



开放获取期刊评价与遴选

Evaluation and Selection for Open Access Journal

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Evaluation and Selection for OA Journal

1. 背景、目的、框架

Background, Objectives, Framework

2. 期刊质量与影响力评价

Quality and impact evaluation

3. 开放程度利用评价

Openness evaluation

4. 经济与管理服务评价

Cost and managerial services



1.1 背景 (Background)

■ 1.1.1 谁为什么要评价和遴选开放获取期刊

■ Who and why need OA journal evaluations

■ 作者希望通过评价来选择发表期刊

- 高质量、影响力大、作者权益强、经济负担合理

- High quality, high impact, strong author rights, reasonable cost

■ 资助者希望通过评价来选择支持期刊

- 高质量、开放程度高、作者和机构及社会权益强、经济负担合理、政策与过程透明度高、服务好

- High quality, high openness, strong rights for authors and institutions and funders and public, reasonable cost, high policy and procedure transparency, rich and good services



1.1 背景 (Background)

■ 1.1.2 为什么需要不同的开放获取期刊评价方式

- **Why need a new approach to OA journal evaluation**
- 传统期刊评价局限在纸本环境，侧重期刊质量本身
 - Traditional evaluation focuses on print environment and journal quality
 - 引用次数、影响因子、评议过程、编者作者水平等
 - Citations, impact factors, peer review process, etc.
- OA期刊不仅是“又一种”期刊，而是新传播利用模式
 - OA journals are not just more journals. They are a new model of communications and utilization
- 人们对新模式有新期待新要求、因此有新的评价要求
 - There are new expectations and needs for this new model, hence new evaluation requirements



1.2 目标 (Objectives)

■ 1.2.1 适应数字开放媒介的环境与需求

- **To meet the needs of a digital and open world**
- 源生数字，生而不同
 - **Born digital is born different**
- 数字媒介能够也应该广泛和立即可获取
 - **Digital media (DM) can and should be widely and immediately accessible**
- 数字媒介能够也应该支持丰富数据类型及其关联
 - **DM can and should support rich media**
- 数字媒介能够也应该支持丰富灵活自动的使用
 - **DM can and should support rich/flexible/machine use**
- 数字媒介能够也应该支持丰富的使用计量
 - **DM can and should support rich usage metric**
- 数字媒介能够也应该支持透明的过程信息及其管理
 - **DM can and should support transparent procedural information and its management**

■



1.2 目标 (Objectives)

■ 1.2.1 适应数字开放媒介的环境与需求

- **To meet the needs of a digital and open world**
- 源生开放，生而不同
 - **Born open is born different**
- 开放媒介能够也应该更好地支持作者/机构的权益
 - **Open media (OM) can and should better support the rights of authors and funding institutions**
- 开放媒介能够也应该支持各类内容的开放关联
 - **OM can and should support open linking of content**
- 开放媒介能够也应该支持各类内容的开放利用
 - **OM can and should support open use of content**
- 开放媒介能够也应该更好地支持政策与过程透明监管
 - **OM can and should better support transparency of policies and processes**
- 开放媒介能够也应该支持期刊的开放管理和开放创新
 - **OM can and should better support open management and innovation of journals themselves**



1.2 目标 (Objectives)

- 1.2.1 适应数字开放媒介的环境与需求
 - 数字化开放化期刊的功能和效益因而不同
 - **Functionalities and roles are changing**
 - 数字化开放化期刊，仍然要供人读，仍需要评价其内容质量，仍可使用传统期刊的相关评价下载量、引用量、引用率等指标
 - **OA journals still need traditional evaluation metrics**
 - 期刊数字化开放化使期刊成为一个服务平台，已出现或可以提供许多新功能新服务，它们也贡献于并决定了期刊的“质量”和“服务能力”，需要寻找合适的评价机制和指标
 - **Digital and OA journals are new service platforms with new functions and roles which contribute and decide the quality and capability of a journal.**



1.2 目标 (Objectives)

■ 1.2.2 利用评价和遴选来推动开放学术信息交流

- Evaluation is a development tool
- 作者选择期刊发表和资助者选择期刊支付都是有力的支持机制，应利用这种支持来实现积极的社会目标
 - Publish and support publishing are both strong supportive measures that can/should be used to achieve positive social goals
- 促进开放获取和知识的开放利用
 - Facilitate open access and open use of knowledge
- 提高开放获取期刊的质量和服务能力
 - Enhance the quality and services of OA journals
- 维护公共促进学术交流体系的转变和发展
 - Promote the transformation and innovation of scholarly communication systems for the good of the society



1.3 框架 (Framework)

■1.3.1 分析视角 (Analytic viewpoints)





1.3 框架 (Framework)

■ 1.3.2 评价框架 (Analytic framework)

- 质量与影响力 (quality and impact)
 - 质量控制机制 (Quality control mechanisms)
 - 传统使用与影响力指标 (traditional use/impact)
 - 新型使用与影响力指标 (new use /impact indicators)
- 开放性 (Openness)
 - 内容可开放获取程度 (content accessibility)
 - 权益开放程度 (openness in rights management)
 - 支持开放利用与开放服务程度
 - (levels of support for open use and open services)
- 经济与管理服务 (Cost and managerial services)
 - 促进学术交流体的变与创新
 - Promote the transformation and innovation of scholarly communication systems for the good of the society



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2 期刊质量与影响力评价

- 2.1 质量控制机制 (QC mechanisms)
 - 同行评议机制
 - If peer reviewed
 - 编委会和评审专家团组成质量
 - Quality of editorial board and peer review community
 - 同行评议标准与流程的严谨程度
 - Qualities in peer review standards and procedures
 - 同行评议标准与流程的管理程度
 - Rigorousness in management of peer review process
 - 同行评议标准、过程的信息透明程度
 - Transparency of peer review standards and procedures
 - 期刊质量投诉与处理机制
 - Rigorousness in processing bad content
 - 开放同行评议?
 - Open peer review?



2 期刊质量与影响力评价

■ 2.2 传统使用与影响力指标

■ Traditional usage and impact indicators

■ 引用量、引用率

■ Citations and citation rate

■ 影响力

- Impact factor) : 标准化、相对、综合等
- 特征因子 (JCR factor)
- 期刊声望指数 (SCImago Journal Rank)
- H指数 (H-index) : H、R、A、G、W、G等
- 被引指数 (Citation index) : 总被引、半衰期、均引、自引、他引、当年指标等
- 文献指数 (Literature index) : 文献总量、网络下载量、参考文献量、基金论文比等
- 学科影响 (Subject effecting) : 扩散因子、扩散指标、影响指标
- 推荐参考 (Ref. article) : Braun, T., Glänzel, W.(2006)
- 推荐参考 (Ref. article) : 薛晓芳、陈锐、何玮(2011)



2 期刊质量与影响力评价

■ 2.3 新型使用与影响力指标

■ **New usage and impact indicators**

■ 下载量、即期下载速率

■ Downloads, concurrency of download

■ 细粒使用测度

■ Time spend in reading

■ Number of opened, extracted, copied, played, etc.

■ 链接量和转载转存量（例如Twitter、社交网、知识库）

■ Numbers and types of links to other content and services

■ Numbers of deposits into other content services

■ 使用密度

■ 文章和期刊使用密度（usage density）

■ 影响力分布

■ 按使用时间分布（distribution of use times）

■ 按用户地域或学科分布（user regions and fields）



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3. 开放性评价 (Openness)

■ 3.1 内容可开放获取程度

- **Open accessibility of content**
- 论文开放份额
 - Full OA or hybrid OA?
- 论文开放速度
 - Immediately OA or delayed OA
- 论文开放使用许可程度
 - Allowed usage of content
 - CC-BY or CC_BY_NC_ND or other restrictions
- 论文内容及相关内容开放使用程度
 - Accessibility of supplemental materials
 - Accessibility of related or linked materials
 - Accessible file formats (PDF or XML)
- 论文开放使用许可规范程度
 - Standardization of licenses and their management



3. 开放性评价 (Openness)

■ 3.2 权益开放程度

- **Openness of rights**
- 作者权益 (Rights for authors)
 - 作者是否保留版权? **If author retains copyright?**
 - 如果作者仍需转移版权, 作者拥有什么权利?
 - **What rights author will retain if author has to transfer copyright?**
- 机构权益 (Rights for institutes)
 - 机构可否保留版权? **If institute retains copyrights?**
 - 机构是否拥有存储、使用、传播、开放利用权...?
 - **Will institutes have rights for deposit, use, distribution, and re-use for results it supports?**
- 资助者权益 (Rights for funders)
 - 资助者是否拥有存储、使用、传播、开放利用权...?
 - **Will funders have rights for deposit, use, distribution, and re-use for results it supports?**



3. 开放性评价 (Openness)

■ 3.3 支持开放利用与开放服务的程度

- **Level of support for open services**
- 内容丰富程度
 - **Richness of content (graphics, tables, video, audio, etc.)**
- 支持辅助资料的程度
 - **Level of support for supplemental resources**
- 支持内部关联与外部链接的程度
 - **Level of support for links within and with outside sources**
- 支持期刊内容的开放数据化程度
 - **Level of support for open data applications of content**
- 支持作者、读者及第三方系统与内容的交互处理的程度
 - **Level of support for interactive use of content by authors, readers, and third party systems**
- 支持内容与用户网络和科研教育工作系统嵌入服务程度
 - **Level of support for embedded services in user networks and user workflows**



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4. 经济与管理服务

(**Cost and Managerial services**)

■4.1 OA费用及其相关指标

- **Cost and related indicators**
- OA费用水平
 - **Level of cost**
- OA费用与质量、开放性和开放服务的相关性
 - **Relevancy of cost to quality, openness, and services**
- OA费用及其政策的透明性
 - **Transparency of cost and cost policy**
- OA费用支付的灵活性和机构优惠性
 - **Flexibility of cost payment and discounts of institutional support**
- OA费用支付与订购经费扣减的合理关联及其透明性
 - **Relatedness and its transparency of OA cost with subscription fee**
- 针对特殊困难情况的OA费用减免政策
 - **Availability of OA cost waiver for authors with special difficulties**
- OA费用支付的方便性效率性
 - **Ease and effectiveness of OA fee payment**



4. 经济与管理服务

(Cost and Managerial services)

■4.2 针对作者的服务

■ Services for authors

■ 支持自存储服务的程度

■ Support for automatic self-deposit: if, how, and how much?

■ 支持使用统计服务的程度

■ Support for usage statistics: if, how, and how much?

■ 支持关联引用服务的程度

■ Support for services such as citing alerts?

■ 支持同行评议和编辑控制的规范与手册的开放查询

■ Support for easy access to standards, guidelines, protocols, etc., used for peer review and editorial control?

■ 支持同行评议与编辑审查信息的有效管理与利用

■ Support for effective use of information on errors, misconducts, and other “should-avoided cases”

■ 针对作者的宣传与培训

■ Promotion and training for the services to authors and institutes

■



4. 经济与管理服务

(**Cost and Managerial services**)

■4.3 针对机构的服务

■ **Services for institutes**

■ 支持机构作者的自动存储服务的程度

■ **Support for automatic self-deposit: if, how, and how much?**

■ 支持集团使用统计服务的程度

■ **Support for usage statistics: if, how, and how much?**

■ 支持机构开展宣传的服务程度

■ **Support for institutional promotion services?**

■ 支持机构开展OA经费效益分析的服务程度

■ **Support for efficiency analysis for institutional OA spending**

■ 针对机构服务的政策透明性、经济合理性和可选择性

■ **Policy transparency, reasonable cost, and user-selectivity**

■



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■ 结语 (Conclusion)

- 开放获取在创造新的交流模式
 - **OA is creating a new model of communications**
- 开放性远超过免费阅读
 - **OA is far more than free reading**
- 源生数字，源生开放，生而不同
 - **Born digital and open, is born different**
- 需要新视角、新目标、新框架、新指标
 - **Need new viewpoints, new objectives, new frameworks, and new indicators**
- 需要不断拷问开放出版：你究竟有多么开放？
 - **How open it is: by SPARC and PLOS ONE**



欢迎批评指正

comments and criticism are welcome

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