



# NETWORK NEURO SCIENCE

an open access  journal



Citation: Betzel, R. F., Fukushima, M., He, Ye, Zuo, Xi-Nian, Sporns, O. (2016) Dynamic fluctuations coincide with periods of high and low modularity in resting-state functional brain networks *Network Neuroscience*, 1

DOI:  
<http://dx.doi.org/10.1162/NETN-00001>

Supporting Information:  
<http://dx.doi.org/10.7910/DVN/PQ6ILM>

Received: 20 October 2016  
Accepted: 7 November 2016  
Published: 26 January 2016

Competing Interests: The authors have declared that no competing interests exist.

Corresponding Author:  
George Chacko  
[netelabs@nete.com](mailto:netelabs@nete.com)

Handling Editor:  
Xi-Nian Zuo

Copyright: © 2019  
Massachusetts Institute of Technology  
Published under a Creative Commons  
Attribution 4.0



The MIT Press

## RESEARCH ARTICLE

# Co-citations in context: disciplinary heterogeneity is relevant

James Bradley<sup>1</sup>, Sitaram Devarakonda<sup>2</sup>, Avon Davey<sup>2</sup>, Dmitriy Korobskiy<sup>2</sup>, Siyu Liu<sup>2</sup>, Tandy Warnow<sup>3</sup> and George Chacko<sup>2</sup>

<sup>1</sup>Raymond A. Mason School of Business, College of William and Mary, Williamsburg, VA, USA

<sup>2</sup>Netelabs, NET ESolutions Corporation, McLean, VA 22102, USA

<sup>3</sup>Department of Computer Science, University of Illinois at Urbana-Champaign, Champaign, IL 61820, USA

**Keywords:** (bibliometrics, co-citation analysis, random graphs )

## ABSTRACT

Citation analysis of the scientific literature has been used to study and define disciplinary boundaries, to trace the dissemination of knowledge, and to estimate impact. Co-citation, the frequency with which pairs of publications are cited, provides insight into how documents relate to each other and across fields. Co-citation analysis has been used to characterize combinations of prior work as conventional or innovative and to derive features of highly cited publications. Given the organization of science into disciplines, a key question is the sensitivity of such analyses to frame of reference. Our study examines this question using semantically-themed citation networks. We observe that trends reported to be true across the scientific literature do not hold for focused citation networks, and we conclude that co-citation analysis requires a contextual perspective.

## INTRODUCTION

Citation and network analysis of scientific literature reveals information on semantic relationships between publications, collaboration between scientists, and the practice of citation itself (de Solla Price, 1965; Garfield, 1955; Newman, 2001; Patience, Patience, Blais, & Bertrand, 2017; Shi, Leskovec, & McFarland, 2010). Co-citation, the frequency with which two documents are cited together in other documents provides additional insights, including the identification of semantically related documents, fields, ideas, and specializations in science (Boyack & Klavans, 2010; Marshakova-Shaikovich, 1973; Small, 1973; Zuckerman, 2018).

(Uzzi, Mukherjee, Stringer, & Jones, 2013) used a novel approach for co-citation analysis of 17.9 million articles stratified by year of publication, and their cited references, from the Web of Science (WoS) to characterize a subset of highly cited articles with respect to both novel and conventional combinations of prior research. In this study, frequencies of cited references in articles published in the Web of Science were calculated and transformed to journal pairs (observed co-citation frequencies). Expected values of these journal pair co-citations were computed from Monte Carlo simulations under a random graph model. Observed frequencies were then normalized (shifted and scaled) to expected values. These normalized journal pair frequencies were termed *z-scores* (Materials and Methods). Thus, every article was associated with multiple *z-scores* corresponding with the journal pairs

represented in its citations. For each article, positional statistics of these z-scores were calculated to describe conventionality: high conventionality (HC) if the median z-score for an article was greater than the median of median z-scores of all articles and low conventionality for the converse (LC). Similarly, an article was deemed to have high novelty (HN) if the tenth percentile of its z-scores was negative and low novelty (LN) for the converse. Accordingly, each article was labeled with respect to conventionality and novelty, e.g., HCHN (denoting that the article exhibits high conventionality and high novelty), with all four combinations being possible. (Uzzi *et al.*, 2013) observed that HCHN articles were twice as likely to be highly cited, suggesting that novel combinations of ideas flavoring a body of conventional thought were a recipe for impact across the scientific literature.

Key to Uzzi *et al.*, however, is their random graph model and its underlying assumptions. A careful examination of their Monte Carlo simulations reveals that random selection of the references used to generate a null model and expected values is equiprobable with respect to disciplinary origin and citation count. For example, the model permits substitution of a reference in quantum physics with equal probability by a reference in the related quantum chemistry field or in some entirely different field, such as classical literature, evolutionary biology, or anthropology. Such substitutions poorly model documented citation behavior (Garfield, 1979; Klavans & Boyack, 2017; Moed, 2010; Wallace, Lariviere, & Gingras, 2012). In addition, under this random model, a reference cited over 100 times in a given year is selected with the same probability as a reference cited only once, which is inconsistent with citation behavior and inconsiderate of the power law or lognormal citation distributions described in the literature (Perline, 2005; Stringer, Sales-Pardo, & Amaral, 2010). Lastly, as we will show, while the citation switching algorithm used in Uzzi *et al.* preserves the number of publications and the number of references in each publication, it is not designed to preserve disciplinary proportions of cited references within subsets of the Web of Science. Accordingly, the expected value calculations generated by the Uzzi *et al.* (2013) simulations and used in characterizing journal pairs in terms of conventionality and novelty can be reasonably questioned on grounds of model mis-specification.

A follow-up study by (Boyack & Klavans, 2014) explored the impact of discipline and journal effects on the definition of conventionality and novelty. While their study had some methodological differences from (Uzzi *et al.*, 2013) in the use of Scopus data and a  $\chi^2$  calculation rather than Monte Carlo simulations to generate expected values of journal pair citations, Boyack and Klavans find the same basic trend that HCHN is more probably in highly cited papers. However, they note that “only 64.4% of 243 WoS subject categories” in the Uzzi *et al.* study met the criterion of having the highest probability of hit papers in the HCHN category. Further, they observed that journals vary widely in terms of size and influence and that 20 journals accounted for nearly 15% of co-citations in their measurements. Lastly, they noted that three multidisciplinary journals accounted for 9.4% of all atypical combinations, suggesting strong effects from both disciplines and journals that were not reported by Uzzi *et al.*

Despite different methods used to generate expected values, both (Uzzi *et al.*, 2013) and (Boyack & Klavans, 2014) measured observed co-citation frequencies across the scientific literature without disciplinary constraints and subsequently used normalized frequencies to examine disciplinary subsets. In extending this prior work, we hypothesized that analysis of datasets focused in disciplinary areas would reduce model mis-specification since the pool of citations would be relevant to those disciplinary areas rather than being drawn from all disciplines. Accordingly, we used keyword searches of the scientific literature to

create three citation networks themed around academic disciplines. Within these disciplinary frameworks, we calculated observed and expected co-citation frequencies using a refined random graph model and an efficient Monte Carlo simulation algorithm. The null model generated by citation shuffling in our study preserves the number of publications, the number of references group by year within each publication and, importantly, the disciplinary proportions of cited references in each dataset. Our analysis (see Results section) demonstrates the model misspecification prior studies and its resolution in our approach.

Our analysis of these semantically-themed citation networks challenges the concept of universal features of the scientific literature that can be described by co-citation patterns. Particularly that articles in the HCHN category have the highest probability of being hits as found in Uzzi et al. (2013). We find, for example, while HC remains highly correlated with hit articles in the immunology and metabolism datasets we constructed, HN is not. In addition, while HN is highly correlated with hit articles in applied physics, HC is not. Furthermore, we found that the categories demonstrating the highest percentage of hits are not robust with respect to varying parameters that define hit articles and the threshold for highly novel citation patterns.

*these remaining sentences require some work* The varying citation patterns when sampling from a disciplinary-focused dataset versus a broader dataset due, was a cause of journal pair z-scores changing signs in 28.6% of instances: the effect of any one of these journal pairs on an article's novelty or conventionality is contradictory between broad and, more narrow disciplinary datasets. We contend that the interpretation due to a disciplinary dataset, which preserved citation patterns, is more appropriate and an improvement on current methods.

## MATERIALS AND METHODS

**Bibliographic data** We have previously developed ERNIE, an open source knowledge platform into which we parse the Web of Science (WoS) Core Collection (Keserci, Davey, Pico, Korobskiy, & Chacko, 2018). WoS data stored in ERNIE spans the period 1900-2019 and consists of over 72 million publications. For this study, we generated an analytical dataset from years 1985 to 2005 from ERNIE. The total number of publications in this dataset was just over 25 million publications (25,134,073). For each of these years, we further restricted analysis to publications of type Article. Since WoS data also contains incomplete references or references that point at other indexes, we also considered only those references for which there were complete records (Table 1). For example, WoS data for year 2005 contained 1,753,174 publications, which after restricting to type Article and considering only those references described above resulted in 916,573 publications, 6,095,594 unique references (set of references), and 17,167,347 total references (multiset of references). Given consistent trends in the data, we analyzed the two boundary years (1985 and 2005) and the mid-point (1995) performing 1,000 simulations for each dataset.

**Disciplinary datasets** We constructed three disciplinary datasets based on keyword searches. (i) immunology (ii) metabolism (iii) applied physics. For the first two, rooted in biomedical research, we searched Pubmed for the term 'immunology' or 'metabolism' in the years 1985, 1995, and 2005 (Table 2). Pubmed IDs (pmids) returned were matched to WoS IDs (wos\_ids) and used to retrieve relevant articles. For the applied physics dataset, we directly searched subject labels in WoS for 'applied physics'. We also examined publications in the five major research areas in the Web of Science; life sciences & biomedicine, physi-

**Table 1.** Summary of WoS Analytical Dataset. UP: unique publications, UR: unique references, TR: total references. The number of publications, unique references, total references and the ratio of total references to unique references increases monotonically with each year indicating that both the number of documents and citation activity increase over time. Data for reference years is flanked by horizontal lines and shown in boldface. Only publications of type Article and references with complete WoS records are included in these counts.

Year	UP	UR	TR	TR/UR
<b>1985</b>	<b>418495</b>	<b>2281297</b>	<b>5615496</b>	<b>2.46</b>
1986	402309	2316451	5708796	2.46
1987	412936	2427347	5998513	2.47
1988	426001	2545647	6354917	2.50
1989	443144	2673092	6749319	2.52
1990	458768	2827517	7209413	2.55
1991	477712	2977784	7729776	2.60
1992	492181	3134109	8188940	2.61
1993	504488	3278102	8676583	2.65
1994	523660	3458072	9255748	2.68
<b>1995</b>	<b>559685</b>	<b>3692575</b>	<b>9897946</b>	<b>2.68</b>
1996	663110	4144581	11641286	2.81
1997	677077	4340733	12135104	2.80
1998	693531	4573584	12728629	2.78
1999	709827	4784024	13280828	2.78
2000	721926	5008842	13810746	2.76
2001	727816	5203078	14261189	2.74
2002	747287	5464045	15001390	2.75
2003	786284	5773756	16024652	2.78
2004	826834	6095594	17167347	2.82
<b>2005</b>	<b>916573</b>	<b>6629595</b>	<b>19066249</b>	<b>2.88</b>

cal sciences, technology, social sciences, arts & humanities using the extended subcategory classification of 153 sub-groups to categorize disciplinary composition of cited references in the datasets we studied.

**Table 2.** Disciplinary Datasets. PubMed and WoS were searched for articles using search terms, ‘immunology’, ‘metabolism’, and ‘applied physics’. Counts of retrieved publications are shown for each of the three years analyzed.

Year	Immunology	Metabolism	Applied Physics
1985	21,606	78,998	10,298
1995	29,320	121,247	21,012
2005	37,296	200,052	35,600

*Normalization of observed and expected values* Building upon prior work Uzzi et al. (2013), all  $\binom{n}{2}$  reference pairs were generated for each publication, where  $n$  is the number of cited references in the publication. These reference pairs were then mapped to the journals they were published in using ISSN numbers to create journal pairs. Where multiple ISSN numbers exist for a journal, the most frequently used one in the WoS was assigned to the journal. In addition, publications containing fewer than two references were discarded. Journal pair

frequencies were summed across the dataset to create observed frequencies ( $F_{obs}$ ). In contrast to the preceding study (Uzzi et al., 2013), we generated 1,000 rather than 10 null models for each dataset by randomly shuffling references while preserving the number of publications, the number of references in each publication, and the frequency with which these references were cited within the year of interest. In contrast to the preceding study (Uzzi et al., 2013), we generated 1,000 rather than 10 null models for each dataset. Expected values ( $F_{exp}$ ) for journal pairs were generated by averaging the result of 1,000 simulations. z-scores were calculated for each journal-pair using the formula  $(F_{obs} - F_{exp})/\sigma$  where  $\sigma$  is the standard deviation of the frequencies generated by simulation. As a result of these calculations, each publication becomes associated with a set of z-scores corresponding to the journal pairs derived from pairwise combinations of its cited references and positional statistics (quantiles) of z-scores were calculated for each publication. Publications were subsequently labeled according to conventionality and novelty: (i) HC if the median z-score exceeded the median of median z-scores for all publications and LC if the median z-score was equal to or less than the median of median z-scores for all publications, and (ii) HN if the tenth percentile of z-scores for a publication was less than zero, and LN if the tenth percentile of z-scores for a publication was greater than zero. (Should we comment here that while we are using the term z-score, reusing it from Uzzi, we do not imply that these are related to a normal distribution?)

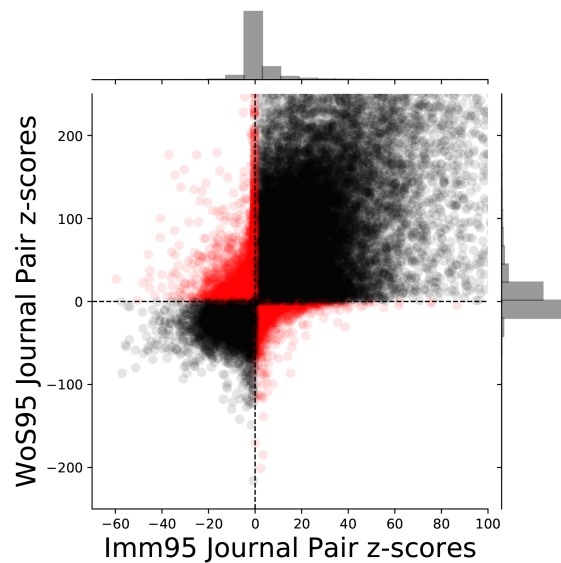
*This comment needs to be worked into the M&M section in an appropriate place, with any other specifics about the experiment parameters* We investigated multiple definitions of hit articles, as did Uzzi et al., with hits defined as the 1%, 2%, 5%, and 10% top-cited articles. Also, mention different thresholds, 1st and 10th, for novelty threshold.

## RESULTS

### *Model Misspecification and the Attributes of Disciplinary Context*

*This paragraph needs work, but I wanted to create a placeholder for the introduction to this subsection* A central theme of this article is the misspecification of the model in Uzzi et al. in terms of its sampling from a broad dataset without consideration of observed citation practices where papers cite a high percentage of papers from within the discipline related to the paper, frequency of citation, and xxx. For example we found (*cite the statistics from Sitaram's study and other references about citation practices.*) We demonstrate the effects of model misspecification and effectiveness of using disciplinary datasets to resolve those issues.

Figure 1 shows that the z-scores for the same journal pair can be positive (negative) when computed with respect to one data set but be negative (positive) for another data set. The journal-pair z-scores in Figure 1 have consistent signs for both Immunology and WoS data sets in 71.4% of the instances and different signs for 28.6% of the journal pairs. When a journal-pair z-score is negative with respect to one dataset and positive with respect to another dataset, articles citing that pair are more likely to be deemed novel in the first instance and less likely to be deemed novel in the second instance. It seems that any journal pair should either be indicative of novelty or not, but it should never have contradictory implications with a changing reference dataset. We view, therefore, these contradictions as symptomatic inappropriately sampling from a broad dataset and ignoring observed citation patterns. Figure 1 reflects that the WoS data set has approximately 44,000 fewer negative z-scores than does the immunology data set, which contributes to its significantly lower percentage of high-novelty articles. *The plots I made of the cumulative z-score distributions for Immunology and WoS also could be used to demonstrate this phenomenon, although the*



**Figure 1.** Journal pair z-scores vary with reference dataset. Scatter plot points (319,005) indicate journal pair z-scores for the 1995 Immunology dataset along the x-axis and the 1995 Web of Science dataset on the y-axis. Black indicates journal pairs whose z-scores have the same sign when computed for both reference datasets while red points indicate the 28.6% of journal pairs whose z-scores change sign across datasets. Regions with deeper hues indicate higher point densities and the histograms show the marginal distributions for each dataset separately.

*scatter plot does this more clearly, and it is more striking. The scatter plot also encodes more data, that is, the matched z-scores for each journal pair.*

Note also in Figure 1 that many z-scores change values significantly between the WoS and Immunology datasets, although the density of points near the origin in Figure 1 is significant where the z-scores may have different signs with respect to the two datasets, although their magnitudes are not significantly different. While no metric is without downside, this observation points to a weakness of measuring novelty based on the sign of the z-score where the implications of a small negative value and a large negative value are the same.

The variation in z-scores with respect to the reference datasets causes the percentages of articles denoted as highly conventional and highly novel to be significantly different, as demonstrated in Figure 2. *Insert text about Figure 2.*

Another possible symptom of model misspecification is that random sampling of citations associated with an article do not match with the observed disciplinary makeup of citation in practice. (Wallace et al., 2012) found that the percentage of citations in articles  
xxxxxxx *More needed here* Here is Sitaram's study:

Adding to the point of papers citing papers belonging to the same discipline, I collected the subject areas for all the cited references from the 1985 Applied Physics dataset and searched for the keyword 'Physics'. Then calculated the percentage of references related to Applied Physics for each paper  $\text{References-related-to-physics} / \text{Total-references}$ . Only papers with at-least 5 references were considered and the total publications were 6991. Re-





**Figure 2.** Fraction of publications with high conventionality (HC) and high novelty (HN) signatures relative to citation count. *What follows is the caption from PNAS submission: is any of this useful?* Effect of Research Discipline, Background Network, and Citation Count on Conventionality and Novelty. Data are shown for the applied physics (18,305), immunology (21,917), metabolism (97,405) and WoS (476,288) networks for 1995. The number of publications in each network is shown in parentheses. Citation counts shown are cumulative over the first 8 years since publication. X-axis: publications were classified into percentile groups based on citation counts (e.g., Top 1 indicates those publications in the top 1%). Y axis: The percent of applications in each group that are high conventionality (HC) and high novelty (HN). The z-scores are computed for each disciplinary network based on the selected background network; thus, *imm* denotes the immunology network with immunology z-scores and *imm\_wos* denotes the immunology network with z-scores from WoS z-scores. The figure shows striking differences between the WOS network compared to the metabolism and immunology networks: across all networks, the percentage of high conventionality (HC) publications increases with citation counts, while the percentage of high novelty (HN) publications decreases with citation counts for the biological networks but not for WOS.

sults show a mean of 0.77 i.e. on an average papers cite 77% of their references belonging to same discipline.

count 6991.000000  
mean 0.774002

We investigated the effect of sampling from disciplinary data sets versus more broadly from the WoS on the disciplinary make-up of the citations in articles under random sampling (*sentence needs work but is an example of a transition.*) *Insert text about Figure , specifically the right-hand side of Figure where the fold statistics demonstrate the effect with Uzzi's approach.*

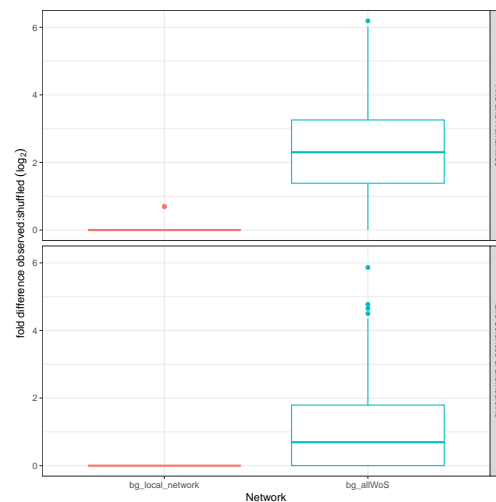
Like Uzzi et al., we also used a Monte Carlo approach to simulate under a random graph model. A principal consideration, however, was to restrict model misspecification arising from disciplinarily irrelevant references. We addressed this consideration by analyzing disciplinary subsets of the scientific literature, thereby restricting random selection of references to only those references in the disciplinary network being studied. *Insert comment about the left-hand side of Figure where the disciplinary dataset has resolved the fold issue.* We also predicted that model misspecification as measured by the Kullback-Leibler (K-L) Divergence (Kullback & Leibler, 1951) between observed and simulated frequencies in a disciplinary network would be less than the divergence for observed and simulated frequencies in the WoS superset. The results in Table ?? indicate that for the set of journals common to both a disciplinary network and the WoS superset, simulations under our model consistently have a lower K-L divergence compared to simulations that draw from the WoS superset (and its attendant substitutions that are ectopic with respect to field and discipline).

#### *Novelty and Conventionality as Determinants of Impact in Disciplinary Contexts*

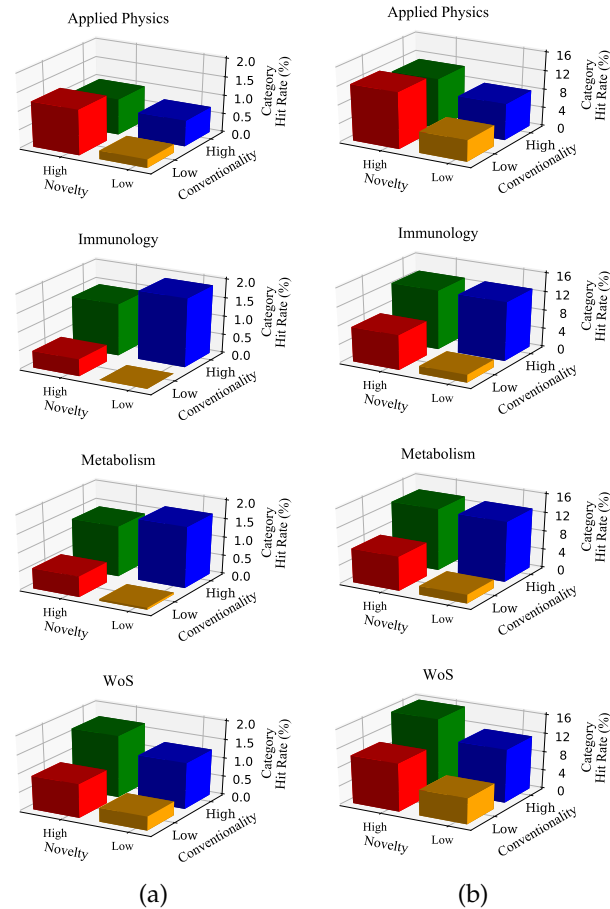
Figure 4, Panels (a) and (b), compares hit rates for the four categories among the Immunology, Applied Physics, and WoS datasets for 1995: the hit rate is defined as the number of hit articles in each category divided by the number of articles in the category. We evaluated the statistical significance of the categorical hit rates using multiple methods, some of which we describe here. Our first test was based on the null hypotheses that hits were distributed randomly among the four categories with uniform probability in proportion to the number of articles in each category. Using a Chi-Square Goodness of Fit test, rejecting the null hypothesis in favor of the alternate hypothesis supports a non-uniform dispersion of hits: that is, some of the four categories are individually associated with higher than expected, or lower than expected hit rates. The null hypothesis was rejected at a  $p < 0.001$  in all cases in Figure 4, with the exception of the immunology and applied datasets where hit articles are designated as the top 1% of articles: valid tests were not possible in those instances due to too few expected hits. The null hypothesis was rejected with  $p < 0.001$  for all valid tests for all parameter settings, all datasets, and all years: hypotheses tests were valid in 73 of 96 instances. We conclude that it is likely that the distribution of hits among categories is not uniform but, rather, hit rates vary among the categories in all datasets. (Should we insert a table with all statistical results?)

We computed hit rates for the WoS dataset, which mirrored Uzzi et al.'s results whereby the largest hit rates were for the HNHC category, despite our methodological improvement of sampling citations in proportion to their frequency. We found contrary results in the 1995 immunology dataset where articles in the LNHC category often had the greatest hit rates, as reflected in Table 4 and Figure 4. Across all year's data, all datasets, and all parameter





**Figure 3.** Intra-network citation shuffling preserves disciplinary composition. Publications of type Article belonging to the WoS research areas (i) Arts and Humanities (ii) Life Sciences and Biomedicine were subject to a single shuffle of all their cited references using either the cited references in these networks as a source of random substitutions (bg\_local) or references from all articles in WoS (bg\_allWoS). The disciplinary composition of cited reference before and after shuffling was measured for each of 151 sub-groups (from the extended subject classification in WoS) in these two research areas, expressed as fold difference between citation counts grouped by subject for original (o) and shuffled (s) references using the formula ( $\text{fold\_difference} = \text{ifelse}(o > s, o/s, s/o)$ ) and rounded to the nearest integer. A fold difference of 1 indicates that citation shuffling did not alter disciplinary composition. Data are shown for articles published in 1985. All four boxplots are generated from 151 observations. Min & Max values for fold differences were as follows. (i) Arts & Humanities. bg\_local (1,2), bg\_allWoS (1, 488) (ii) Life Sciences & Biomedicine. bg\_local (1,1), bg\_allWoS (1, 352) Note y-axis:  $\log_2$  scale.



**Figure 4.** Effect of Context on Journal-Pair z-scores and Categorical Hit Rates: Immunology, Applied Physics, and WoS for 1995. Panels (a) and (b) show hit rates for the LNLC, LNHC, HNLC, and HNHC categories for the immunology, applied physics, and WoS datasets when hit articles are defined as the top 1% and top 10% of articles, respectively. Novelty in both panels is defined at the 10th percentile of articles' z-score distributions. The number of data points in the immunology, applied physics, and WoS data sets are 21,917, 18,305, and 476,288, respectively. The results for the WoS data set mirrored previous results from Uzzi et al. (Uzzi et al. (2013)) where the highest hit rate was for the HNHC category. The highest hit rates for the immunology dataset, in contrast, are in the LNHC category. The LNHC category often had the highest hit rate for the immunology dataset for various parameter settings with the HCHN category having the highest hit rate in other cases: metabolism results are similar. The applied physics dataset shows further contrast as the hit rate for it was highest in the HNLC category. The HNLC category demonstrated the highest hit rate often for applied physics: otherwise the highest hit rate was for HNHC articles.

**Table 3.** Measuring Model Misspecification. For the set of journal pairs in common between a disciplinary network and the full WoS dataset, Kullback-Leibler (K-L) divergences between empirical and simulated journal pair frequencies were computed for the years 1985, 1995, and 2005 for the three disciplinary datasets (applied\_physics, immunology, and metabolism) using either the disciplinary network as background or the WoS superset (all\_wos) to generate the null model (Background). K-L divergence was calculated using the R seewave package with a base (logarithm) of 2. The ratio between the K-L divergence for disciplinary networks versus the full WoS ranges from 1.96 to 2.77 and is greater than 2.0 for eight out of nine cases, strongly suggesting that simulations that constrain substitutions to the given disciplinary network better model the observed data.

	Disciplinary Network	Year	Background	K-L Divergence	Ratio
1	appl_physics	1985	appl_physics	1.21	
2		1985	all_wos	2.37	1.96
3		1995	appl_physics	0.86	
4		1995	all_wos	2.37	2.77
5		2005	appl_physics	0.95	
6		2005	all_wos	2.35	2.47
7	immunology	1985	immunology	0.75	
8		1985	all_wos	1.68	2.24
9		1995	immunology	0.78	
10		1995	all_wos	1.70	2.19
11		2005	immunology	0.73	
12		2005	all_wos	1.92	2.63
13	metabolism	1985	metabolism	1.11	
14		1985	all_wos	2.24	2.02
15		1995	metabolism	1.07	
16		1995	all_wos	2.33	2.17
17		2005	metabolism	1.19	
18		2005	all_wos	2.60	2.18

settings, the highest hit rates in the immunology datasets were sometimes in the LNHC category and sometimes in the HNHC category. The metabolism hit rates reflected this same pattern. The greatest hit rates for the applied physics data were often in the HNLC category as reflected in Table 4 and Figure 4, and otherwise in the HNHC category. We conclude that Uzzi et al.'s finding of high hit rates in the HNHC category does not hold generally for disciplinary-based datasets and that novel citation patterns are not always indicative of impactful research, as was the case with immunology. Furthermore, the categories displaying the greatest hit rate vary with parameter settings and with the year. The lack of stable results across parameter settings suggests that parameters must be selected judiciously.

We also tested the explanatory power of each framework dimension by classifying articles as Low Novelty (LN) or High Novelty (HN) and, separately, as having Low Conventionality (LC) or High Conventionality (HC). We tested the null hypothesis that hits are distributed between LN and HN (LC and HC) in proportion to the total number of articles assigned to those categories. That null hypothesis was rejected for the WoS data along both dimensions. Consistent with previous analysis, hit articles were overrepresented in the HC category in every instance of WoS data at a  $p < 0.001$  and hit articles were overrepresented in the HN category at a  $p < 0.001$  in all but two cases. The p-values, in those cases, were 0.002 and 0.007. Hits in the immunology and metabolism data were overrepresented

**Table 4.** Hit Rates by Category. The last four columns indicate the proportion of publications that are hits for each respective category.

Data Set	Hits as % of Articles	Novelty Percentile	LNLC	LNHC	HNLC	HNHC
Imm95	1%	10%	0.000	0.019	0.005	0.014
Imm95	10%	10%	0.017	0.128	0.076	0.129
Metab95	1%	10%	0.001	0.017	0.006	0.014
Metab95	10%	10%	0.019	0.130	0.074	0.133
AP95	1%	10%	0.002	0.007	0.012	0.010
AP95	10%	10%	0.047	0.079	0.123	0.109
WoS95	1%	10%	0.004	0.013	0.009	0.017
WoS95	10%	10%	0.056	0.115	0.104	0.156

in the HC category with the same statistical significance as for WoS. The relationship of novelty with hits in the immunology and metabolism data differed dramatically from the WoS, however, with statistically significant findings of hit articles being sometimes over-represented in the LN category, and sometimes being underrepresented. Of the 12 tests for applied physics, the statistical significance supporting a positive relationship between hit articles and HN were all  $p < 0.10$ , and 10 of 12 were  $p < 0.05$ . These tests also indicated strong support for the relationship between LN and hit articles in applied physics in a limited number of tests, with  $p < 0.10$  in 5 of 12 instances and  $p < 0.05$  in 3 of 12 instances. These results suggest that (1) both conventionality and novelty are strongly related to hits in the WoS, (2) the conventionality dimension is strongly related with hits in immunology and metabolism and novelty is not, (3) novelty is more strongly related with hits in applied physics than is conventionality. More generally, we find that the dimensions most strongly related with hit articles vary across disciplines and between disciplinary and broad data sets.

## DISCUSSION

We conclude that Uzzi et al.'s finding of high hit rates in the HNHC category does not hold generally for all datasets and that novel citation patterns are not always indicative of impactful research.

The z-scores that change sign across datasets is either contradictory or an acceptable variation due to the difference in reference sets. We contend that it is the former because the inappropriate substitution of citations with those from disciplines that are implausible and because the observed citation frequencies are ignored. That fewer z-scores are negative in the WoS dataset relative to the immunology dataset may be directly due to the uniform sampling of references whereby many resulting journal pairs are never observed in the literature and so that the expected frequencies of those observed pairs have lower expected values, thus biasing their z-scores upward. In addition, treating citation as a set versus a multiset means that a random model will sample popular citations downward, thus further increasing their z-scores.

Contrary to Uzzi et al. we found the category displaying the highest hit rate to be sensitive to the experimental parameter settings, which included the percentage of articles deemed to be hits and the percentile of articles' z-score distributions that delineated be-

tween articles of low novelty and high novelty. Thus, with this lack of robustness, studies are faced with the necessity of defining which parameters are the best parameters to classify articles.

George's point from Slack conversation: "A concern that surfaced on the drive are the definitions of conventionality and novelty. On the one hand we use them- on the other hand you've also pointed out that it isn't that simple."

## **ACKNOWLEDGMENTS**

We are grateful to Kevin Boyack and Dick Klavans for constructively critical discussions. We thank the authors of Uzzi et al. (2013) for sharing their Python simulation code. Research and development reported in this publication was partially supported by Federal funds from the National Institute on Drug Abuse, National Institutes of Health, US Department of Health and Human Services, under Contract Nos. HHSN271201700053C (N43DA-17-1216) and HHSN271201800040C (N44DA-18-1216). The content of this publication is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health. TW receives funding from the Grainger Foundation. All the code used in this study is freely available from a Github site. Access to the bibliographic data analyzed in this study requires a license from Clarivate Analytics, which had no role in funding, experimental design, review of results, and conclusions presented.

## **AUTHOR CONTRIBUTIONS**

This study was designed by GC, JB, SD, and TW. Simulations and analysis were performed by AD, GC, JB, and SD. Infrastructure and workflows used to generate data used in this study were developed by AD, DK, SL, SD, and GC. All authors reviewed and commented on the manuscript, which was written by GC, JB, and TW.

# REFERENCES

- Boyack, K., & Klavans, R. (2010). Co-citation analysis, bibliographic coupling, and direct citation: Which citation approach represents the research front most accurately? *Journal of the American Society for Information Science and Technology*, 61(12), 2389–2404. Retrieved 2019-01-05, from <https://onlinelibrary.wiley.com/doi/abs/10.1002/asi.21419> doi: 10.1002/asi.21419
- Boyack, K., & Klavans, R. (2014). Atypical combinations are confounded by disciplinary effects. In *International conference on science and technology indicators* (pp. 49–58). Leiden, Netherlands: CWTS-Leiden University.
- de Solla Price, D. J. (1965). Networks of Scientific Papers. *Science*, 149(3683), 510–515. Retrieved 2019-02-03, from <http://www.sciencemag.org/cgi/doi/10.1126/science.149.3683.510> doi: 10.1126/science.149.3683.510
- Garfield, E. (1955). Citation Indexes for Science: A New Dimension in Documentation through Association of Ideas. *Science*, 122(3159), 108–111. Retrieved 2019-05-16, from <https://science.sciencemag.org/content/122/3159/108> doi: 10.1126/science.122.3159.108
- Garfield, E. (1979). *Citation Indexing-Its Theory and Application in Science, Technology, and Humanities* (1st ed.). The address: John Wiley and Sons, ISI Press. (An optional note)
- Keserci, S., Davey, A., Pico, A. R., Korobskiy, D., & Chacko, G. (2018). ERNIE: A data platform for research assessment. *bioRxiv*. (<https://www.biorxiv.org/content/early/2018/07/19/371955>) doi: 10.1101/371955
- Klavans, R., & Boyack, K. W. (2017). Research portfolio analysis and topic prominence. *Journal of Informetrics*, 11(4), 1158–1174. Retrieved 2019-05-16, from <http://www.sciencedirect.com/science/article/pii/S1751157717302110> doi: 10.1016/j.joi.2017.10.002
- Kullback, S., & Leibler, R. A. (1951). On Information and Sufficiency. *The Annals of Mathematical Statistics*, 22(1), 79–86. Retrieved 2019-05-22, from <https://projecteuclid.org/euclid.aoms/1177729694> doi: 10.1214/aoms/1177729694
- Marshakova-Shaikovich, I. (1973). System of document connections based on references. *Nauch-Tekhn.Inform, Ser.2*, 6(4), 3–8. Retrieved 2019-02-03, from <http://doi.wiley.com/10.1002/asi.4630240406> doi: 10.1002/asi.4630240406
- Moed, H. F. (2010). Measuring contextual citation impact of scientific journals. *Journal of informetrics*, 4(3), 265–277.
- Newman, M. E. J. (2001). The structure of scientific collaboration networks. *Proceedings of the National Academy of Sciences*, 98(2), 404–409. Retrieved 2019-03-22, from <https://www.pnas.org/content/98/2/404> doi: 10.1073/pnas.98.2.404
- Patience, G. S., Patience, C. A., Blais, B., & Bertrand, F. (2017). Citation analysis of scientific categories. *Heliyon*, 3(5), e00300.
- Perline, R. (2005). Strong, Weak and False Inverse Power Laws. *Statistical Science*, 20(1), 68–88. Retrieved 2019-05-22, from <https://www.jstor.org/stable/20061161>
- Shi, X., Leskovec, J., & McFarland, D. A. (2010). Citing for high impact. In *Proceedings of the 10th annual joint conference on digital libraries* (pp. 49–58). New York, NY, USA: ACM. Retrieved from <http://doi.acm.org/10.1145/1816123.1816131> doi: 10.1145/1816123.1816131
- Small, H. (1973). Co-citation in the scientific literature: A new measure of the relationship between two documents. *Journal of the American Society for Information Science*, 24(4), 265–269. Retrieved 2019-02-03, from <http://doi.wiley.com/10.1002/asi.4630240406> doi: 10.1002/asi.4630240406
- Stringer, M. J., Sales-Pardo, M., & Amaral, L. A. N. (2010). Statistical validation of a global model for the distribution of the ultimate number of citations accrued by papers published in a scientific journal. *Journal of the American Society for Information Science and Technology*, 61(7), 1377–1385. Retrieved 2019-05-22, from <https://www.ncbi.nlm.nih.gov/pmc/articles/PMC3158611/> doi: 10.1002/asi.21335
- Uzzi, B., Mukherjee, S., Stringer, M., & Jones, B. (2013). Atypical combinations and scientific impact. *Science (New York, N.Y.)*, 342(6157), 468–472. doi: 10.1126/science.1240474
- Wallace, M. L., Lariviere, V., & Gingras, Y. (2012). A Small World of Citations? The Influence of Collaboration Networks on Citation Practices. *PLOS One*, 7, e33339. Retrieved 2019-05-16, from <https://journals.plos.org/plosone/article?id=10.1371/journal.pone.0033339> doi: 10.1371/journal.pone.0033339
- Zuckerman, H. (2018). The sociology of science and the garfield effect: Happy accidents, unanticipated developments and unexploited potentials. *Frontiers in Research Metrics and Analytics*, 3, 20. Retrieved from <https://www.frontiersin.org/article/10.3389/frma.2018.00020> doi: 10.3389/frma.2018.00020