



Evaluating scientific products by means of citation-based models

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The Mathematics of Ranking,
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- 2 Common metrics
- 3 The model
 - One-class model
 - Two-class model
 - Three-class model
- 4 Experimental results
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The Problem

- Number of scientific journals and papers is increasing at an almost exponential rate
- What to read? What to cite? Which journals subscribe? How to evaluate research?
- This burden affects researchers, funding agencies, university administrators, reviewers

Difficult to give an in-depth evaluation of the research

Use indirect indicators of **quality**





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Most of “automatic” methods rely on citation analysis

The evaluation of research using citation analysis has weaknesses...

- Is a citation always a trusting vote?
- Data source and coverage
- How do authors choose the papers to cite?

... but also some pros

- Peer review is not always practicable
- There are plausible assumptions underlying the use of citation analysis as a heuristic
- Simple and objective





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Notation

We can represent the **citation process** as a graph and hence as a **binary matrix**

$$C_{ij} = 1 \text{ iff } p_i \text{ cites } p_j.$$

Assume that receiving a citation is always good!





Common metrics:

Different metrics for different purposes

- Ranking journals - Libraries, scholars for deciding where to publish, ...
- Ranking papers - What to read, what to cite, ...
- Ranking authors - distribution of grants, hiring people, ...





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Common metrics: Journals

Citation Statistics: Impact Factor, AMS MR, Citeseer,...

Pros: Easy to calculate, time aware, objective, etc.

Cons: Depend on the area.

In the same journal articles with different citation rates.

The ranking provided doesn't always agree with the widely accepted journal's reputation.





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The ISI Impact factor

The **ISI IF** defines the status of a journal for a specific year.

It is defined as the mean number of citations that occurred in the considered year y to articles published in a given journal j during the previous two years.

$$IF(j, y) = \frac{\sum_k (c_{kj}(y, y - 1) + c_{kj}(y, y - 2))}{n(j, y)},$$

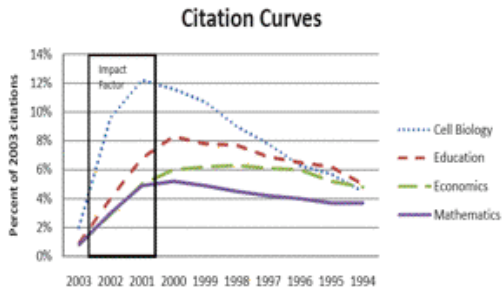
where

$n(j, y)$ = number of papers published in journal j in years $y - 2, y - 1$





The ISI Impact factor



[IMU, 2008]

The time window of two years is **too small** for many disciplines.





The ISI Impact factor

Journals Ranked by Impact: Mathematics

Rank	2006 Impact Factor	Impact 2002-06	Impact 1981-2006
1	J. Amer. Math. Soc. (2.55)	J. Amer. Math. Soc. (5.08)	Annals of Mathematics (24.82)
2	Annals of Mathematics (2.43)	Acta Mathematica (4.79)	Comm. Pure Appl. Math. (24.12)
3	Bull. Amer. Math. Soc. (2.39)	Bull. Amer. Math. Soc. (4.46)	Acta Mathematica (22.93)
4	Comm. Pure Appl. Math. (2.03)	Annals of Mathematics (4.28)	Inventiones Mathemat. (18.64)
5	Inventiones Mathemat. (1.66)	Fdns. Computat. Math. (3.93)	J. Different. Geometry (17.31)
6	J. Eur. Math. Soc. (1.49)	Comm. Pure Appl. Math. (3.74)	Bull. Amer. Math. Soc. (16.31)
7	Duke Mathematical J. (1.41)	Inventiones Mathemat. (3.50)	Ann. Sci. Ecole Norm. (12.99)
8	Publ. Mathematiques (1.35)	Ann. Sci. Ecole Norm. (2.59)	J. Amer. Math. Soc. (12.40)
9	Acta Mathematica (1.33)	Duke Mathematical J. (2.57)	SIAM J. Algebr. Discr. (12.35)
10	Geometry & Topology (1.27)	J. Different. Geometry (2.53)	Duke Mathematical J. (10.01)

[ScienceWatch.com, 2008]



Common metrics: Journals

PageRank-like techniques: Eigenfactor, SCImago, RedJasper, ...

Based on the idea that not all the citations are equal





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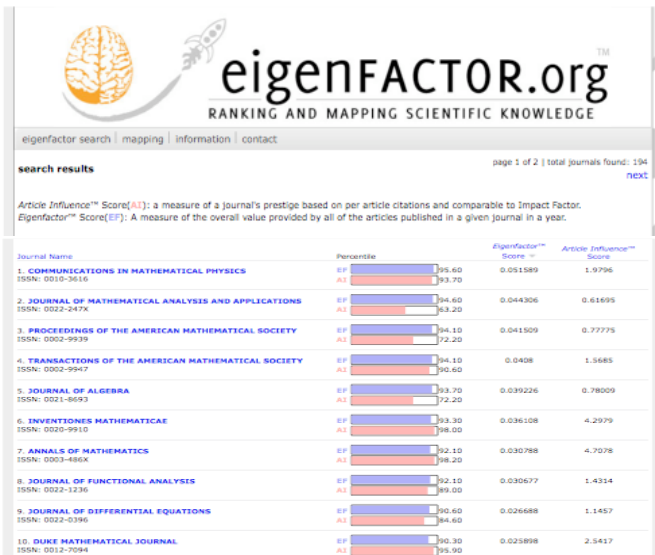


Common metrics: Journals

Pros: Quality is more important than quantity, metric of prestige, nice mathematical properties [see the axiomatic approach Palacios-Huerta, Volij, 04]



Common metrics: Eigenfactor





Common metrics: Journals

Hybrid technique: Y-factor

$$Y(j) = IF(j) \times PR_w(j)$$





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Common metrics: Papers

- Relevance of the journal where the paper is published
 - Not all the papers in a journal have the same quality
- Number of citations received





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Common metrics: Authors

- Top author if she publishes in “top” journals
- More accurate measures h -index, m -index, g -index, g_1 -index

Our Proposal [BDR ETNA 08]

- In the classical approach the ranking of journals is based on citations
- The ranking of papers and authors follows from the rank of the journals where the research is published

We proposed an integrated ranking of authors, journals, papers, areas, and institutions

Mutual reinforcement between papers, journals, authors



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Our Proposal

We have seen there are different uses of ranking

- Research evaluation by funding agencies
- Hiring in University or in a Industrial context
- Choosing individuals for a research team
- Many others ...

We try to design a tunable method to capture the different needs





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General principles

- A **paper** is important if published in an important journal but also if cited by important papers and authored by important authors
- An author is important if she has important co-authors and has written important papers published in important journals
- A journal is important if collects citations from important journals, publishes important papers by important authors

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J	citation	publication	publication
A	publication	co-authorship	authorship
P	publication	authorship	citation



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	J	A	P
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A	publication	co-authorship	authorship
P	publication	authorship	citation





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	J	A	P
J	citation	publication	publication
A	publication	co-authorship	authorship
P	publication	authorship	citation





We described and analyze three models

- One-class model, made up by **Papers** only
- Two-class model, made up by **Papers** and **Authors**
- Three-class model, made up by **Papers**, **Authors** and **Journals**





One-class model

$C = (c_{i,j})$ citation matrix $n \times n$

$\mathbf{e} = (1, 1, \dots, 1)^T$, $\mathbf{d} = C\mathbf{e}$, assume that $d_i \neq 0$, $i = 1 : n$

$$P = (p_{i,j}) := \text{Diag}(\mathbf{d})^{-1}C$$





- P is **row stochastic**, i.e., $P\mathbf{e} = \mathbf{e}$
- If P is irreducible

by the Perron-Frobenius theorem it exists unique a vector $\pi > 0$ such that

$$\pi^T = \pi^T P, \quad \mathbf{e}^T \pi = 1, \quad \pi_j = \sum_{i=1}^n \pi_i \frac{c_{ij}}{d_i}$$

(π_j is the rank of paper j)





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The principle contained in the equation

$$\pi_j = \sum_{i=1}^n \pi_i \frac{c_{i,j}}{d_i}$$

is that each paper **equally** distributes its importance among all the cited papers.





Problems

- Reducibility of P
- Dangling nodes, i.e., papers which cite no papers,
- Even when P is irreducible it may be periodic





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Example

If P is stochastic and **reducible**

$$P \approx \begin{bmatrix} P_{1,1} & P_{1,2} \\ O & P_{2,2} \end{bmatrix}$$

then $[\mathbf{0}^T, \pi_2^T]$, where π_2^T is such that

$$\pi_2^T P_{2,2} = \pi_2^T.$$





Example

If P is stochastic and **periodic** we have more than an eigenvalue with modulo $\rho(P)$.

Problems of convergence of numerical algorithms for computing eigenvectors



Remedy:

We introduce a **dummy paper** which cites and is cited by all the existing papers except by itself

The dummy paper collects the importances of all the papers and redistributes them uniformly to all the subjects by creating no privileges



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Example

In matrix terms we add one row and one column to the matrix C made of all ones

Example:

$$C = \begin{bmatrix} 0 & 1 & 0 & 0 \\ 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & 1 \\ 0 & 0 & 0 & 0 \end{bmatrix} \rightarrow \left[\begin{array}{cccc|c} 0 & 1 & 0 & 0 & 1 \\ 0 & 0 & 1 & 0 & 1 \\ 0 & 0 & 0 & 1 & 1 \\ 0 & 0 & 0 & 0 & 1 \\ \hline 1 & 1 & 1 & 1 & 0 \end{array} \right]$$

The new matrix is irreducible and aperiodic if $C \neq 0$ (there exist cycles of length 2 and 3)





Similar to Google's PageRank?

Same problems, but solved differently!





Theoretical issues: Model validation

- What happens if we add a new citation from a paper to another one?
- What happens if we add a new paper with citations?
- Does the rank of the newly cited paper increase more than that of the other papers?
- Can we formalize and quantify this property?





Theoretical issues: Model validation

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Theoretical results

Let C be an irreducible adjacency matrix

(r, s) such that $c_{r,s} = 0$

define $\hat{C} = (\hat{c}_{i,j})$ such that $\hat{c}_{r,s} = 1$, $\hat{c}_{i,j} = hc_{i,j}$ otherwise;

$$C = \begin{matrix} & & & s & & \\ \begin{matrix} \cdot & \cdot & \cdot & \cdot & \cdot \\ \cdot & \cdot & \cdot & 0 & \cdot \\ \cdot & \cdot & \cdot & \cdot & \cdot \\ \cdot & \cdot & \cdot & \cdot & \cdot \\ \cdot & \cdot & \cdot & \cdot & \cdot \end{matrix} & \leftarrow r \end{matrix}$$

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$$\hat{P} = \begin{matrix} & & & & s & & \\ & \cdot & \cdot & \cdot & \cdot & \cdot & \cdot \\ & \cdot & \cdot & \cdot & \cdot & \cdot & \cdot \\ 1/(q+1) & 0 & \cdot & 1/(q+1) & 1/(q+1) & \cdot & \\ & \cdot & \cdot & \cdot & \cdot & \cdot & \cdot \\ & \cdot & \cdot & \cdot & \cdot & \cdot & \cdot \\ & \cdot & \cdot & \cdot & \cdot & \cdot & \cdot \end{matrix} \leftarrow r$$

Theorem:

[BDR, ETNA 08]

For the left Perron vectors π and $\hat{\pi}$ of P and \hat{P} it holds

$$\sigma \frac{\hat{\pi}_r}{\pi_r} \leq \frac{\hat{\pi}_j}{\pi_j} \leq \frac{\hat{\pi}_s}{\pi_s} \quad j = 1, \dots, n, \quad \sigma = q/(q+1) < 1$$

where q is the number of ones in the r -th row of C ;

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The paper which receives a new citation has an increase of rank larger than the increase of any other paper



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There are other perturbation results in the literature, but this is stronger!



Can we prove a stronger result?

If there are **more than one citation** we can prove that at least one of the newly cited papers has an increase of rank

More precisely...



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Add references from paper r to papers s_1, s_2, \dots, s_k . Let \hat{P} the stochastic matrix obtained.

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$$\sigma \frac{\hat{\pi}_r}{\pi_r} \leq \frac{\hat{\pi}_j}{\pi_j} \leq \left(\prod_{i=1}^k \frac{\hat{\pi}_{s_i}}{\pi_{s_i}} \right)^{1/k} \leq \max_i \frac{\hat{\pi}_{s_i}}{\pi_{s_i}} \quad j = 1, \dots, n,$$

for $\sigma = q/(q + k)$.

However...

There are even cases where one of newly cited paper has a decrease of rank





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$$\sigma \frac{\hat{\pi}_r}{\pi_r} \leq \frac{\hat{\pi}_j}{\pi_j} \leq \left(\prod_{i=1}^k \frac{\hat{\pi}_{s_i}}{\pi_{s_i}} \right)^{1/k} \leq \max_i \frac{\hat{\pi}_{s_i}}{\pi_{s_i}} \quad j = 1, \dots, n,$$

for $\sigma = q/(q + k)$.

However...

There are even cases where one of newly cited paper has a decrease of rank



Add references from paper r to papers s_1, s_2, \dots, s_k . Let \hat{P} the stochastic matrix obtained.

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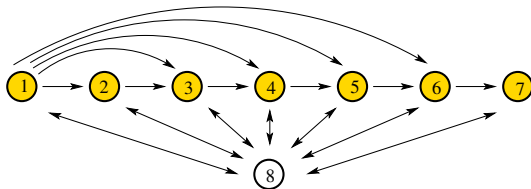
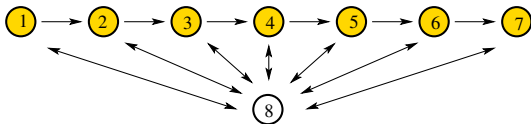
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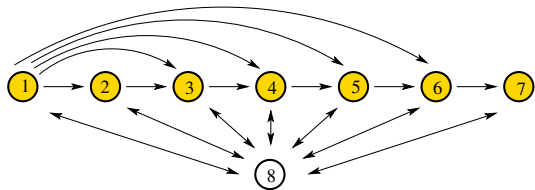
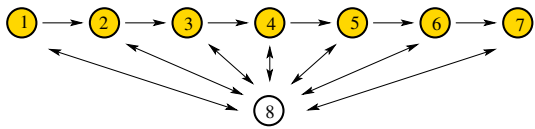
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One-class model



One-class model

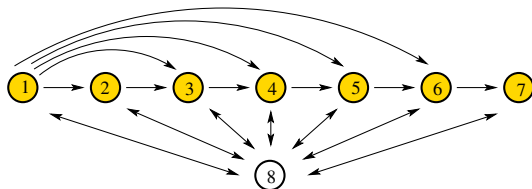
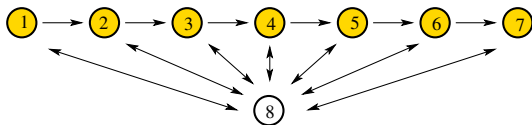


$$\pi = (0.05259, 0.07888, 0.09203, 0.09860, 0.10189, 0.10353, 0.10436)$$

$$\hat{\pi} = (0.05119, 0.05972, 0.08958, 0.10451, 0.11197, 0.11570, 0.10904)$$



One-class model



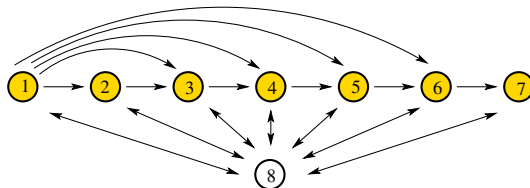
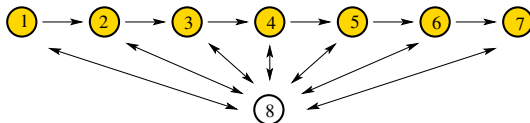
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while their ratio is given by



One-class model



$$\hat{\pi} / \pi = (0.97334, 0.75704, 0.97334, 1.05986, 1.09893, 1.11754, 1.04487)$$



A similar result can be proved if we assume that only paper s receives a citation from papers r_1, r_2, \dots, r_k .

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For the left Perron vectors π and $\hat{\pi}$ of P and \hat{P} it holds

$$\min_{i=1,k} \sigma_i \frac{\hat{\pi}_{r_i}}{\pi_{r_i}} \leq \left(\prod_{i=1}^k \sigma_i \frac{\hat{\pi}_{r_i}}{\pi_{r_i}} \right)^{1/k} \leq \frac{\hat{\pi}_j}{\pi_j} \leq \frac{\hat{\pi}_s}{\pi_s} \quad j = 1, \dots, n,$$

for $\sigma_i = q_i / (q_i + 1)$. Moreover,

$$\frac{\hat{\pi}_j}{\pi_j} < \frac{\hat{\pi}_s}{\pi_s}, \quad \text{if } h_{r,j} \neq 0,$$

and $1 < \frac{\hat{\pi}_s}{\pi_s}$.



Two-class model

We consider both **papers** and **authors**

The author-paper matrix

$$K(a, p) = 1 \quad \text{if author } a \text{ has written paper } p$$

The matrix $A = KK^T$ is the matrix of co-authors

Assume that the dummy paper is written by a **dummy author**



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The system is represented by the matrix

$$S = \begin{bmatrix} KK^T & K \\ K^T & C \end{bmatrix}$$

which captures the relationship of authorship and citation among the different subjects of the model.





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Look at the nice structure!





Example

$$P1 \rightarrow P2 \rightarrow P3 \rightarrow P1$$

$$A1 \rightarrow P1, P2, P3; \quad A2 \rightarrow P2; \quad A3 \rightarrow P3$$

Then

$$C = \left[\begin{array}{ccc|c} 0 & 1 & 0 & 1 \\ 0 & 0 & 1 & 1 \\ 1 & 0 & 0 & 1 \\ \hline 1 & 1 & 1 & 0 \end{array} \right], \quad K = \left[\begin{array}{ccc|c} 1 & 1 & 1 & 0 \\ 0 & 1 & 0 & 0 \\ 0 & 0 & 1 & 0 \\ \hline 0 & 0 & 0 & 1 \end{array} \right]$$

$$A = KK^T = \left[\begin{array}{cccc} 3 & 1 & 1 & 0 \\ 1 & 1 & 0 & 0 \\ 1 & 0 & 1 & 0 \\ 0 & 0 & 0 & 1 \end{array} \right]$$



Two-class model

$$S = \left[\begin{array}{cccc|cccc} 3 & 1 & 1 & 0 & 1 & 1 & 1 & 0 \\ 1 & 1 & 0 & 0 & 0 & 1 & 0 & 0 \\ 1 & 0 & 1 & 0 & 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & 1 & 0 & 0 & 0 & 1 \\ \hline 1 & 0 & 0 & 0 & 0 & 1 & 0 & 1 \\ 1 & 1 & 0 & 0 & 0 & 0 & 1 & 1 \\ 1 & 0 & 1 & 0 & 1 & 0 & 0 & 1 \\ 0 & 0 & 0 & 1 & 1 & 1 & 1 & 0 \end{array} \right]$$

We make the four blocks row-stochastic

We combine them into a larger stochastic matrix adding weights.



Two-class model

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More precisely:

$$P = \begin{bmatrix} \gamma_{1,1}A_{1,1} & \gamma_{1,2}A_{1,2} \\ \gamma_{2,1}A_{2,1} & \gamma_{2,2}A_{2,2} \end{bmatrix} \quad A_{i,j} \text{ is row stochastic}$$

The rank vector is the Perron vector of P

$$\pi^T P = \pi^T$$





Let $\pi = [\pi_{\text{authors}}, \pi_{\text{papers}}]$, one has

$$P = \begin{bmatrix} \gamma_{1,1}A_{1,1} & \gamma_{1,2}A_{1,2} \\ \gamma_{2,1}A_{2,1} & \gamma_{2,2}A_{2,2} \end{bmatrix}$$

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The weights γ_{ij} can be used to tune how much of their importance each player transfers to the subject.



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The impact of co-authorship should be marginal respect to that of papers \rightarrow low $\gamma_{1,1}$



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Remark:

The previous perturbation theorems still hold in this model for perturbations concerning C only



Three-class model

We introduce in our model the class of **journals**

We introduce the journal-paper matrix

$$F(j, p) = 1 \quad \text{if journal } j \text{ publishes paper } p$$

- $G = (g_{i,j})$ such that $g_{i,j} = r$ if author i has published r papers in journal j
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It holds $E = FCF^T$, $G = FK^T$, the complete adjacency matrix is

$$S = \begin{bmatrix} FCF^T & FK^T & F \\ KF^T & KK^T & K \\ F^T & K^T & C \end{bmatrix}$$



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The matrices in the **first column** contribute to the ranking of **journals**



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The matrices in the **second column** contribute to the ranking of **authors**



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The matrices in the **third column** contribute to the ranking of **papers**



As for the two-class model...

Normalization of blocks and the use of a 3×3 parameter matrix $\Gamma = (\gamma_{i,j})$ lead to a stochastic matrix P of which the left Perron vector π represents the ranking of the subjects

Nice mathematical properties which relates the coupling matrix Γ with the “energy” of the three classes



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Remarks ...

- **Column normalization:** blocks (**Authors,Papers**), (**Authors,Journals**) and (**Papers, Journals**) need column normalization
- **Dummy journal:** Introduction of a dummy journal which publishes the dummy paper.
- **Probabilistic interpretation**
- The Dummy Journal is the **library**, the dummy author is the **librarian**, the dummy paper is the **catalog**



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Theoretical results for the three class model?

The previous perturbation theorems are not straightforward for this model

In fact...

Introducing a citation from paper i to paper j alters also the cross citation matrix.



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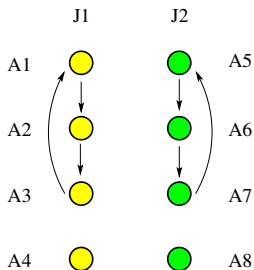
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Three-class model

Some examples



The yellow papers have the same rank of the corresponding green papers

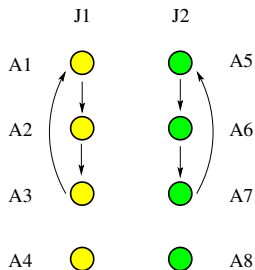
Journal 1 has the same rank as Journal 2

Now we add a new citation



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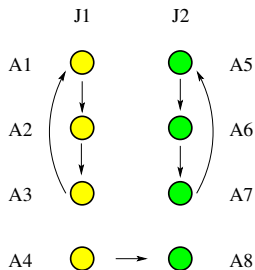
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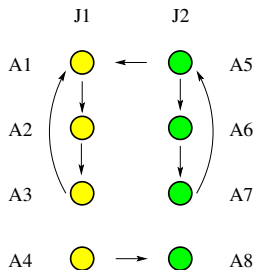
Journals: (0.4835, 0.5165)

Authors: (0.1252, 0.1252, 0.1252, 0.1187
 0.1267, 0.1267, 0.1267, 0.1254)

Papers: (0.1275, 0.1275, 0.1275, 0.1038
 0.1296, 0.1296, 0.1296, 0.1248)

Three-class model

Example



Journals: (0.5015, 0.4985)

Authors: (0.1301, 0.1259, 0.1265, 0.1192
0.1255, 0.1252, 0.1234, 0.1244)

Papers: (0.1432, 0.1279, 0.1303, 0.1037
0.1269, 0.1257, 0.1193, 0.1228)



Time

We need to add **time** into this mechanism

- Newly published papers do not have **yet** received enough citations

Their rank is destined to be low

The same for junior researchers whose rank remains lower than that of senior researchers

- How does it change the rank over the time?
- Was author X important in year y ?



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Our idea:

- Scale the citation matrix C with an **exponential decay** function.

A paper not cited recently loses its importance

An old paper that is cited recently gains importance





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Experiments

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paper	pos.	cit.
Diffie, Hellman- New directions in Cryptography	31	553
Rivest, Shamir, Adleman - Public Key cryptography	3	1218
Bryant -Boolean Functions Manipulation, BDD	1	1636
Kirkpatrick, Gelatt, Vecchi- Simulated Annealing	2	1337
Floyd, Jacobson - TCP/IP Protocol	4	1125
Canny - Computational approach to Edge detection	10	834





Two-class model:

Author	cit	pap.	cit./pap.
Randal Bryant	2615	83	31.5
Sally Floyd	4950	91	54.4
John K. Ousterhout	2214	23	96.3
Luca Cardelli	2112	91	23.2
Van Jacobson	4719	40	118.0
Rakesh Agrawal	4745	83	57.2
Jack J. Dongarra	2799	291	9.6
Raj Jain	1038	116	8.9
Douglas C. Schmidt	2980	329	9.1
Vern Paxson	2735	66	41.4
John Mccarthy	911	41	22.2
Thomas A. Henzinger	3694	176	21.0





Three class model: Journals (AMS-MR)

≈ 3500 journals, 110,000 authors, 300,000 papers

Journal	n. cit	n. pap.	IF	EF
Trans. AMS	22796	5247	0.820	0.041
Inventiones Mathematicae	21181	2481	1.659	0.039
Annals of Mathematics	19365	2193	2.426	0.031
Proc. AMS	16722	6045	0.513	0.042
Comm. Math. Phys	21997	3748	2.077	0.052
J. Algebra	15059	4457	0.568	0.039
Duke Math. J.	11939	2161	1.409	0.026
Mathematische Annalen	11248	2670	0.902	0.023
J. Functional Analysis	13778	2437	0.866	0.031
Comm. on Pure Appl. Math.	12111	1227	2.031	0.019



Authors - time aware method (AMS-MR)

Author	num. cit	num. pap.
Lions, Pierre-Louis (FM)	2641	199
Erdős, Paul	1358	377
Bourgain, Jean (FM)	1019	156
Simon, Barry	1502	198
Shelah, Saharonh	972	333
Brezis, Haïm	1698	127
Lustzig, George	1145	87
Caffarelli, Luis	1288	131
Yau, Shing Tung (FM)	1571	136
Connes, Alain (FM)	1114	79
Arnold, Vladimir	551	90

Sorry, very few papers of Lucien Godeaux are in the database used



Authors - time aware method (AMS-MR)

Author	num. cit	num. pap.
Lions, Pierre-Louis (FM)	2641	199
Erdős, Paul	1358	377
Bourgain, Jean (FM)	1019	156
Simon, Barry	1502	198
Shelah, Saharonh	972	333
Brezis, Haïm	1698	127
Lustzig, George	1145	87
Caffarelli, Luis	1288	131
Yau, Shing Tung (FM)	1571	136
Connes, Alain (FM)	1114	79
Arnold, Vladimir	551	90

Sorry, very few papers of Lucien Godeaux are in the database used





Authors - time aware method (AMS-MR)

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Conclusions

- Use automatic ranking only when strictly necessary
- Cannot replace peer review
- There are parameters that have to be agreed upon at a “political” level

Pros of our approach

- Flexible to meet multiple goals
- The ranking obtained is a mixture of ingredients...





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Open problems

Many open problems for mathematicians:

- More perturbation results for the three-class model: what happens if we add an author? Is it convenient to write a paper with your office-mate?
- Theoretical results for the time-aware mechanism.
- Can we apply similar ideas to "similar" problems?





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Thanks!

