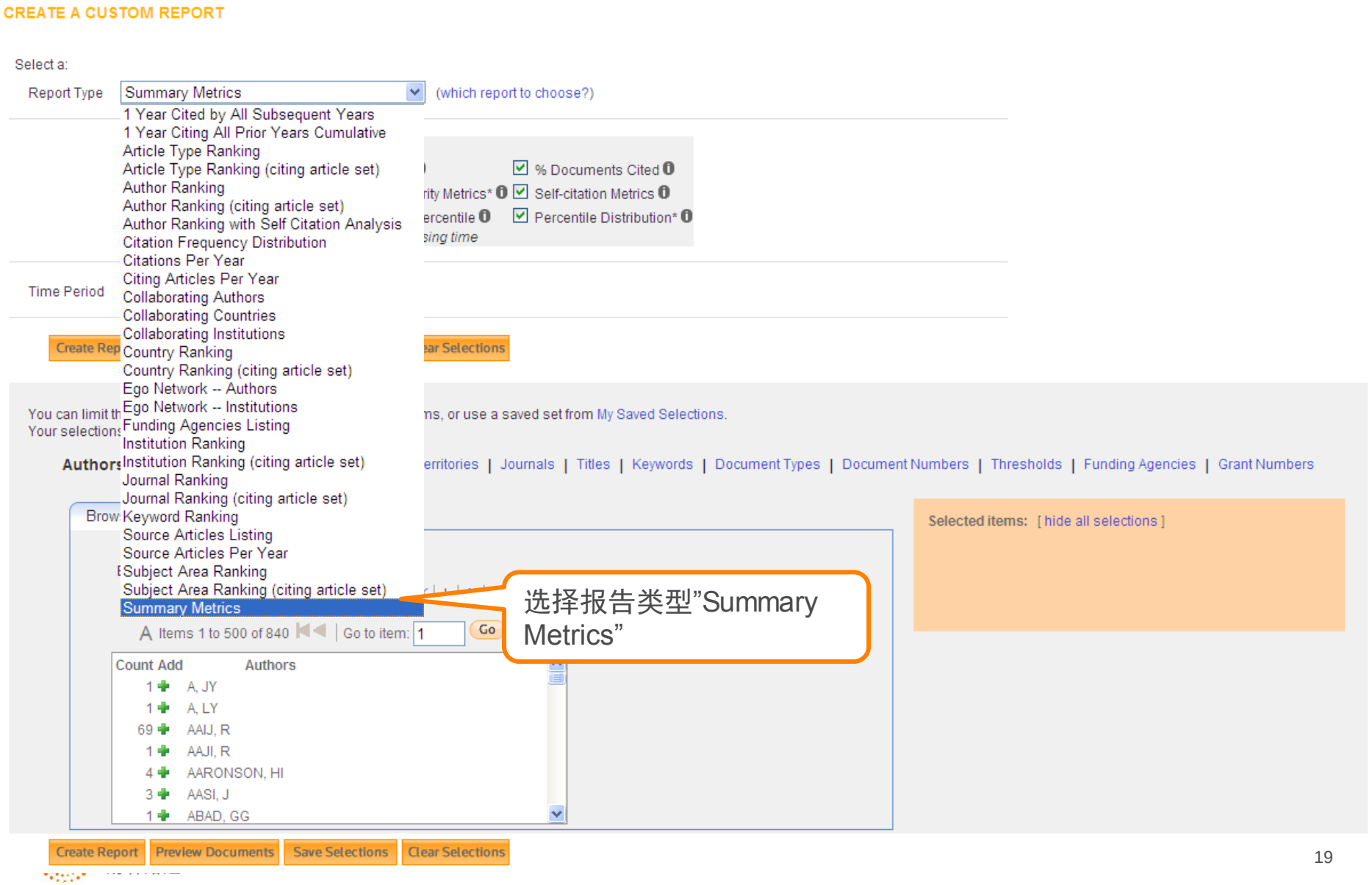
0-9 | A | B | C | D | E | F | G | H | I | J | K | L | M | N | O | P | Q | R | S | T | U | V | W | X | Y | Z

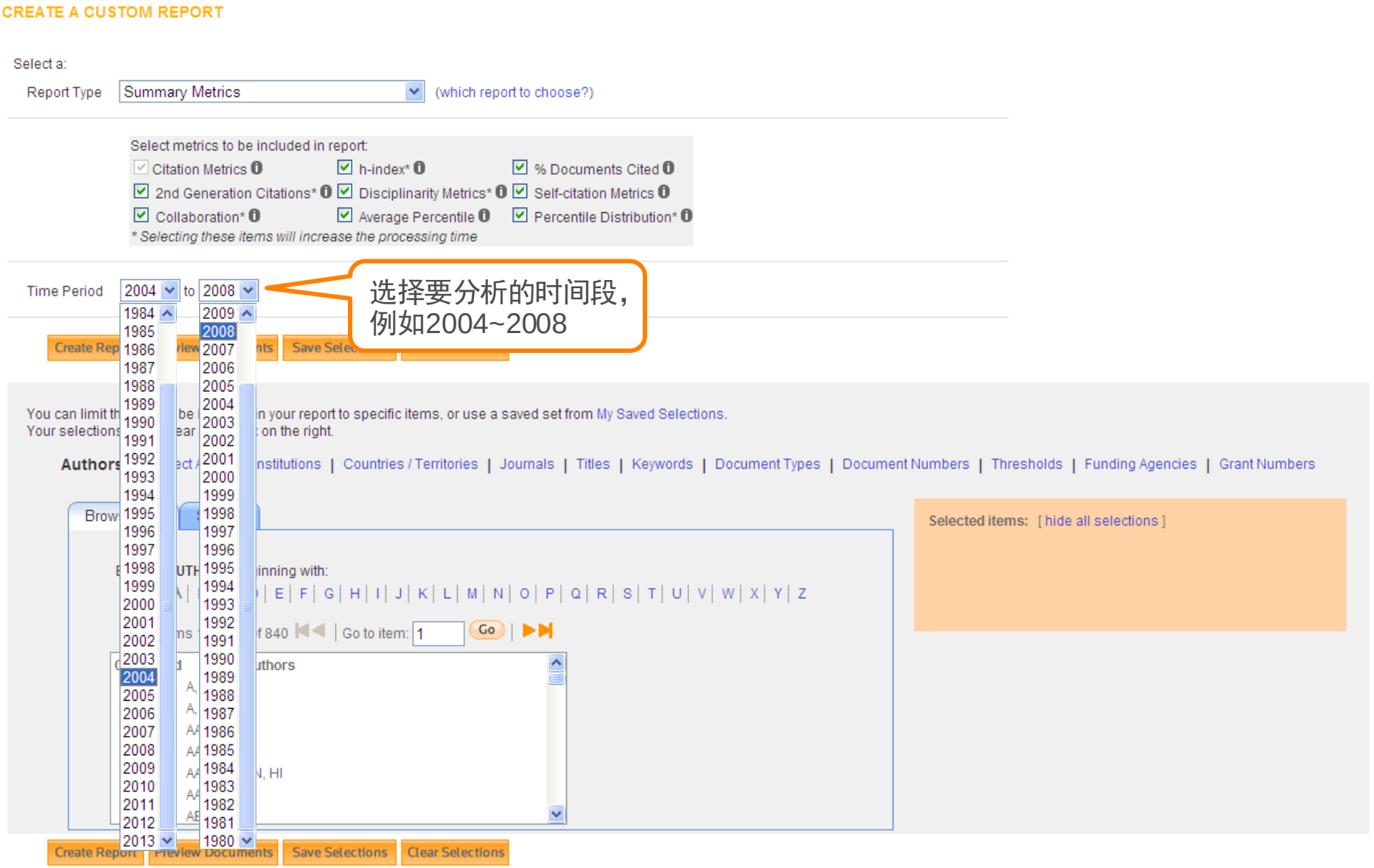
A Items 1 to 500 of 840 | Go to item: 1 Go

Count	Add	Authors
1	+	A, JY
1	+	A, LY
69	+	AAIJ, R
1	+	AAJI, R
4	+	AARONSON, HI
3	+	AASI, J
1	+	ABAD, GG

Selected items: [hide all selections]

Create Report | Preview Documents | Save Selections | Clear Selections


CREATE A CUSTOM REPORT
Select a:
Report Type
Summary Metrics
(which report to choose?)
1 Year Cited by All Subsequent Years
1 Year Citing All Prior Years Cumulative
Article Type Ranking
Article Type Ranking (citing article set)
Author Ranking
Author Ranking (citing article set)
Author Ranking with Self Citation Analysis
Citation Frequency Distribution
Citations Per Year
Citing Articles Per Year
Collaborating Authors
Collaborating Countries
Collaborating Institutions
Country Ranking
Country Ranking (citing article set)
Ego Network -- Authors
Ego Network -- Institutions
Funding Agencies Listing
Institution Ranking
Institution Ranking (citing article set)
Journal Ranking
Journal Ranking (citing article set)
Keyword Ranking
Source Articles Listing
Source Articles Per Year
Subject Area Ranking
Subject Area Ranking (citing article set)
Summary Metrics
% Documents Cited
Self-citation Metrics
Percentile Distribution*
Time Period
Create Rep
ear Selections
You can limit th
Your selection
ns, or use a saved set from My Saved Selections.
Authors
erritories | Journals | Titles | Keywords | Document Types | Document Numbers | Thresholds | Funding Agencies | Grant Numbers
Brow
Selected items: [hide all selections]
选择报告类型”Summary Metrics”
Items 1 to 500 of 840
Go to item: 1
Go
Count Add
Authors
1 A, JY
1 A, LY
69 AAIJ, R
1 AAJI, R
4 AARONSON, HI
3 AASI, J
1 ABAD, GG
Create Report
Preview Documents
Save Selections
Clear Selections



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SUMMARY METRICS

Save Print Select an export option

Viewing Dataset: University: Address Search Dataset

Report Limited To

Dataset:	University: Address Search Dataset
Report Type:	Summary Metrics
Time Period:	2004 - 2008
Additional Information:	Cite this report as InCites™, Thomson Reuters (2013). Report Created:May 8, 2013 Data Processed Mar 7, 2013 5:34:23 PM Data Source: Web of Science ® This data is reproduced under a license from Thomson Reuters. You may not copy or redistribute this data in whole or in part without the written consent of the Science business of Thomson Reuters. Subject area baseline data processed Jan. 1, 1981->Dec. 31, 2012

Citation Metrics

Times Cited	210,555
Web of Science Documents	24,697
Cites per Document	8.53
% Documents Cited	64%
h-index	126
Median Cites	2
2nd Generation Citations	2,235,731
2nd Generation Citations per Citing Document	14.49

Disciplinarity Metrics

Disciplinarity index	0.026
Interdisciplinarity index	0.76

Collaboration Metrics

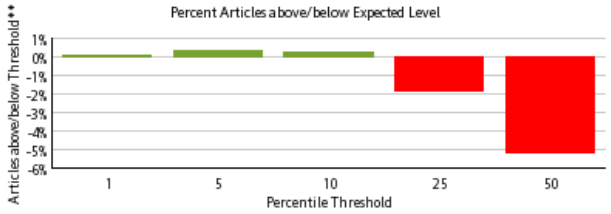
Unique Authors	20,507
Average Authors per Document	5.93
Unique Institutions	2,759
Average Institutions per Document	1.82
Average Countries/Territories per Document	1.21

View Citation Frequency Distribution

Category actual / Expected Cites 1.06

Journal actual / Expected Cites 1.22

Average Percentile 55.61



Percentile	1	5	10	25	50
Number of Documents*	190	937	1818	4096	7933
Percent of Documents	1.07%	5.29%	10.27%	23.13%	44.80%
Articles above/below Threshold**	0.07%	0.29%	0.27%	-1.87%	-5.20%

*Includes document types: Article, Note, Review and Proceedings Paper (from SCIE/ SSCI/ A&HCI)

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SUMMARY METRICS

Save Print Select an export option

Viewing Dataset: University: Address Search Dataset

Report Limited To

Dataset:	Jniversity: Address Search Dataset
Report Type:	Summary Metrics
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Citation Metrics

Times Cited	82,929
Web of Science Documents	23,350
Cites per Document	3.55
% Documents Cited	52%
h-index	78
Median Cites	1
2nd Generation Citations	361,941
2nd Generation Citations per Citing Document	6.02

Disciplinarity Metrics

Disciplinarity index	0.026
Interdisciplinarity index	0.77

Collaboration Metrics

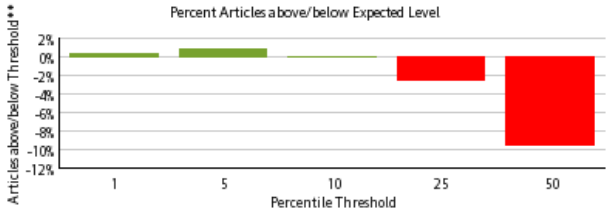
Unique Authors	24,930
Average Authors per Document	8.74
Unique Institutions	4,164
Average Institutions per Document	2.45
Average Countries/Territories per Document	1.39

View Citation Frequency Distribution

Category actual / Expected Cites 1.32

Journal actual / Expected Cites 1.35

Average Percentile 63.30

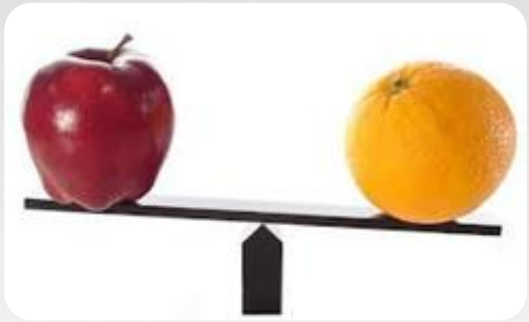


Percentile	1	5	10	25	50
Number of Documents*	252	1061	1849	4146	7472
Percent of Documents	1.36%	5.75%	10.01%	22.45%	40.46%
Articles above/below Threshold**	0.36%	0.75%	0.01%	-2.55%	-9.54%

*Includes document types: Article, Note, Review and Proceedings Paper (from SCIE/ SSCI/ A&HCI)

**Percentage articles above/below Expected Percentile Threshold' = (Percent of Documents [-] Percentile Threshold)

怎样跟踪机构论文产出和影响力发展趋势，并与同类机构和基准线对比？



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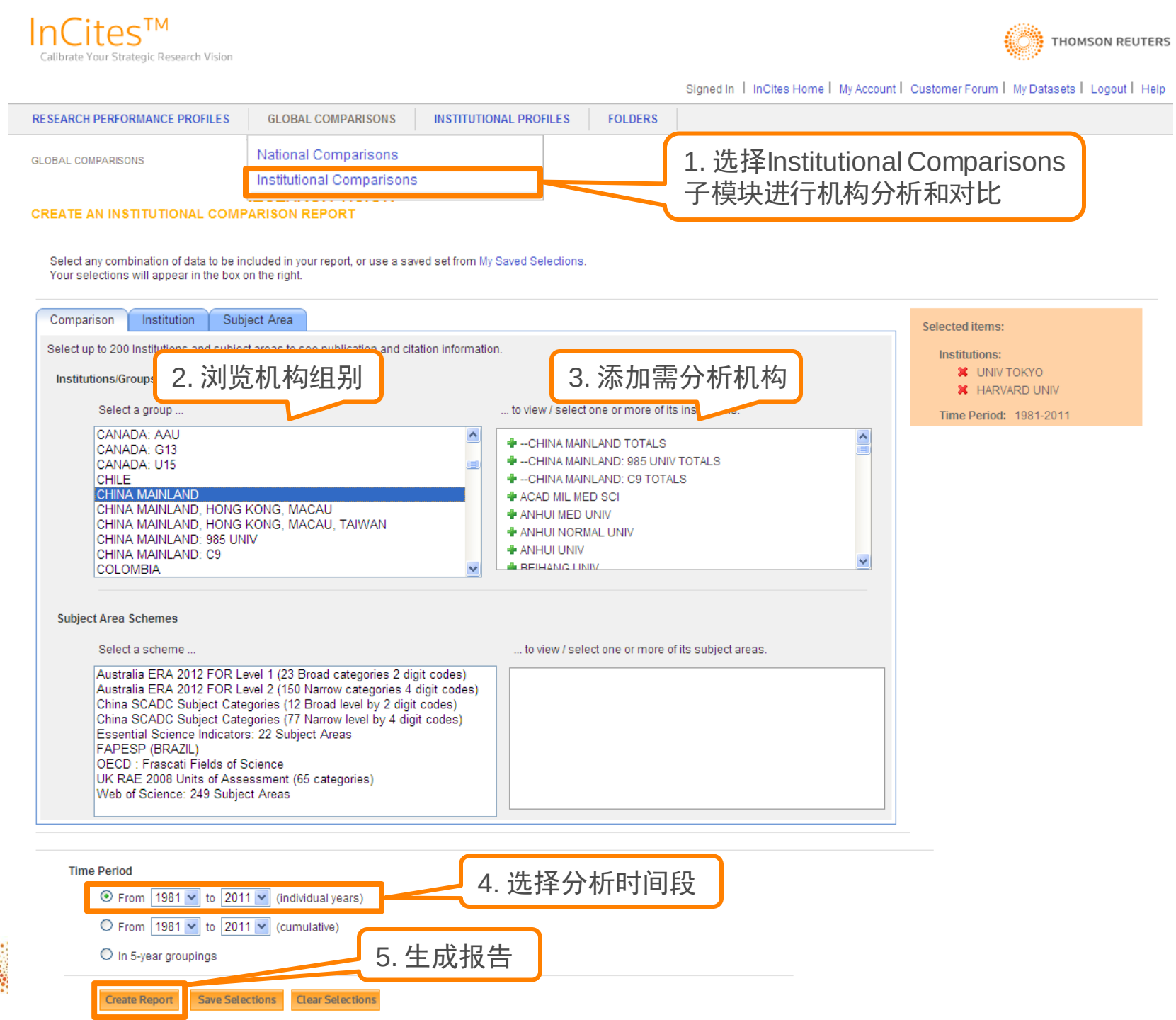
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INSTITUTIONAL PROFILES
FOLDERS
GLOBAL COMPARISONS
National Comparisons
Institutional Comparisons
1. 选择Institutional Comparisons 子模块进行机构分析和对比
CREATE AN INSTITUTIONAL COMPARISON REPORT
Select any combination of data to be included in your report, or use a saved set from My Saved Selections.
Your selections will appear in the box on the right.
Comparison
Institution
Subject Area
Select up to 200 Institutions and subject areas to see publication and citation information.
Institutions/Groups
2. 浏览机构组别
3. 添加需分析机构
Select a group ...
... to view / select one or more of its institutions.
CANADA: AAU
CANADA: G13
CANADA: U15
CHILE
CHINA MAINLAND
CHINA MAINLAND, HONG KONG, MACAU
CHINA MAINLAND, HONG KONG, MACAU, TAIWAN
CHINA MAINLAND: 985 UNIV
CHINA MAINLAND: C9
COLOMBIA
--CHINA MAINLAND TOTALS
--CHINA MAINLAND: 985 UNIV TOTALS
--CHINA MAINLAND: C9 TOTALS
ACAD MIL MED SCI
ANHUI MED UNIV
ANHUI NORMAL UNIV
ANHUI UNIV
Selected items:
Institutions:
UNIV TOKYO
HARVARD UNIV
Time Period: 1981-2011
Subject Area Schemes
Select a scheme ...
... to view / select one or more of its subject areas.
Australia ERA 2012 FOR Level 1 (23 Broad categories 2 digit codes)
Australia ERA 2012 FOR Level 2 (150 Narrow categories 4 digit codes)
China SCADC Subject Categories (12 Broad level by 2 digit codes)
China SCADC Subject Categories (77 Narrow level by 4 digit codes)
Essential Science Indicators: 22 Subject Areas
FAPESP (BRAZIL)
OECD : Frascati Fields of Science
UK RAE 2008 Units of Assessment (65 categories)
Web of Science: 249 Subject Areas
Time Period
From 1981 to 2011 (individual years)
4. 选择分析时间段
From 1981 to 2011 (cumulative)
In 5-year groupings
5. 生成报告
Create Report
Save Selections
Clear Selections

为选定的机构生成基于每年的计量指标，点击View Graph即可以生成对应指标的分析图表

Select an export option

COMPARE INSTITUTIONS 1981-2011

Report Limited To

Dataset: Global Comparisons
Report Name: Compare Institutions
Time Period: 1981-2011
Institutions: UNIV TOKYO;HARVARD UNIV
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Show: All Documents
Sort By: Institution

Institution	Years	Web of Science Documents View Graph	Times Cited View Graph	Cites per Document (Impact) View Graph	% Documents Cited View Graph	Impact Relative to World View Graph	% Documents in World View Graph	% Documents Cited Relative to World View Graph
HARVARD UNIV	1981	4,717	255,444	54.15	92.90	2.74	1.04	1.15
UNIV TOKYO	1981	2,314	51,266	22.15	88.59	1.12	0.51	1.09
HARVARD UNIV	1982	5,008	261,470	52.21	91.65	2.65	1.06	1.13
UNIV TOKYO	1982	2,390	54,955	22.99	91.13	1.17	0.51	1.12
HARVARD UNIV	1983	5,162	288,292	55.85	93.26	2.79	1.07	1.14
UNIV TOKYO	1983	2,428	54,029	22.25	90.12	1.11	0.50	1.11
HARVARD UNIV	1984	5,144	284,454	55.30	93.25	2.71	1.06	1.13
UNIV TOKYO	1984	2,622	59,505	22.69	89.97	1.11	0.54	1.09
HARVARD UNIV	1985	5,434	300,799	55.35	93.69	2.68	1.05	1.13
UNIV TOKYO	1985	2,795	64,042	22.91	91.91	1.11	0.54	1.11
HARVARD UNIV	1986	5,515	313,047	56.76	93.64	2.76	1.04	1.13
UNIV TOKYO	1986	2,861	67,062	23.44	90.49	1.14	0.54	1.09
HARVARD UNIV	1987	5,682	335,628	59.07	93.96	2.75	1.08	1.13
UNIV TOKYO	1987	2,862	80,137	28.00	92.77	1.31	0.54	1.11
HARVARD UNIV	1988	5,778	363,259	62.87	93.70	2.92	1.05	1.13
UNIV TOKYO	1988	3,116	87,786	28.17	91.62	1.31	0.57	1.11
HARVARD UNIV	1989	6,142	364,981	59.42	94.90	2.76	1.08	1.13

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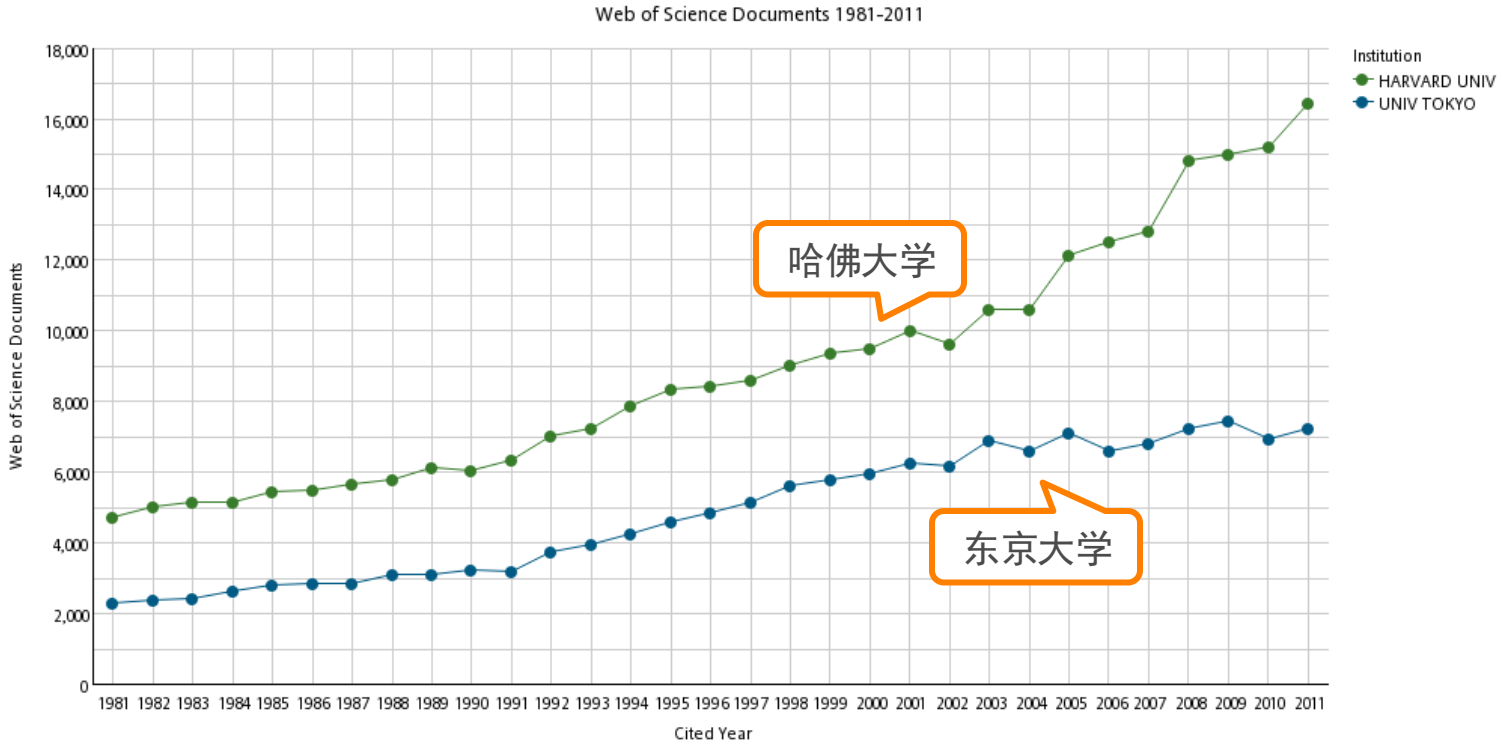

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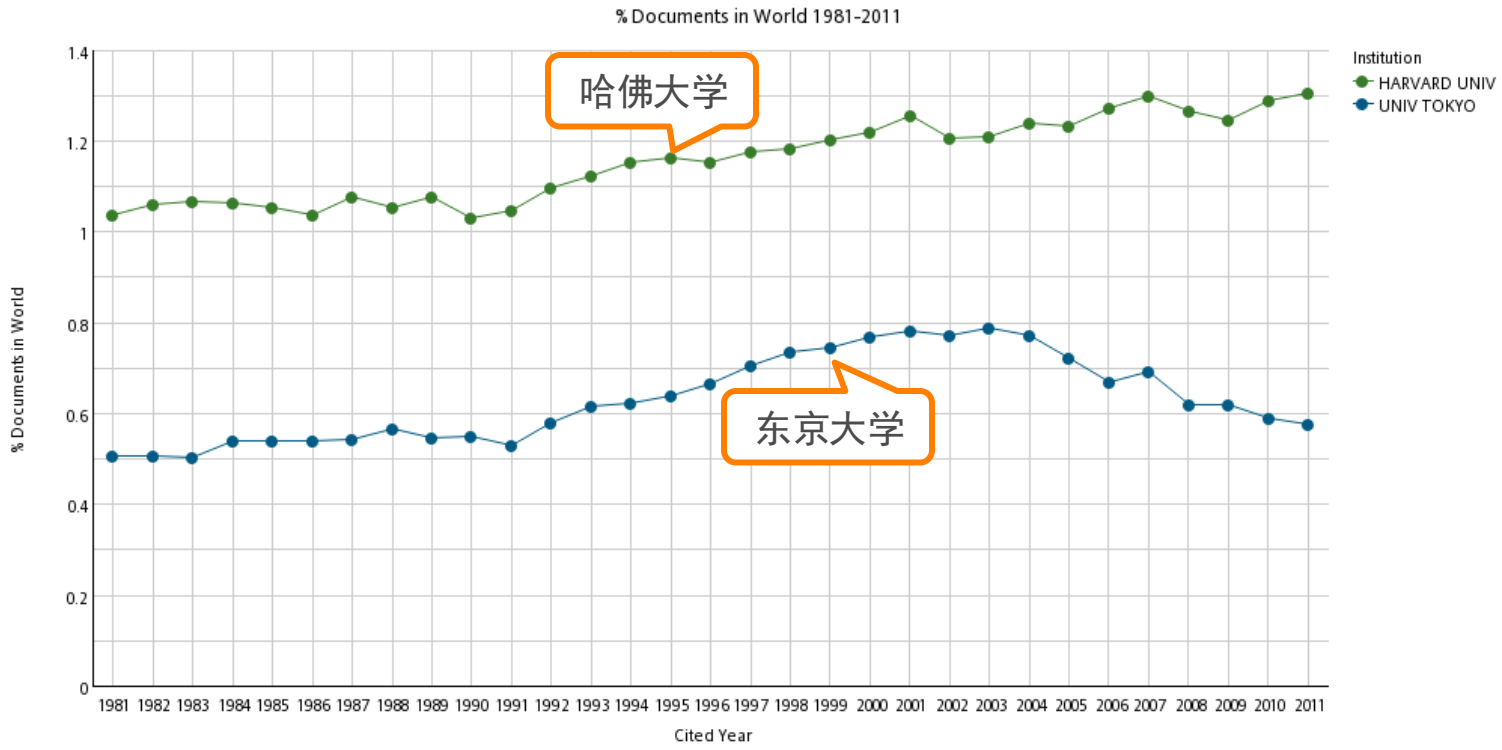

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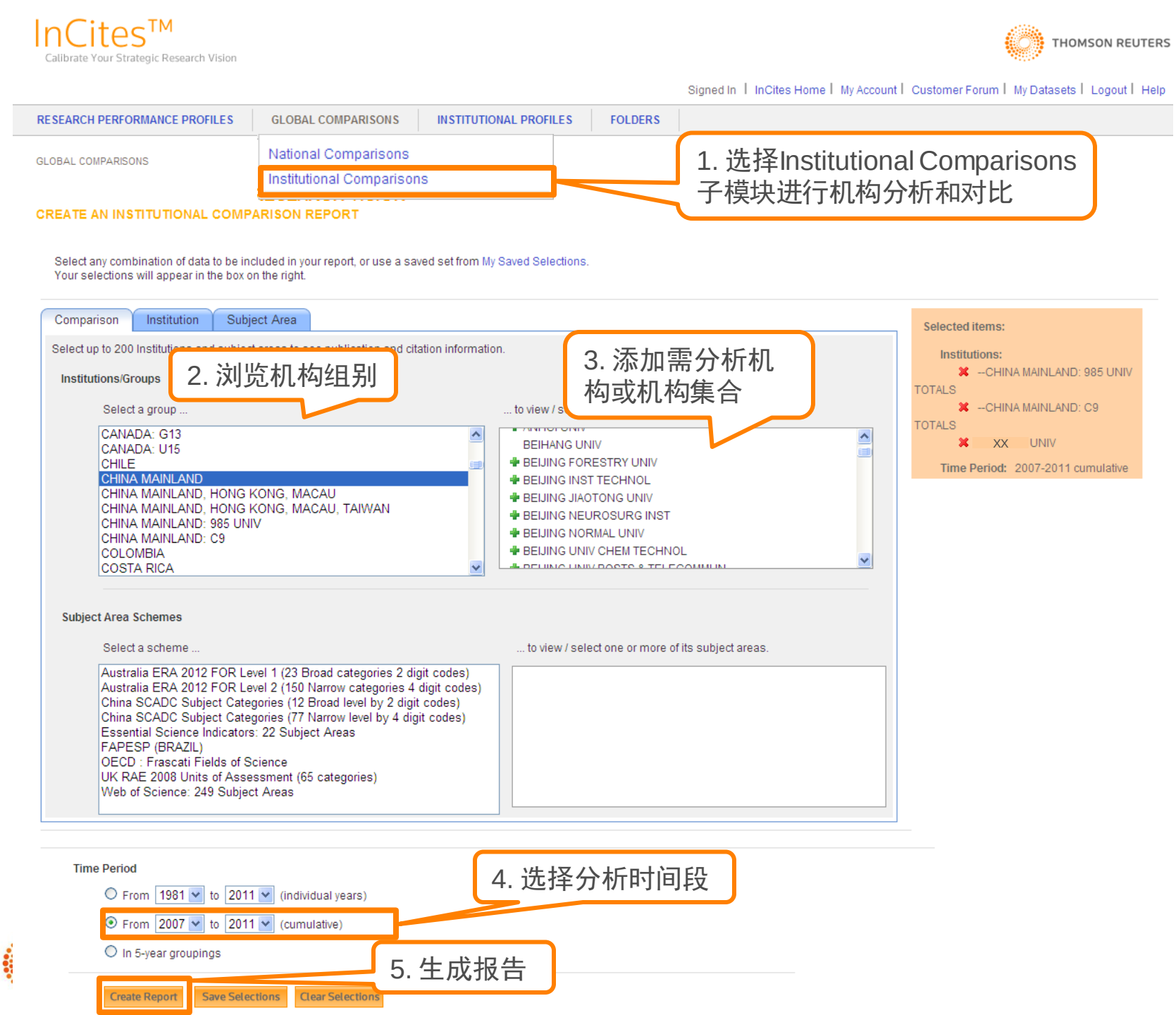
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GLOBAL COMPARISONS
National Comparisons
Institutional Comparisons
1. 选择Institutional Comparisons子模块进行机构分析和对比
CREATE AN INSTITUTIONAL COMPARISON REPORT
Select any combination of data to be included in your report, or use a saved set from My Saved Selections.
Your selections will appear in the box on the right.
Comparison
Institution
Subject Area
Select up to 200 Institutions and subject areas to see publication and citation information.
Institutions/Groups
2. 浏览机构组别
Select a group ...
CANADA: G13
CANADA: U15
CHILE
CHINA MAINLAND
CHINA MAINLAND, HONG KONG, MACAU
CHINA MAINLAND, HONG KONG, MACAU, TAIWAN
CHINA MAINLAND: 985 UNIV
CHINA MAINLAND: C9
COLOMBIA
COSTA RICA
... to view / s
3. 添加需分析机构或机构集合
BEIHANG UNIV
BEIJING FORESTRY UNIV
BEIJING INST TECHNOL
BEIJING JIAOTONG UNIV
BEIJING NEUROSURG INST
BEIJING NORMAL UNIV
BEIJING UNIV CHEM TECHNOL
Selected items:
Institutions:
--CHINA MAINLAND: 985 UNIV
TOTALS
--CHINA MAINLAND: C9
TOTALS
XX UNIV
Time Period: 2007-2011 cumulative
Subject Area Schemes
Select a scheme ...
... to view / select one or more of its subject areas.
Australia ERA 2012 FOR Level 1 (23 Broad categories 2 digit codes)
Australia ERA 2012 FOR Level 2 (150 Narrow categories 4 digit codes)
China SCADC Subject Categories (12 Broad level by 2 digit codes)
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UK RAE 2008 Units of Assessment (65 categories)
Web of Science: 249 Subject Areas
Time Period
From 1981 to 2011 (individual years)
From 2007 to 2011 (cumulative)
In 5-year groupings
4. 选择分析时间段
5. 生成报告
Create Report
Save Selections
Clear Selections

COMPARE INSTITUTIONS 2007-2011 CUMULATIVE

Report Limited To

Dataset: Global Comparisons
Report Name: Compare Institutions
Time Period: 2007-2011 Cumulative
Institutions: --CHINA MAINLAND: 985 UNIV TOTALS:--CHINA M
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--CHINA MAINLAND: 985 UNIV TOTALS	309,958	1,165,577	3.76	59.87	0.78	5.34	0.94	0.92
--CHINA MAINLAND: C9 TOTALS	141,283	597,578	4.23	62.22	0.87	2.43	0.98	0.98
UNIV	5,072	10,779	2.13	46.88	0.44	0.09	0.74	0.80

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Time Period:	2007-2011 Cumulative
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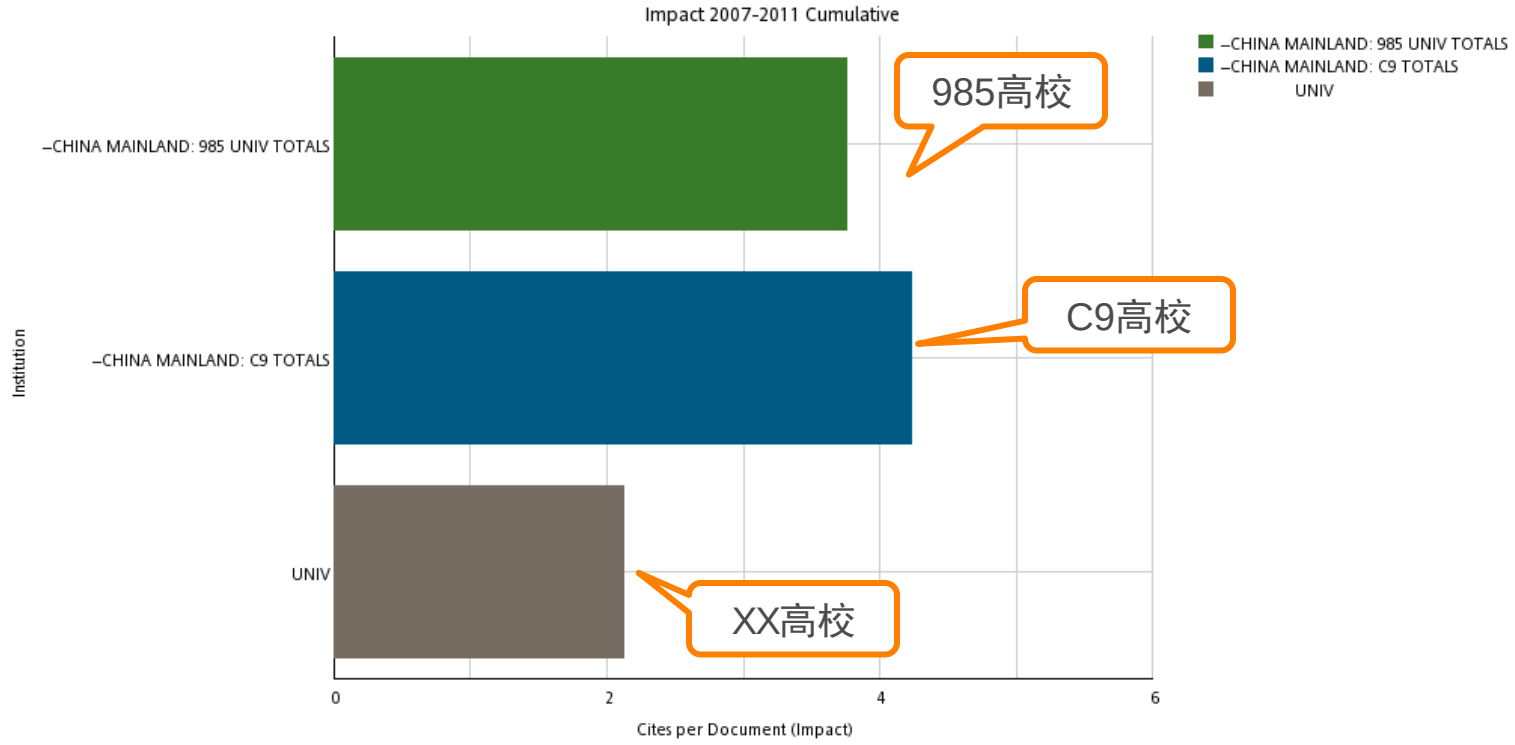

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Report Name: Compare Institutions
Time Period: 2007-2011 Cumulative
Institutions: --CHINA MAINLAND: 985 UNIV TOTALS;--CHINA MAINLAND: C9 TOTALS;BEIHANG UNIV
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选定相对影响力指标

Show: All Documents
Sort By: Institution

Institution	Web of Science Documents View Graph	Times Cited View Graph	Cites per Document (Impact) View Graph	% Documents Cited View Graph	Impact Relative to World View Graph	% Documents in World View Graph	% Documents Cited Relative to World View Graph	Aggregate Performance Indicator View Graph
--CHINA MAINLAND: 985 UNIV TOTALS	309,958	1,165,577	3.76	59.87	0.78	5.34	0.94	0.92
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UNIV	5,072	10,779	2.13	46.88	0.44	0.09	0.74	0.80

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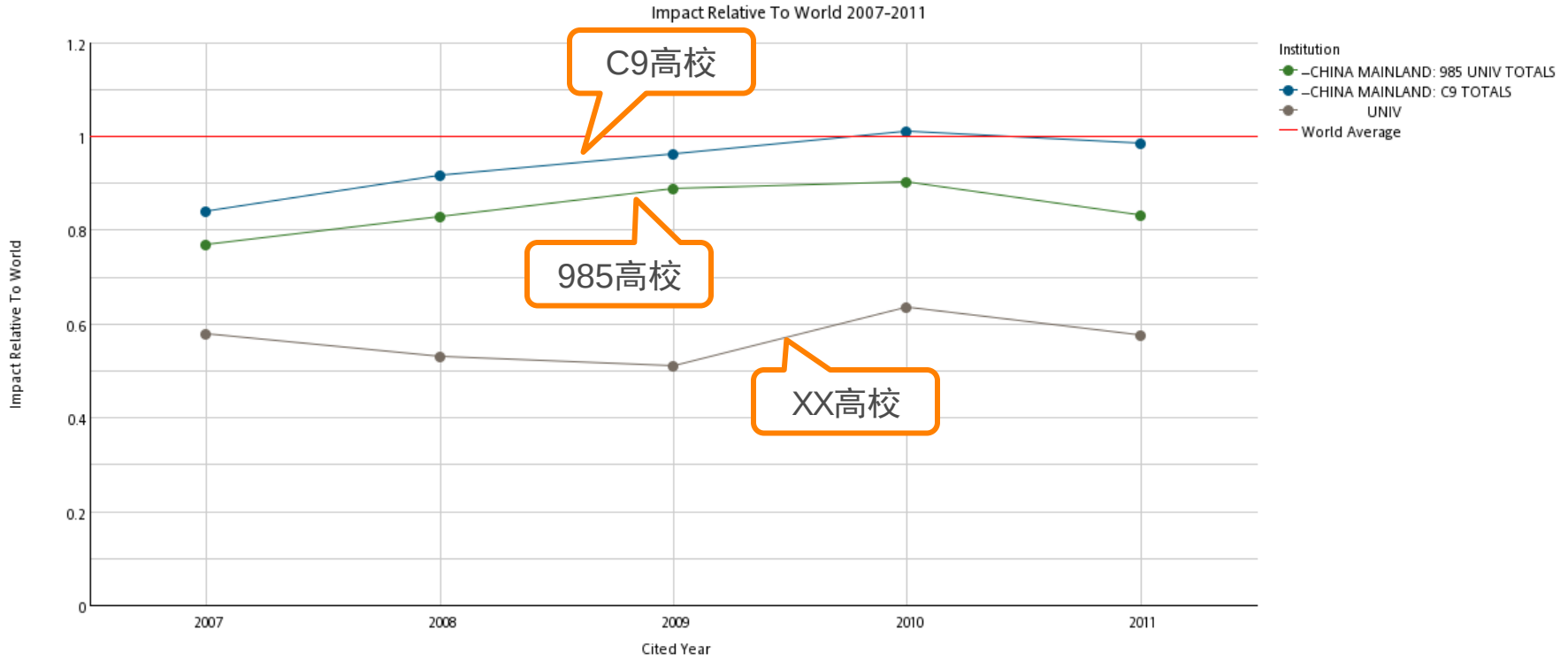

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小结

- 总览分析仪表板(Summary Metrics)能够基于全球引文基准值建立相对影响力指标，并以图示方式直观呈现，为您把握机构总体学术表现和全球定位提供全面、客观的数据支撑；
- 定制化分析报告(Custom Report)能够灵活建立任意年或年度区间的子数据集，从而帮助您跟踪机构总体学术表现的发展变化；
- 机构对比数据(Institutional Comparison)能够帮助您您为分析对象建立不同的基准线，进行定标对比分析。另外，相对影响力指标可以消除不同机构规模、分析时间段等因素的影响，以全球平均水平为标尺，客观的判断机构学术影响力水平。

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