

国际大都市图书馆指标体系研究

The Study of International Metropolitan Library Evaluation Index System
国家社会科学基金重点项目 Important Project of the National Social Science Foundation

王世伟

主编

上海科学技术文献出版社

国际大都市图书馆 指标体系研究

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序 言

Preface

国际大都市图书馆指标体系研究序

王世伟

《国际大都市图书馆指标体系研究》是 2005 年 5 月经国家社科基金学科评审组评审立项的国家社会科学基金重点项目,自 2005 年 6 月项目正式启动以来,在近三年的过程中,参加课题研究的全体成员齐心协力,认真调研,勇于创新,从全球视野着眼,从指标细节入手,形成了三个阶段的研究成果。在课题立项伊始,研究人员进行了课题的总体方案设计,经过多次讨论,确定了个案研究——体系研究——案例分析的三段式研究路径与方法,并对项目的整体实施步骤形成了计划和分工。

一、《世界著名城市图书馆述略》(2005. 6~2006. 5)

课题第一阶段进行了近一年的时间,阶段性成果为《世界著名城市图书馆述略》。根据课题先进行个案研究的计划要求,共选择了世界上有代表性的 15 个城市作为研究对象,其中包括北美洲的华盛顿、纽约、多伦多,欧洲的伦敦、巴黎、柏林、莫斯科和圣彼得堡,非洲的亚历山大,澳洲的悉尼,亚洲的东京、新加坡、香港、北京和上海。其中既有全球影响的城市,也有洲际地区影响的城市。在选择 16 个图书馆中,9 个是国家图书馆,7 个是城市公共图书馆包括城市图书馆系统。

在个案研究的过程中,进行了广泛的文献调研和资料收集,根据参考文献的不完全统计,共查阅了 105 种中外文献资料,其中中文资料 41 种,外文资料(包括英文、法文、日文)64 种,相关照片近百张。

对于个案研究,提出了统一的要求:一是注意了解和分析图书馆与所在城市以及国家的文化、历史、社会等背景的相互关系;二是注意在图书馆的历史记述中,着重把握历史文化

Preface to the Study of the International Metropolitan Library Evaluation Index System

Wang Shiwei

The study of International Metropolitan Library Evaluation Index System received grants in May 2005 from National Social Science Funds with its penal approval. Since the official started one month later, the whole research group was devoted to this key project with one mind, joint hands, innovative ideas and global perspectives. From the very outset, an overall plan was designed, which, after discussions, evolved into three phases, including library study, index system study and case study, detailed procedures finalized and workloads designated.

Phase One: The World-Class Metropolitan Libraries (2005.06~2006.05)

The study lasted for almost one year, producing *The World-Class Metropolitan Libraries* in the end. 15 most representative cities in the world were selected, including Washington D.C., New York, and Toronto in the North America, London, Paris, Berlin, Moscow, and St. Petersburg in Europe, Alexandria in Africa, Sydney in Oceania, and Tokyo, Singapore, Hong Kong, Beijing and Shanghai in Asia, some of which are of global influence while the others powerful across the region. Among the 16 studied libraries, 9 are on national levels, the rest being city libraries or library systems.

Extensive documents, roughly amount to 105 in number along with hundreds of photos, were collected and analyzed. Apart from the 41 Chinese documents, the other 64 were written in foreign languages such as English, French and Japanese.

Special attentions were paid to:

- 1) the connection between libraries and the cities they serve as well as the nations' culture, history and social development;
- 2) cultural traditions, characteristics of collections, uniqueness of management / service and future mission that should be addressed in particular during historical narration;

背景、馆藏资源特色、管理和服务特点、未来使命等四个方面；三是关于图书馆活动的撰述，除了专业工作描述外，同时兼顾其所在城市公共图书馆体系和图书馆在城市文化活动中的地位和作用；四是参考和引用的文献应采用权威的第一手资料，数据必须可靠并经核对；五是约请国内外的一些图书馆学者共同参与文稿的撰写；六是书稿必须配有反映图书馆建筑、服务场景、馆藏特色等方面的图片。

在《世界著名城市图书馆述略》一书编撰过程中，得到了美国国会图书馆、加拿大多伦多图书馆、新加坡国家图书馆、中国国家图书馆、首都图书馆、上海交通大学图书馆、上海建筑设计研究院、上海科学技术文献出版社等机构和专家同行们的大力支持和帮助。上海图书馆馆长吴建中也对该书的出版给予了帮助。国际图联主席卢克斯和国际图联大都市图书馆委员会主席施伊特伦分别为该书撰写了序言。

卢克斯在序中指出：

“随着网络在信息和娱乐方面的发展和广泛的使用，有些人提出疑问：‘我们还需要图书馆建筑吗？’这本书将对此问题进行辩驳并提供积极的回答。每一个章节详细凸现了这样一个事实——全世界涌现了更多令人激动和兴奋的城市图书馆建筑。”

“本书带给读者的是令人印象深刻的图书馆建筑以及他们对‘建筑怎样更好地发挥城市图书馆的各项功能’这个问题的理解。”

施伊特伦在序中指出：

“我们的领域很少有专业研究文献，虽然这种文献是非常重要的。王世伟先生的研究项目对其持续发展作出了重要贡献。”

2006年5月，《世界著名城市图书馆述略》一书（35万字）由上海科学技术文献出版社出版。至此，课题第一阶段的研究告一段落，为第二阶段“指标体系”的建立奠定了一定的基础。

- 3) the role and function of libraries in respective cities or library systems so as to present the whole picture of library services that are not restricted to those traditional sectors;
- 4) the validity and verification of data or documents that should be accessed directly;
- 5) the contributions from scholars of library science at home and abroad to the essay collection;
- 6) the inclusion of photos that best represent library buildings, services and collections.

The success of the book is owed to the assistance from Library of Congress, Toronto Public Library, National Library Board of Singapore, National Library of China, Capital Library of China, Shanghai Jiao Tong University Library, Shanghai Institute of Architectural Design & Research, and Shanghai Science and Technology Literature Press as well as experts there. Dr. Wu Jianzhong, Director of Shanghai Library, endowed us with generous aid likewise. Dr. Claudia Lux, President of International Federation of Library Association (IFLA) and Ms. Liv Saeteren, Chairman of IFLA Metropolitan Libraries Section wrote respective prefaces for the book.

As Dr. Lux observed, “When the Internet is expanding and increasingly taking over the functions of information and recreation, some people may ask: ‘Do we need library buildings at all?’ This book offers arguments for a positive answer. The detailed descriptions contained in each chapter highlight the fact that we find ever newer and more impressive metropolitan library buildings throughout the world.” “This book leaves the readers with a wonderful impression of library architecture and an understanding of how architecture can support the varied tasks of metropolitan libraries.”

Ms. Saeteren pointed out, “Our field has little professional literature, despite the fact that such literature is vital. Mr. Wang Shiwei’s research project is an important contribution to continued development.”

In May, 2006, *The World-Class Metropolitan Libraries* (350 thousand words in total) was published by Shanghai Scientific and Technological Literature Publishing House. By then, the first phase of the project approached to an end, leaving useful information for the establishment of an index system.

二、“指标体系”的建立及系列研究论文 (2006.6~2007.8)

课题第二阶段进行了一年两个月,考虑到课题设计的创新性和学术分析研究的要求,在原课题组成员的基础上,研究人员增加了陈超、王汉栋、陶翔、周玉红、石宏如、陆宏弟等新成员。

在这一阶段,课题组曾先后进行 10 次专题研讨,网上的讨论难以计数,在收集国内外众多相关研究文献和研究成果的基础上,集思广益,围绕国际大都市图书馆指标体系的研究视野、目的方法、构建原则、内容框架、测试评价、实证研究、层级权重,包括每一指标的界定和描述等问题,进行了广泛、深入、细致和反复的讨论和研究,从而形成了“指标体系”的雏形。这一“指标体系”的初步建立,凝聚了许多专家学者的集体智慧,融入了国内外最新的研究成果,采用了标杆分析法。2007 年 5 月,课题组研究人员集体完成,并在《图书情报工作》杂志刊出“国际大都市图书馆指标体系研究”专栏,发表系列论文 7 篇。作为课题组组长,王世伟撰写的“关于国际大都市图书馆指标体系研究的若干问题”一文,向读者介绍本课题的研究背景、研究目的和研究定位,并归纳了国际大都市图书馆的 10 个共同特征。陶翔、金晓明等撰写的“国际大都市图书馆评估研究”一文,引入了标杆分析法,并将其演绎为价值链比照、关键成分因素比照以及核心竞争力比照三种评估模式,分别适用于不同层级规模的城市图书馆。陈超、王汉栋撰写的“刍议国际大都市图书馆指标体系的构建”一文提出了“指标分析以利发展”,“自我完善和发展”的指标构建思路,提出了用户导向、系统科学、先易后难和动态可变的四项原则框架。核心内容是“指标体系”构成要素分析,并对如何用好“指标体系”及其数据进行了分析论述。冯洁音的“国际大都市指标体系测评对象的分析”一文,从指标体系的资源条件、服务效能、服务成果和影响贡献等四大部分入手,选择一些国内外城市图书馆进行了比较研究。刘炜等撰写的“数字图书馆评估研

Phase Two: The Establishment of Index System and Serial Articles (2006.6~2007.08)

Fourteen months were spent on the second phase of the research. Taking account of the requirement of innovation and academic analysis, new members were enrolled to the team including Mr. Chen Chao, Mr. Wang Handong, Mr. Tao Xiang, Ms. Zhou Yuhong, Ms. Shi Hongru and Mr. Lu Hongdi.

Ten panel discussions were held successively and many more administered via the Internet. Drawing on the abundant documents and researches in the related fields, the research group brainstormed for the scope, methods, targets, rules, components, testing, empirical study, structure and functions of the index system as well as defining and describing each index. When the wisdom was pooled, the latest research fruit utilized and benchmarking analysis performed, the elementary system come into being. In May 2007, the whole group published 7 articles in *Library and Information Service* as a special edition. As the team leader, Mr. Wang Shiwei produces *Some Questions about the Evaluation Index System of International Metropolitan Libraries*, trying to introduce the background, purpose and orientation of the research while summarizing 10 common characteristics of metropolitan libraries. In *A Study of International Metropolitan Library Evaluation* by Tao Xiang and Jin Xiaoming, the method of benchmarking analysis is officially introduced and developed into three evaluation models (i.e., value-chain-based benchmarking, critical-success-factors-based benchmarking and core competence benchmarking) that target at libraries of different levels or scales. *A Discussion on Establishing an International Metropolitan Library Index System* by Chen Chao and Wang Handong puts forward the purpose of the index system (i.e., to facilitate future improvement and development) and the four principles (i.e., user-oriented, systematic, progressive in difficulty and dynamic & flexible). The article focuses on the analysis of indexes and outlines the way to better utilize the evaluation system and related data. Another writing entitled *An Analysis of the Metropolitan Libraries Examined by International Metropolitan Library Index System* composed by Ms. Feng Jieyin goes further for comparative studies of metropolitan libraries in China and other countries in terms of resources, services, effects and influences. Mr. Liu Wei, together with his colleagues, pays attention to digital library and, after taking

究”一文,将传统图书馆的评估指标与数字图书馆评估研究的最新进展相结合,提出了适合国际大都市复合型图书馆进行数字图书馆建设和服务的评估指标体系。作者指出:在城市图书馆建立数字图书馆评估指标体系的过程中,综合性、保存性、研究性和服务性等四性将具有直接的影响。作者构建了包括“数字资源测度”、“服务测度”、“管理测度”、“用户感知”等4个方面构成的数字图书馆专门评价指标体系,还提出了作为大都市图书馆进行数字图书馆建设时需要确定的8个目标。王宗义撰写的“图书馆评价与城市发展环境探析”一文,对中国与欧美国家都市图书馆的城市发展环境进行了比较,发现在城市化进程中,中国的都市有着更多的人为干预色彩,作者认为在当代中国都市图书馆评价中不能简单地照搬欧美现代图书馆的一般标准,而需要深入地研究自身城市发展环境的特点,寻找符合中国国情的都市图书馆评价体系模式。施雯、周玉红等撰写的“伦敦创意店对国际大都市图书馆评估体系的启示”一文,介绍了新近兴起的伦敦创意店,分析了这种集借阅服务、数字化服务、终身教育、社区整合功能于一体的创新服务模式对“指标体系”的启示。

在调研分析了国内外已有的指标体系和评估标准的基础上,全体研究人员从理念创新、体例规范、指标科学、实践可行、文字严谨等角度,对“指标体系”的整体框架设计进行了反复讨论,对所有的三级指标进行了逐字逐句的修改完善。“指标体系”从最初的简单模型框架,发展到后来的详细指标类目,直到最后形成的包含每一指标编号、名称、目的、范围、定义、方法、出处等内容的相对成熟的“指标体系”。在此期间,课题研究人员还结合文献调研和国内外的实地考察,围绕都市图书馆进行了广泛的研究,撰写了10多篇论文,如王世伟的“城市中心图书馆向社区基层延伸的理论思考与实践探索”(载刊于《图书情报工作》2006年第4期),王世伟的“当代全球图书馆事业面临的难题与挑战”(刊载于《中国图书馆学报》2008年第1期),有的论文如“国际大都市图书馆的共同特征

dual account of traditional library evaluative indexes and the latest development of digital library evaluation, proposes a set of indexes that can be used to evaluate digital library construction in hybrid libraries. Four properties are pointed out in their article *Metropolitan Digital Library Services Evaluation: Measures and Approaches* as having an immediate bearing on the system construction. In conclusion, an evaluation system targeting at digital libraries is set up including four main indexes such as digital resources, services, management and users' perception as well as eight objectives for DL construction. In *An Exploration of Library Evaluation and the City Development Environment*, Mr. Wang Zongyi scrutinizes the cities where these metropolitan libraries are located. As discovered, Chinese cities appear more subjects to human influences, which indicates that libraries at home should conduct in-depth research on their surroundings and thus work out their own evaluation models instead of blindly following the general standards of modern libraries in Europe and America. As its title reflects, the last article *The Enlightenment of Idea Stores in London to International Metropolitan Library Index System* by Ms. Zhou Yuhong and Ms. Shi Wen introduces the rise of idea stores in London and investigates this new service model that integrates traditional library services with digital services, lifelong learning and community functions as well as its influence on the index system.

Based on the existing index systems and evaluative standards, the whole group conducted continuous and word-to-word revisions on the whole framework and individual index in regards of innovativeness, standardization, scientism, feasibility and preciseness. As a result, the previous rough framework evolved gradually to the later index list and the final Index System containing serial number of each index, their names, objective, scope, definition, method and source. Meanwhile, the group members published extensive articles focusing on metropolitan libraries after document analysis and field investigations such as *Theoretical Consideration and Practical Exploration into Extended Services of Shanghai Central Library to the Community Libraries* in "Library and Information Service" (No. 4, 2006) and *Problems and Challenges in Global Librarianship* in "Journal of Library Science in China" (No. 1, 2008) by Wang Shiwei as well as other essays contributed to memoirs like *City Library Development* (published by Shanghai Academy of Social Sciences Press in November 2006) or *Public Services of Modern City Libraries* (published by Shanghai

述略”等分别收入《城市图书馆发展论丛》(上海社会科学院出版社 2006 年 11 月)、《现代城市图书馆公共服务论丛》(上海社会科学院出版社 2007 年 10 月)等论文集中。这样,课题第二阶段的研究报告一段落。在课题的第二阶段中,芮琦、楼向英、张春景、施雯等也参与了其中一些论文的撰写。

三、案例的选取及分析研究(2007.9~2008.2)

课题第三阶段进行了半年时间,这是课题进一步试验和完善阶段。课题组首先确定了课题最终成果的三大内容:即指标体系及其说明、系列研究论文、案例分析研究及附录。作为一个面向全球的“指标体系”,在语言文字方面应该体现其国际性,故课题组决定将最终成果以中文和英文两种语言形式同时面世。

在这一阶段,课题分三个方面同时交叉进行,一是在全球范围内选取进行指标试评的案例并进行有关数据的采集和分析研究;二是根据课题的研究进展对“指标体系”作进一步的修改并作补充说明,对选取的案例作综合分析研究,对国内外的公共图书馆绩效评估体系进行综述;三是将课题的最终成果分别译成英文。

在案例的选取中,考虑了案例数量的适度性、典型性、研究的基础性等因素,确定了纽约、巴黎、新加坡、香港和上海 5 个都市图书馆作为案例。对所选取的 5 个案例的数据采集和分析研究提出了统一的要求,一是数据采集的权威性、直接性和回溯性;二是对采集的数据要进行深度分析;三是体例大致统一,用词规范,以描述、特点、趋势、问题作为分析文字表述的逻辑结构;四是统一采用表格形式和随文注解的方法;五是所有资料必须详注出处。

在对案例的综合分析中,从资源条件、服务效能、服务成果、影响贡献等“指标体系”本身的结构向度进行了分析研究;但同时我们认为可以考虑采用主题性的其他向度进行切入,如:都市公共文化资源系统、都市文献信息资源中心、图书馆人力资源建设等。这种多向度的指标分析研究,可以增加“指

Academy of Social Sciences Press in October 2007). Ms. Rui Qi, Ms. Lou Xiangying and Ms. Shi Wen coauthored some of the essays.

Phase Three: Case Selection and Study (2007.09~2008.02)

The 6-month phase witnessed a further scrutiny and improvement. The research group finalized the three objectives, i.e., an index system, serial reports, case study and appendix. As a system that is to be introduced to the whole world, it adopts two languages, Chinese and English.

Three tasks were carried out simultaneously: to select target libraries throughout the globe and complement related data; to revise and enrich the index system accordingly and summarize evaluation systems adopted at home and abroad; and to translate all the final essays into English.

In the end, New York, Paris, Singapore, Hong Kong and Shanghai were chosen as they are believed to be the most representative and the number appropriate to the research. Researchers then moved on to collect data that are authoritative, direct and traceable. After conducting an in-depth study, they recorded the result with proper wording and structure that not only narrates but points out respective features, trends and problems. A standard form was then utilized, annotated by following texts and sources.

During the comprehensive analysis, researchers followed a main train of thoughts, from facilities and resources, service performance to service outcome, impact and contribution, but taking extra account of city cultural resources, information centers and library resources at the same time, with the purpose of allowing for the unison, specialties and flexibility of the system as well as making it multidimensional. Other issues such as the integrity of indexes, accordance of statistical and comparative methods, testing and evaluation of indexes and feasibility were addressed carefully as well. Five factors were emphasized in particular during construction of the index system, namely, on people, social impact, input-output, fractionization of index, and the exemplary role.

In addition, the researchers expounded the objective and significance of the index system, introduced the components within the system, and explicated the process of data collection plus the system application. Most importantly, the logic relation among

标体系”利用的统一性、针对性和灵活性,增强“指标体系”利用的丰厚度和立体感。综合分析中还进一步讨论了指标的完整性、统计和比较方法的一致性、指标测评和采集的可操作性等问题。对于“指标体系”的建设原理,在综合分析中还进一步论述了五个注重,即注重以人为本,注重社会影响,注重投入产出,注重指标细分,注重率先发展。

在对“指标体系”的补充说明中,在第二阶段的基础上,进一步阐述了构建“指标体系”的目的及意义,介绍了“指标体系”的构成要素、数据采集和“指标体系”的应用,特别是论述了“指标体系”四大板块之间的逻辑关系,即资源条件和服务效能是“绩”,服务成果和影响贡献是“效”,服务效能和服务成果是核心和重点,影响贡献是创新。

在课题最终成果的附录中,还增加了“公共图书馆绩效评估体系述评”,以期在尊重知识产权的前提下,向业界和读者提供更多的世界范围内新颖的专业信息和相关资料。

在课题最终成果完成前,由课题组成员中的周德明、刘炜、王宗义对成果进行了审阅修改,由课题组长王世伟进行了终审,并对全稿进行了修改。课题组成员冯洁音和沈丽云负责了英文翻译,冯洁音、李丹尼、陈旭炎、许桂菊、施雯、彭伟、周玉红等分别承担了翻译工作。课题组成员金晓明在协调联络方面做了大量的工作。上海科学技术文献出版社总编辑何剑秋、责任编辑曹文青为课题成果的出版付出了许多心血,在此一并表示深深的谢意。

值此课题最终结题之际,略述课题进行的三个阶段如上,是为序。

王世伟

2008年2月28日

* 全国哲学社会科学规划办公室发布的2008年8月成果鉴定等级公告,《国际大都市图书馆指标体系研究》获优秀成果。

four major parts of the system was commented on; facilities, resources and services are 'input' whereas service outcome and social impact /contribution are the 'output'; while service performance and outcome constitute the core issue, impact and contribution make up the new progress. In the final appendix, *Review of Performance Appraisal System for Public Libraries* is included with the purpose of introducing, under the premise of respecting intellectual property rights, the latest information in the field of library science to readers and professionals alike.

Mr. Zhou Deming, Mr. Liu Wei and Mr. Wang Zongyi undertook checks and revision over the essays while Mr. Wang Shiwei, the group leader gave the final touch. Ms. Feng Jieyin, Ms. Shen Liyun, Ms. Li Danni, Mr. Chen Xuyan, Ms. Xu Guiju, Ms. Shi Wen, Mr. Peng Wei and Ms. Zhou Yuhong assumed the translation tasks and Mr. Jin Xiaoming paid strenuous efforts to coordination. Mr. He Jianqiu, Editor-in-chief of Shanghai Scientific and Technological Literature Publishing House, together with Ms. Cao Wenqing, Executive Editor, devoted themselves painstakingly to the publication of final memoir. To all these industrious colleagues I, on behalf of the whole research team, would like to extend the boundless gratitude.

Wang Shiwei

February 28, 2008

* As acknowledged in an appraisal by National Planning Office of Philosophy and Social Science issued in August 2008, the research project of International Metropolitan Library Evaluation Index System is rated on the top level.

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