

The influence of self-citation corrections on Egghe's g index

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The g index was introduced by Leo Egghe as an improvement of Hirsch's index h for measuring the overall citation record of a set of articles. It better takes into account the highly skewed frequency distribution of citations than the h index. I propose to sharpen this g index by excluding the self-citations. I have worked out nine practical cases in physics and compare the h and g values with and without self-citations. As expected, the g index characterizes the data set better than the h index. The influence of the self-citations appears to be more significant for the g index than for the h index.

Introduction

In 2005 the physicist Hirsch [1] introduced the h index as an easily determinable estimate of the impact of a scientist's cumulative research contribution. The index h is defined as the highest number of papers of a scientist that received h or more citations. Thus it incorporates both publication quantity and citation quality into a single number, which might be taken as an estimate of the visibility or impact of a scientist's research and might reflect its importance and significance. It has generally been well received in the physics community [2–4] and it is discussed as a convenient measure in evaluations.

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The h index is robust in the sense that it is insensitive to the number of uncited or lowly cited papers. This is certainly an advantage compared to other indicators like the average number of citations per paper or the total number of papers. On the other hand, the h index is also robust in the sense that it is not sensitive to one or several outstandingly highly cited papers, because once a paper has reached the h -defining set, it is no more relevant whether or not it is further cited. This aspect has been considered as a major drawback of the h index [5]. One way to take into account the performance of the most cited papers would be to determine the average number of citations per "meaningful paper" [6], but then it is ambiguous how to define the threshold. One possibility would be to use the value h [6], the result has been labeled a index [7, 8]. Thus the performance could be characterized by two values, the h index and the a index. A more elegant way to incorporate the evolution of citation counts of highly cited articles into a single number has been proposed by Egghe [9, 10], defining the g index as the highest number of papers that received on average g or more citations. In other words, it is the highest number of articles that together received g^2 or more citations. By this definition the usually strongly skewed frequency distribution of the citations increases the score: the higher the number of citations in the top range, the higher the g index.

The relation between h and g has been investigated for some simple models [11], it has also been applied to 14 Price medalists [5]. In that paper the author suggested that it would also be interesting to work out more practical cases (in other fields) of h and g index comparisons. It is one purpose of the present article to present nine such practical cases in physics. Previous investigations of the Hirsch index have determined outstanding values for prominent and highly cited scientists. While these are certainly interesting, they are surely not representative cases. Only one investigation [12] of the Hirsch index analyzed the data of more average scientists, namely average faculty members. I have chosen the same strategy, analyzing my own publications and those of eight colleagues as described below. This case study shows that the g index better measures the citation records of the authors than the h index.

The second purpose of the present work is to investigate the influence of self-citations on the g index. Self-citations do not reflect the impact of a publication and should therefore not be included in a citation analysis when this is intended to give an assessment of the scientific achievement of a scientist and his visibility [13]. Earlier studies [14] have shown that in physical sciences 15% of all citations were self-citations. In more recent studies [13, 15] in physics about 25% of all citations were identified as self-citations. However, it is not obvious, how strongly these self-citations influence the g index. I have recently [16] shown that self-citations significantly reduce the h index in contrast to Hirsch's expectations [1]. For a group of 7 scientists in ecology and evolution [17] the exclusion of self-citations reduced the h index on average by 12.3%. On the other hand, the average reduction was only 6.6% for the h indices of 31 influential scientists in information science [18], with an absolute decrease between zero

and three only. In contrast, my investigation [16] showed a decrease between two and six, with an average of 3.6 or 23.5%, when self-citations were excluded. A more comprehensive study [20] of 26 data sets yielded comparable results: the h -index values decreased on average by 21.3%. This is a rather significant effect. I will show below that the effect is similarly important for the determination of the g index, yielding a decrease of the g index between one and twelve, with an average of 5.0 or 21.7%. It also turned out that the g index after exclusion of self-citations allows for a better distinction between the impact of the publications of the different authors. Thus it is superior to the original g index, which in turn is superior to the h index.

Data base

The subsequent analysis is based on data compiled in January and February 2007 from the Science Citations Index, provided by Thomson ISI in the Web of Science (WoS), taking great care that homographs do not distort the results [16]. Out of self-interest and due to the fact that it is relatively easy to check for homographs and other inaccuracies in one's own publications and citations I first performed a self-experiment and investigated my own citation records (data set A). Then I analyzed the publications of a somewhat older colleague who is working in a more topical field in a mainstream area (data set B). In contrast, I studied the records of a somewhat younger colleague, working in a less attractive field, who has published fewer papers (data set C) and I was surprised that in this case the g index was not significantly larger than the h index, see below. This induced me to look at two other data sets (D and E) with an even smaller total numbers of publications. In these cases the ratio g/h turned out to be unexpectedly large, as also shown below. Finally, addressing the concerns of a referee, I have considered four more cases, where F was chosen because it appeared to be similar to D and E, and G, H, I comparable to C.

Small deviations of the values for data sets A and B in comparison to the previous study [16] are due to the fact that the data have been updated for the present investigation.

Hirsch's index h and Egghe's index g

After ordering the publication list according to the number of citations $c(r)$, where r is the rank that the ordering has attributed to the article,* Hirsch's index h can be easily determined from

* The notation $g(r)$ is commonly used for the general rank-frequency function, but in order to avoid confusion with the value g for the g index I use the notation $c(r)$ for the citation frequency of the article with rank r .

$$h \leq c(h) \quad \text{while} \quad c(h+1) < h+1, \quad (1)$$

or, equivalently, from

$$h = \max_r (r < c(r)), \quad (2)$$

which reflects the verbal definition above, namely that h is given by the highest number of papers which received h or more citations. To determine the g index, one has to calculate the sum $s(r)$ over the number of citations up to the rank r :

$$s(r) = \sum_{r'=1}^r c(r') \quad (3)$$

Then the g index is also easy to determine from

$$g^2 \leq s(g) \quad \text{while} \quad s(g+1) < (g+1)^2 \quad (4)$$

or, equivalently, from

$$g = \max_r (r^2 < s(r)) = \max_r (r \leq \bar{c}(r)). \quad (5)$$

where $\bar{c}(r)$ denotes the average number of citations up to rank r , i.e.,

$$\bar{c}(r) = \frac{s(r)}{r}. \quad (6)$$

The definition (5) again reflects the verbal definition above, namely that the g index is defined as the highest number of papers which received on average g or more citations.

Results of the first analysis: h , a , and g indices

In Table 1 some characteristics for the nine data sets are compiled. Besides the total number of papers n also the number of papers with at least one citation, $n_1 = \max_r (c \geq 1)$, is given, because in the general framework of information production processes where the articles are the sources and the citations are the investigated items, only sources with at least one item are usually considered. In citation analysis, on the other hand, of course also uncited articles belong to the data set. But it is certainly interesting to observe how many articles are not cited at all. In the cases which are investigated here, between 14% and 31% of the papers received no citation. As well it is interesting to see the highest number of citations for every author, $c(r=1)$. Here the high value $c^D(1) = 204$ for data set D (The superscript is used to distinguish the data sets.) is conspicuous in comparison to the relatively small total number of publications. On the other hand, the value $c^C(1) = 24$ appears to be quite small for a scientist with an overall production of 86 papers.

Table 1. Characteristics for the nine data sets analyzed in the present investigation. The first column labels the data sets, the following columns give the total number of publications, the number of publications which received at least one citation, the highest citation count, the Hirsch index, the total number of citations of all papers up to the Hirsch index, the average number of citations for all papers up to the Hirsch index, the geometric mean of the Hirsch index and the a index, the g index, the citation count of the first paper that is not included in the g -defining set, and the ratio of g index and h index.

Data set	n	n_1	$c(1)$	h	$s(h)$	$a = \bar{c}(h)$	$\sqrt{s(h)}$	g	$c(g+1)$	g/h
A	270	214	182	27	1691	62.6	41.1	45	18	1.67
B	290	250	457	39	3661	93.9	60.5	67	22	1.72
C	86	59	24	13	222	17.1	14.9	15	10	1.15
D	35	29	204	8	281	35.1	16.8	18	3	2.25
E	15	12	25	5	85	17.0	9.2	10	2	2.00
F	25	19	19	7	77	11.0	8.8	9	5	1.50
G	88	67	64	14	428	30.6	20.7	22	8	1.57
H	72	61	55	14	388	27.7	19.7	22	11	1.57
I	79	56	55	14	388	27.7	19.7	21	10	1.50

The first analysis of the data yielded the Hirsch index as given in Table 1. It is apparent from the strongly differing values of h that the present study describes rather different cases as mentioned above.

In the present context, the summed number of citations up to the value of the Hirsch index, $s(h)$, is significant, because it yields the a index, given by the average $a = \bar{c}(h)$ as shown in Table 1. As expected, the a index is significantly larger than the h index, indicating already that one or several papers have a quite high citation count which cannot be appropriately appreciated by the Hirsch index. This is of course reflected in the determination of the g index for the nine data sets (see Table 1) which provides the expected [9] larger variance compared to the Hirsch index h . The geometric mean between the h index and the a index, which is given by $\sqrt{s(h)}$, yields already a reasonable estimate for the g index. This means that the h -defining set is strongly dominating the rank-frequency distribution, the citation counts of the further publications have only a minor influence. This is due to the fact that they are already relatively small and therefore cannot contribute very much to an enhancement of the g index. In the extreme situation that $c(r) = 0$ for all $r > h$ one would get $g = \sqrt{s(h)}$.

Of course, the number of citations at the critical rank $r = g$ is usually significantly lower than the index g and also much lower than the value h . The numbers $c(g+1)$ in Table 1 show that although for the g index a significantly longer part of the tail of the citation distribution has to be taken into account, the tail is not nearly exhausted in most cases, except data sets D and E. Small values of $c(g+1)$ are consistent with the above discussion that the tail is long, but weak and therefore does not contribute much to the

enhancement of the g index. To be specific, the value $c(g+1)$ must be compared to $2g+1$ which is the number of additional citations which are needed to increase the index from g to $g+1$.

The ratio g/h has already been suggested as an interesting measure [5], because this relative increase indicates the existence of very highly cited articles in the data set, where very high is meant in relation to the Hirsch index. In this respect data set D is outstanding with $g^D/h^D = 2.25$ due to $c^D(1) = 204$ although data set B contains the article with by far the highest total citation count $c^B(1) = 457$. Also outstanding is data set C, with the smallest ratio g/h which means that all manuscripts up to the rank $r = h^C$ have citation counts of the same magnitude. This was already reflected in the a^C index, which is not significantly higher than the h^C index. Analogous though less conspicuous in this respect is case F. As intended with the selection of the data sets, the cases G, H, and I appear to be quite similar.

Self-citations and the sharpened index g_s

In any measure of scientific achievement, self-citations should not be included, because they do not reflect the visibility or impact of the scientist's research. Of course, some self-citations are completely legitimate, for example when they are really needed in a manuscript in order to avoid repetition of previously published theoretical models, experimental setups, results, and/or conclusions. But in some cases the number of self-citations is relatively high, which might be for the simple reason that authors find it easier to refer to their own papers when a citation is required in a given context for a certain argument, because one knows one's own previous manuscripts best. However, sometimes one can get the impression that people cite their own papers only, because nobody else does. It is certainly tempting to enhance one's citation count when more and more assessments are based on such a quantity. The Hirsch index is particularly vulnerable to such practice, because it is a single number, which can be relatively easily enhanced by specifically citing those papers for which the citation count is close to but below the critical value h . The g index is also just a single number, but it is less vulnerable being essentially an integral measure so that a small change of the citation count of a single manuscript close to the critical value g has in most cases no effect on the index. Nevertheless, the integrated number of self-citations does have a significant effect on the index as will be shown below.

In order to exclude the self-citations I have analyzed the citation records of every manuscript in the nine data sets A – I up to the respective g value and somewhat beyond. First I identified how often the authors cited their own papers, i.e. direct self-citations [15]. These I call the self-citation corrections (SCCs) of the first kind and label the respective quantities with the index o for own SCCs. The respective data are shown in Figure 1 and lead to a significant reduction of the citation counts by more than 10%

in nearly all cases, with data set D being a notable exception for which the own self-citations amount to 6% only; the other exception is data set I with 9% direct self-citations. Although the citation counts of some papers in data set B suffer from more than 100 self-citations, the remaining citations by other authors are numerous enough that the effect on the total number of citations is not overly significant.

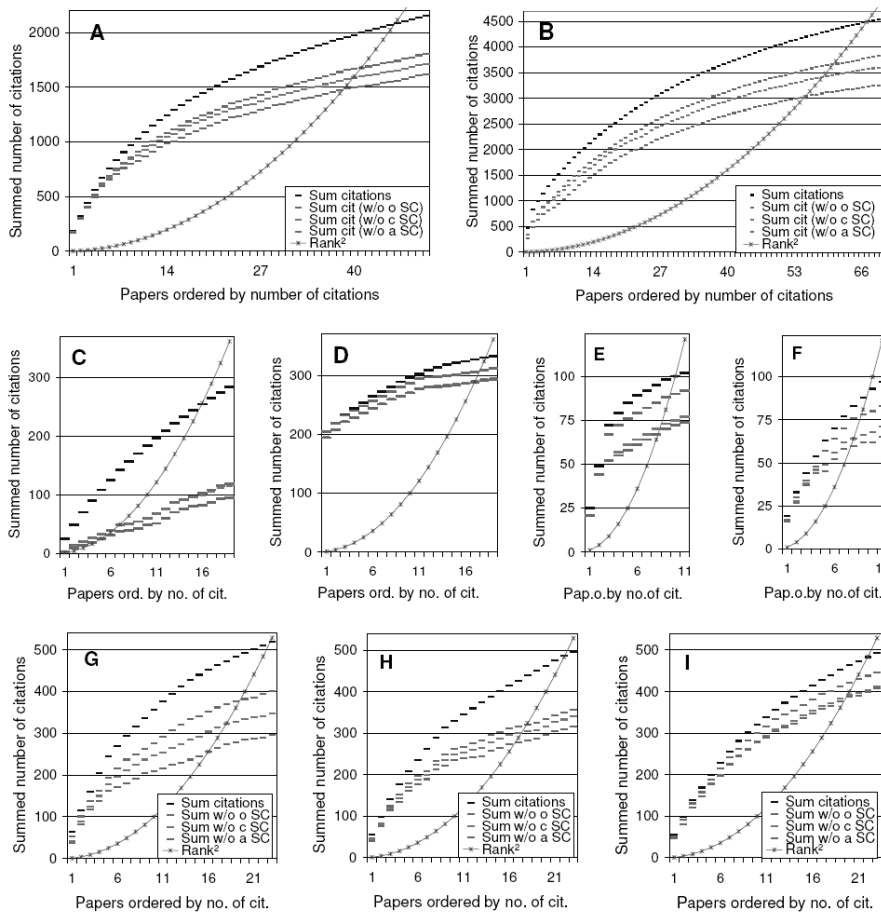


Figure 1. Summed number $s(r)$ of citations for the r most cited papers in each data set (black), without own self-citations (light grey), without maximal number of any co-author's self-citations (medium grey), and without all self-citations (dark grey), from top to bottom. The parabola r^2 is also shown. As the SCCs of the second kind are often equal or not much larger than the SCCs of the first kind, the respective bars cannot be distinguished in the plots in particular for small rank. For data set C they are equal up to $r = 15$. The letter in the upper left corner denotes the data set label

On the other hand, for papers 1 and 8 in data set C only three and one other citations remain after the SCCs of the first kind. In this case most of the other articles also suffer heavily from these SCCs. This makes a drastic impact on the respective diagram: the gap between the full citation count and the reduced count with the SCCs of the first kind opens immediately, and it is very large already at the beginning. In my own case (A) relatively few self-citations of the first manuscripts lead to an unusually small discrepancy between the full citation count and the one without SCCs in the beginning. In this aspect, data sets B and E appear to be more common as confirmed by the cases G, H, and I. As already mentioned, a notable exception is data set D which shows relatively few self-citations for nearly all articles so that the citation count after excluding the self-citations of the first kind remains relatively close to the total citation count all over the diagram, and case I shows a similar behavior though less strongly.

Of course, if a paper is cited by one of the co-authors, such a citation should also not be taken into account. Considering the co-author with the highest citation count, which might be the author him/herself, I have determined these SCCs which I call SCCs of the second kind and I label the respective quantities with the index c for co-author SCCs. These data are also shown in Figure 1 and for many publications these SCCs of the second kind are not larger than the SCCs of the first kind. As a result, the respective reduced citation counts for the first papers in each diagram of Figure 1 are often identical. In the case C this is true up to $r = 15$. A notable exception is the third paper in data set E where the co-author self-citations are unusually significant and determine the gap between SCCs of the first and second kind in the rest of the diagram. For most papers in data set D the SCCs of the second kind are much larger than those of the first kind, especially for the first paper, but altogether they remain in the order of 10%, i.e. still relatively small.

To determine the self-citations of all co-authors, one cannot simply sum the self-citations of all co-authors, because when two authors of an article have written another paper together, citing the first one, this would count as a self-citation for both co-authors. Rather one has to check every citing paper for multiple co-author self-citations. I call these the SCCs of the third kind and label the respective quantities with the index s to denote the correlated sum of all self-citations which yields the sharpened g index g_s . The data are also included in Figure 1. Now all data sets show a significant further reduction of the citation counts, again with the exception of cases D and I.

Overall, the share of self-citations is of the order of 25% in agreement with previous investigations [13, 15]. But in the extreme cases, I found as little as 11.8% self-citations for the first g papers in data set D, and as much as 67.2% self-citations in the g -defining set of papers for author C.

Results of the second analysis: the sharpened index g_s

In all diagrams of Figure 1 the parabola r^2 is also shown. In principle it allows the determination of the g index from the intersection of the parabola with the various data curves. To be precise, the respective g values are given by the rank for which the parabola is just below or at the plotted bar which reflects the summed number of citations for that rank. In this way one finds, e.g., $g_o^A = 40$, $g_c^A = 39$, and $g_s^A = 38$, while for data set C, one would get $g_o^C = g_c^C = 7$ and $g_s^C = 5$ or $g_o^I = g_c^I = 17$ and $g_s^I = 16$ in the case I. However, these are preliminary estimates which are not correct because the papers in Figure 1 are ordered by the total number of citations including self-citations. To obtain the correct values for the g index with SCCs one has to reorder the papers according to the citation counts after evaluating the SCCs. Of course, this reordering should not be restricted to the papers in the g -defining set. This is the reason, why it was necessary to analyze the citation records "somewhat beyond" the rank determined by the g value.

The reordered data are displayed in Figure 2. Here I have chosen a different way of presentation, the parabola has been already subtracted from the data, so that now the roots of the curves $s(r) - r^2 = 0$ indicate the respective g indices. Of course, as we are discussing the discrete case, the index is given by the highest rank for which there is still a non-negative value of $s(r) - r^2$.

An advantage of this way of presentation is that the vertical range of the plots is much smaller so that smaller differences can be detected more easily. The above observations about the influence of self-citations can be made in this presentation as well. Here one can also easily estimate and compare the relative weight of the various SCCs. Again data set C is an extreme case, for which even after the reordering very small citation counts result and where within this range of papers the SCCs of the second kind are always equal to those of the first kind, so that no distinction in the respective diagram can be made. In this presentation case D clearly differs from the other cases, because the diagram is dominated by the extremely high citation count of the first paper. A similar distinction can be made for case E, in which the first 3 papers dominate the total citation count. Moreover, the unusually large SCCs of the second kind for the third paper in data set E become most prominent in this presentation.

The resulting values for g_o , g_c , and g_s are given in Table 2. It can be seen that the g index is significantly reduced in all cases, the sharpened index g_s is mostly reduced by about 20%, but in the extreme cases by as much as 53% and as little as 6% only, shown by the ratio g_s/g in Table 2. A comparison of the values in Table 2 with the above given preliminary results for data sets A, C and I as deduced from Figure 1 shows that the reordering does have an influence on the results. The thus caused small changes of the values for the cases A and I is typical, the relatively large changes in case C are due to the unusually large number of self-citations in connection with the relatively small value of the g^C index.

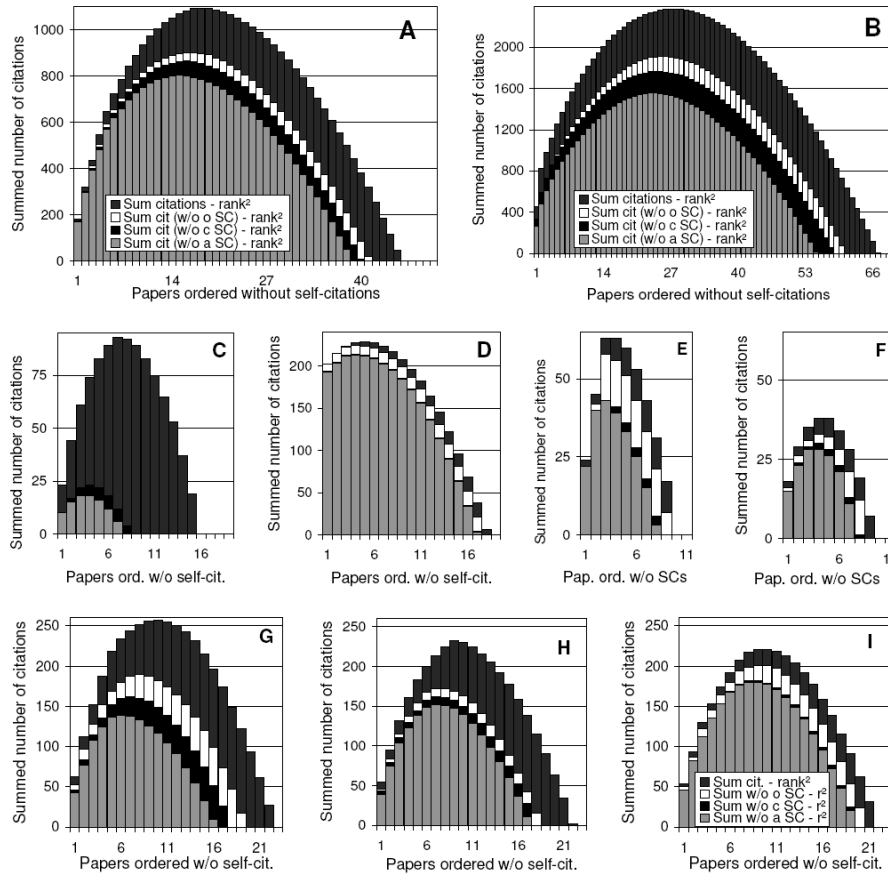


Figure 2. Summed number of citations as in Figure 1, but reordered after the exclusion of self-citations and reduced by r^2 . From top to bottom: Total number of citations (dark grey), without own self-citations (white), without maximal number of any co-author's self-citations (black), and without all self-citations (medium grey). As the latter histograms conceal the previous ones, the columns of second and third kind often do not show up, because they are not different from the third and/or fourth kind. The letter in the upper right corner denotes the data set label

Table 2 also comprises the values of the sharpened Hirsch index h_s and shows the ratio h_s/h . With a range of 12% to 46% the reduction is of the same order as for the sharpened index g_s . However, the variance is somewhat higher for g_s than for h_s . Therefore also the ratio g_s/h_s between the two sharpened values shows a larger variance ranging from 100% to 267% and thus makes a comparison between the authors concerning their visibility clearer. This becomes even more apparent, when one relates the sharpened value g_s with the original Hirsch index: now the ratio g_s/h yields values between 0.54 and 2.13.

Table 2. Influence of self-citations on the Hirsch index h and on the g index, quantified by the sharpened Hirsch index h_s and the indices g_o , g_c , and g_s considering the SCCs of the first, second, and third kind, respectively, as described in the text, as well as various ratios between these indices

Data set	h	h_s	h_s/h	g	g_o	g_c	g_s	g_s/h_s	g_s/g	g_s/h
A	27	22	0.81	45	41	40	38	1.73	0.84	1.41
B	39	34	0.87	67	60	58	55	1.62	0.82	1.41
C	13	7	0.54	15	8	8	7	1.00	0.47	0.54
D	8	7	0.88	18	17	17	17	2.43	0.94	2.13
E	5	3	0.60	10	9	8	8	2.67	0.80	1.60
F	7	6	0.86	9	8	8	7	1.17	0.78	1.00
G	14	10	0.71	22	19	17	16	1.60	0.73	1.14
H	14	10	0.71	22	18	17	17	1.70	0.77	1.21
I	14	13	0.93	21	20	19	19	1.46	0.90	1.36

The coincidence of g_s^C and h_s^C appears surprising at a glance, because it seems to indicate the unrealistic exception $g_s = h_s$. However, this is not the case, rather the equality stems from the fact that we are considering integer values only so that in this particular case a total citation count of s_s^C (g_s^C) = 55 yields $g_s^C = 7$ and not $g_s^C = 7.4$. Nevertheless, the coincidence is an indicator that the citation counts of all manuscripts in the h_s^C -defining set are at or not much above h_s^C . The small number of self-citations in data set D is already reflected in the high value h_s^D/h^D , but it becomes even clearer from the ratio g_s^D/g^D being close to unity. Similarly, the other extreme $h_s^C/h^C = 0.54$ becomes more pronounced in the g index ratio $g_s^C/g^C = 0.47$.

Comparison of different data sets

Let me finally point out various observations that can be made by comparing some of the values for different data sets. For example, my colleague B has written a few more papers than I did, but as he is working in a very topical field, his publications have received significantly more citations as reflected not only in the citation count of the mostly cited paper, but also in the summed number of citations. Consequently his Hirsch index is significantly larger than mine. All other indices, in particular g , h_s , and g_s , show a very similar behavior for both cases and all the ratios in Table 1 and Table 2 are quite similar.

Comparing data sets C and D the total number of citations and the Hirsch index give the impression that my colleague C is much more productive than D. However, the sharpened Hirsch index is equal for both cases, the g index is already smaller for the data set C and the sharpened g index makes this distinction even more obvious. One may conclude that D is more visible than C, although C is more productive than D.

A similar picture can be painted comparing cases E and C. The total number of publications in data set E is very small, so is the Hirsch index, although this scientist has already obtained an associate professorship. Certainly the value $h^E = 5$ is much smaller than the value which Hirsch has proposed [1] as a reasonable value for promotion. It is also much smaller than the already discussed value h^C . However, Table 1 shows that the highest citation counts of these two cases are nearly the same. This is also true for their a indices. Comparing the g values, one finds that g^E approaches g^C , which is also reflected in the respective ratios g/h . The ratios h_s/h are not so much different, but the ratios g_s/g are clearly distinct again, reflecting the observation that in the sharpened g index the colleague C has been overtaken by E. In the ratio g_s/h_s this becomes quite obvious, and it is even more pronounced when one compares the ratios g_s/h . Again the conclusion is that the impact of the research of scientist E is at least comparable, if not larger than that of colleague C. However, due to the small numbers of the indices in these two cases, the relative changes and the relative differences should not be overestimated.

Comparing data sets F and E, a similar observation can be made: while colleague F appears to be more productive than E with more publications and more visible with a higher h index, the relation is reversed when one looks at the g index or at the sharpened index g_s . Comparing cases F and C, F appears less productive and less visible, in this case not only by comparing the h values but also the g values, but this difference is completely balanced in the sharpened values of g_s .

The three cases G, H, and I have been selected, because they have approximately the same total number n of publications and similar highest citation counts $c(1)$. It was therefore not surprising, that their h indices are equal and that their g indices are nearly the same. However, after the SCCs have been taken into account, the resulting g_s values are different and allow a distinction. The colleague G with most publications ends up with the smallest value $g_s^G = 16$, while colleague I with smallest number of cited publications and the smallest g index among these three cases still reaches the value $g_s^I = 19$.

Summary

In conclusion, I have presented a case study of the g index as introduced by Leo Egghe. The comparison with the respective values for the Hirsch index confirmed the expectation that the g index does indeed incorporate the evolution of the citation counts of highly cited articles, which are not appropriately appreciated in the Hirsch index. In principle the determination of the g index is as simple as that of the h index, both being single numbers. In practice it is somewhat more difficult to determine, because it is an integral measure.

In addition, the influence of self-citations on the g index has been analyzed. As already observed for the Hirsch index [16, 19] the respective corrections are not insignificant and can drastically reduce the g index. Sharpening the g index by the exclusion of the self-citations leads to a larger variance of the obtained values and thus allows a clearer distinction of the data sets.

The expenditure for the data analysis is much larger, when the self-citations are to be determined. This was mentioned as one reason, why the self-citations had been taken into account only in seven randomly selected cases out of 187 data sets of scientists of ecology and evolution, for which the Hirsch index was investigated [17]. This expenditure is even much larger for the determination of the g_s index than for the calculation of the h_s index, because now the citation counts of all manuscripts at least up to the critical rank g have to be analyzed and not only the self-citations for the manuscripts with a rank in the neighborhood of the Hirsch index h . On the other hand, while small errors can easily change the Hirsch index h , this is usually not the case for the g index, because of its integral character. This has become clear, when the manuscripts were reordered by the number of their citations after excluding the self-citations and when this reordering did not have a significant influence while such a reordering is essential for the sharpening of the Hirsch index [16, 19].

In conclusion, the present study corroborates the superiority of the g index as compared to the h index. It also confirms that self-citations can be very significant and should be excluded, thus sharpening the g index and its merit. Another reasonable modification of the g -index would be taking into account the number of authors for multi-authored manuscripts, as it has been recently suggested and analyzed for the h -index [20].

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