Author and Keyword Bursts as Indicators for the Identification of Emerging or Dying Research Trends

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ABSTRACT

Context: Identifying emerging research fronts is critical as it aids policy makers or funding agencies on their decisions in research policies. It is also a useful tool for guiding young researchers’ research direction. Studies have successfully used techniques such as co-citation and co-word analysis of data retrieved from ISI databases to investigate emerging or dying research trends. Aim: With the advent of publicly available preprint databases such as BioRxiv, it becomes necessary to investigate if the state of the art techniques used to identify emerging research areas can be transferred to a dataset extracted from these public archives. Methods and Materials: A cluster analysis of keyword burst and author burst from data extracted from BioRxiv is used to investigate the suitability of BioRxiv dataset for the investigation of emerging or dying research trends. Results: The results showed that although the data retrieved from BioRxiv may not yet be mature enough for reliable analyses, the increased awareness shown in the exponential growth in preprint submissions suggests that this data source will be a valuable resource and the techniques described in this research can be used to discover interesting trends from preprint databases on emerging or dying research fronts.

Keywords: BioRxiv, Emerging research, Clustering, Keyword extraction, Mixed indicators model.

INTRODUCTION

Identifying emerging research areas is necessary for new researchers or PhD students when choosing topics for research projects. Funding bodies whose main objective is supporting new and promising research trends also need to effectively identify emerging and/or dying research areas in order to aid their research policies.

A number of studies have investigated techniques to identify these emerging or dying research areas. Guo, Weingart and Börner introduced the mixed indicators model which suggests that emerging areas attract new authors and are interdisciplinary. Guo, Weingart and Börner used publications from the Scientometrics Journal in their study, while other researchers have used data retrieved from SCOPUS or Web of Knowledge. Even though data from these sources are arguably the most reliable, it is still necessary to investigate if other sources such as BioRxiv can be suitable alternatives for researchers who may not have access to data from Web of Science or SCOPUS.

As data from BioRxiv is publicly available through Rxivist, applications that aid new researchers or PhD students in finding promising/upcoming research trends can be developed using this data with the mixed indicators model. Thus this study uses these indicators for an exploratory study on Biological Sciences research to determine if:

1. Mixed model indicators can effectively identify emerging research topics from publication data extracted from BioRxiv.
2. Publication data from BioRxiv are suitable for bibliometric analyses.

Subsequent sections give an overview on emerging research, describe the BioRxiv dataset and report on the use of clustering techniques to identify emerging research trends with the mixed indicators model.

BACKGROUND

Rotolo, Hiks and Martin listed core features of an emerging research front as fast growing, novel, coherent and providing beneficial impact and these attributes could be measured through co-word and citation analysis. There is however a consensus that novelty and growth are the main features of
an emerging technology, with reduced growth arguably suggesting dying research topics.

To investigate knowledge evolution in scientific disciplines, a top percentage of highly cited articles within a time interval are analysed. Small used the top 1 percent highly cited papers in his analysis, but this percentage could be adjusting for varying results.

Quantitative investigation of knowledge evolution by bibliometric techniques are sometimes backed up by qualitative analysis based on interviews of experts in a discipline, using experts to select keywords used in co-word analysis or using experts to identify promising research fronts.

Even though the majority of researches have used techniques such as bibliometric coupling and co-citation, Small demonstrated that text mining approaches can be used for these analyses. The study queried a database and manually inspected the resulting textual results for possible trends.

Data sources such as Web of Knowledge that are suitable for the investigation in emerging or dying scientific trends are not readily available for public use, as such it becomes necessary to investigate other reliable data sources. BioRxiv, introduced in 2013 is a preprint database that holds preprints in the life sciences scientific discipline. Researchers usually publish preprints on BioRxiv before they are submitted as manuscripts to journals for peer review and life sciences researchers are increasingly embracing the use of preprint servers such as BioRxiv. Thus it is a good source for early detection of emerging topics because it removes the time taken for peer review, publication and ISI indexing processes. Also, it has been shown that up to two thirds of preprints submitted to BioRxiv are subsequently published in peer reviewed journals and there is a correlation between the quality of journal the preprint is later published in and the number of preprint downloads. However, as this data source is relatively new, it is necessary to investigate its suitability for bibliometric studies. Thus, this research investigates ways to extract the mixed indicator metrics for data collected from BioRxiv to determine the extent to which this data is suitable of identifying emerging research trends.

**METHODS**

**Data**

Rxivist indexes all submissions to BioRxiv, includes additional altmetrics and makes this data publicly available for download in a structured format, thus it is possible for researchers without access to ISI databases to carry out experiments on emerging research fronts. Complete data from Rxivist was downloaded and then metadata fields; preprint title, preprint abstract and preprint year were extracted and used for the analyses in this study.

**Mixed Indicators**

This research is inspired from the mixed indicator model approach however as the Rxivist dataset does not include reference information, the indicators used in the mixed model approach are adapted to:

1. Keyword bursts: Percentage increase in the number of keyword mentions across years.
2. New authors: Increase in authors who use keywords.
3. Interdisciplinarity: Guo, Weingart and Börner have shown that emerging research fronts usually contain references from multiple disciplines, as this study is based on keyword analysis, the extent to which a paper is interdisciplinary is measured by the number of keywords that co-occur with a particular keyword in preprints.

Keywords are integral for the mixed indicators above but the Rxivist dataset does not include keyword information, thus it is necessary to efficiently extract life science keywords from the title and abstracts of bioRxiv preprints.

**Keyword Extraction**

Rapid Automatic Keyword Extraction (RAKE) is a keyword extraction algorithm that identifies keywords by extracting sequence of words that are delimited by predefined stop words in a text document. The candidate keywords are then scored based on:

- **Frequency**: The number of times the candidate keyword appeared in the text document.
- **Degree**: The number of words the candidate key word is made of.
- **Degree frequency ratio**: The ratio of degree to frequency.

This study uses the degree frequency ratio to extract keywords whose score is greater than one, favouring words with high degree and also excluding candidate keywords that appear only once. The RAKE algorithm does not take the Part of Speech (POS) tag into account when extracting keywords, thus adjectives and verbs which are not likely to be keywords in journal publications may be part of the key phrases. To limit this, the RAKE extracted key phrases which are not part of the noun phrases identified by regular expression matching of POS tags are excluded. An example is shown in Figure 1.

The extracted RAKE keywords in Figure 1 highlights its limitation where phrases like “extensively applied” and “usually genes” appeared as candidate keywords. This can be avoided by introducing a set of stop words that will...
Kenekayoro: Author and Keyword Bursts as Indicators for the Identification of Emerging or Dying Research Trends

Clustering

Supervised and unsupervised machine learning are techniques used in data analysis. Supervised learning, regarded as classification attempts to assign instances into predefined labels while unsupervised learning, also regarded as clustering enables the grouping of identical instances in a dataset without any predefined label whilst ensuring that instances grouped together are more similar that instances in different groups. Clustering is sometimes considered to be more difficult than classification.\(^\text{[12]}\)

Clustering techniques are broadly divided into partitioned or hierarchical algorithms. Hierarchical clustering algorithms such as Chameleon\(^\text{[13]}\) and the Balanced Iterative Reducing and Clustering using Hierarchies (BIRCH)\(^\text{[14]}\) and others work by merging or splitting clusters to form a new set of clusters for the subsequent iteration. Hierarchical clustering algorithms that form new clusters by merging are known as agglomerative clustering algorithms while those that form new clusters by splitting are known as divisive. In agglomerative clustering, each instance in the dataset start as singleton clusters and then clusters in iteratively merged until a stopping condition is met. Divisive hierarchical clustering algorithms start as one cluster and then the clusters are iteratively split until a stopping condition is met.

Partitional clustering algorithms such as K Means\(^\text{[15,16]}\) and CLARANS (Clustering Large Applications based on Randomized Search)\(^\text{[17]}\) assign an instance to a predefined cluster which usually the cluster that is the most similar to that instance, where similarity is measured by criterion such as Euclidean distance.\(^\text{[12]}\) These clustering algorithms have been used in exploratory web metrics research\(^\text{[19]}\) and some of these clustering algorithms are implemented in the scikit-learn\(^\text{[19]}\) machine learning python package.

Clustering is useful for exploratory analyses in order to identify trends that may exist in data. A cluster analysis of the mixed indicator dataset in this study may show emerging or dying research trends for the respective topics.

KMeans

The KMeans clustering algorithm is arguably one of the best-known\(^\text{[20]}\) and its simplicity makes it widely used. Given a dataset to be grouped into K clusters, the KMeans algorithm identifies clusters by:

1. **Initialization:** Initial centroids for the K clusters are identified. The centroids can be determine by randomly choosing n instances in the dataset as centroids (Forgy), or assigning instances to a random cluster and then computing the centroids as the average of instances in each cluster (Random Partition).\(^\text{[21]}\)

2. **Assignment:** Instances are iteratively introduced to be assigned to a cluster. An instance is assigned to the cluster with the least squared distance (Euclidean distance) is a common metric that is used to compare instances with cluster centroids.

3. **Update:** After an instance is assigned to a new cluster, the centroid of that cluster is updated as the average of all instances belonging to that cluster.

Variations to the KMeans exist\(^\text{[22–25]}\) however, the majority are based on the initialization, assignment and update phases.

Affinity propagation

An important requirement for the KMeans algorithm is determining the initial number of clusters and their centroids as these initial k clusters and their centroids greatly influence the resulting clusters identified by the KMeans algorithm.\(^\text{[22]}\) The affinity propagation clustering algorithm\(^\text{[26]}\) do no need a predefined number of clusters so this algorithm may be used to determine the number of clusters for the KMeans algorithm or can be used as a standalone clustering algorithm for exploratory analyses of a dataset.

In the Affinity Propagation clustering algorithm, all instances are possible cluster centroids (exemplars); and the similarity S(i, j) in matrix S shows the extent to which an instance S is a suitable centroid for instance S, S\(_j\) which is the likelihood that
an instance is a suitable centroid for itself is used to control the number of clusters. For exploratory analyses where nothing is known about the dataset, these initial values \( S_i \) could be set to a common value; the median of instance similarities.\(^{[28]}\)

Two matrices, availability and responsibility are used to determine the final cluster centroids. The availability matrix is initialized to zero while the responsibility matrix is initialized to the similarity matrix \( S \). These availability and responsibility matrices are updated in every iteration of the affinity propagation algorithm as described in previous research.\(^{[26]}\) The responsibility information \( r(i, k) \) denotes the extent to which an instance \( k \) should be a cluster centroid for instance \( i \) compared to other possible cluster centroids, while the availability information \( a(i, k) \) denotes the suitability of instance \( k \) to be a cluster centroid of instance \( i \), given the other instances instance \( k \) is a cluster centroid for. The final cluster centroid are those instances with positive availability and responsibility values.

The affinity propagation clustering algorithm is faster and more accurate than other clustering algorithms such as the KMeans.\(^{[26]}\)

**RESULTS AND DISCUSSION**

Result of clustering algorithms may group topics into clusters, to determine the quality of the clustering solution, intra and inter cluster similarity is used. Ideally, the inter cluster similarity should be high while intra cluster similarity should be low. This evaluation metric has been previously used in researches.\(^{[15]}\) Table 2 shows the quality of the clustering solutions identified with the KMeans and Affinity Propagation algorithms. As the affinity propagation algorithm dynamically identifies the number of clusters, the number of clusters identified by the affinity propagation algorithm is used as input for the KMeans algorithm.

Silhouette,\(^{[28]}\) Davies Bouldin\(^{[20]}\) and Carlinski-Harabasz\(^{[30]}\) (metrics) are used to determine how well the clustering algorithms grouped keywords based on their mixed indicators. This silhouette score is determined by the average distance between an instance and other instances in its assigned cluster (within cluster similarity) minus the average distance between an instance and other instances in the cluster most similar to its assigned cluster (neighbouring cluster similarity) divided by the maximum between the within cluster similarity and neighbouring cluster similarity.\(^{[28]}\) The final score bounded between -1 and 1 is then the average silhouette score for each instance in a dataset. Lower silhouette scores indicate worse clustering solutions, which reflects the extent to which an instance in a clustering solution is assigned to its most appropriate cluster.

The Carlinski-Harabasz (CH) score also regarded as the variance ratio criterion\(^{[30]}\) is determined by the ratio of the sum of differences between instances and their corresponding cluster centroids (Within Cluster Similarity) to the variance between cluster centroids and the centre of the dataset (average of all instances). The Within Cluster Similarity (WCS) increases as the number of clusters increases, while the Between Cluster Similarity (BCS) reduces as the number of clusters increases. High WCS suggests compact clustering solutions where instances are close to their cluster centroids.

<table>
<thead>
<tr>
<th>Keyphrase</th>
<th>Author Burst</th>
<th>Interdisciplinarity</th>
<th>Keyword Burst</th>
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<tbody>
<tr>
<td>Genome</td>
<td>1.71</td>
<td>4</td>
<td>-0.65</td>
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<tr>
<td>Evolution</td>
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</table>

<table>
<thead>
<tr>
<th>Silhouette Score</th>
<th>Davies-Bouldin Score</th>
<th>Carlinski-Harabasz Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>KMeans</td>
<td>0.254</td>
<td>0.791</td>
</tr>
<tr>
<td>AP</td>
<td>0.241</td>
<td>0.786</td>
</tr>
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and high BCS increased dispersion between cluster centroids. Thus, a higher CH score is a better clustering solution as it indicates that clusters in the clustering solution are compact and the centroids are dissimilar.

The Davies-Bouldin (DB) score evaluates the quality of a clustering solution as the ratio of the average within cluster distances to the average distances between the cluster centroids in clustering solution, where the distance is measured by a metric such as the Euclidean distance. As a good clustering solution should have low within cluster distances and high between cluster distances, lower Davies-Bouldin scores suggests better a clustering solution.

The initial similarity matrix in the Affinity Propagation clustering algorithm controls the number of clusters that will be identified. In tests, larger values of the initial similarity resulted in a singleton clustering solution, where clusters comprised of only one instance and as a consequence, better silhouette scores. However this may not be regarded as a good clustering solution as instances are not grouped. When the values of the initial similarity matrix increases, the number of clusters (groups) identified by the Affinity Propagation Algorithm also increases. As shown in Figure 2, an appropriate initial similarity value for the dataset in this study is in the neighbourhood of -300, where the quality of the clustering solution as determined by the silhouette evaluation metric is comparable to a clustering solution of singleton clusters. Thus the results reported in Table 2 is the quality when the similarities are initialized to -300 for the Affinity Propagation Algorithm and k = 46 (the number of clusters for the Affinity Propagation Algorithm when the similarity is initialized to -300) for the KMeans algorithm.

The visualization of the keyword burst vs. author burst between 2017 and 2018 in Figure 3 showed some visible separation of groups that formed unique clusters with the KMeans clustering algorithm. The analysis is limited to submissions between 2017 and 2018 because the number of bioRxiv submissions in earlier years are too few for meaningful analyses.

As there are three indicators; keyword burst, author burst and interdisciplinary, a Principal Component Analysis (PCA) was performed to enable plotting a 2D graph. Figure 3 is a plot of the first and second PCA components.

On investigation of emerging or dying research fronts, outliers play an important role in forming distinct cluster areas. The top area of the graph in Figure 3 contained keywords with negative change in author and keyword bursts between 2017 and 2018 (reduced interest), the bottom area contained keywords with positive change in author and keyword bursts between 2017 and 2018 (increased interest), while the right of the graph showed keywords with increased interdisciplinarity.

Keywords that appeared in the interdisciplinary cluster area were generic key phrases such as “Study, method, analysis, model and disease.”, thus, this may simply be a consequence of the increased number of publications between 2017 and 2018. It may also be necessary to identify a more appropriate approach to keyword extraction compared to RAKE that is used in this research which will exclude
these generic terms. However, researches such as this study will benefit from bioRxiv including keywords as part of its metadata.

Increased keyword and author bursts cluster area contained keywords such as “breast, prostate cancer, ovarian cancer” suggesting increased interest in cancer studies.

The reduced interest cluster area contained keywords such as "Brazil, European ancestry, cardiovascular disease". On inspection of the abstracts, the only identified pattern was the relationship between Zika virus and Brazil in 2017. Interestingly, even though “zika” virus appeared in subsequent years, it did not co-occur with “brazil”, hence the reduced number of publications with “brazil” as a keyword.

The number of preprints submitted to BioRxiv increase significantly every year with the number of submissions in 2018 more than the submissions from 2013 to 2017. This may not necessarily suggest increase in research activities in the life sciences discipline but highlights the increased awareness of the database among life science researchers. The chart in Figure 4 suggests that the Rxivist database is arguably not yet mature enough for reliable data analyses, so the results from this study should be taken with caution. However, following the increased submission trends, Rxivist database along with the methods described in this research will be valuable in identifying interesting trends for emerging and/or dying research fronts in the life sciences discipline.

CONCLUSION

It is the consensus that investigating emergence or death of research fronts is important and state of the art approaches use bibliometric techniques such as co-word and citation analysis of of data extracted from ISI databases. As data from ISI databases are not publicly available, it becomes necessary to investigate the suitability of alternative sources, for example BioRxiv which stores preprints from life sciences scientific discipline.

It is possible to freely download metadata (title, abstract, author) and other metric such as download counts and twitter analytics of BioRxiv preprints from Rxivist. As preprints are published to BioRxiv before submitted to journals for peer review, accepted, published and then indexed in ISI databases, Rxivist dataset not only has the advantage if being freely available for researchers, it can also identify the emergence of topics earlier than data from ISI databases.

Rxivist dataset does not contain keywords in its metadata, hence it is necessary to extract keywords from the abstract and title of preprint submissions. To automate the keyword extraction process for co-word analysis, candidate keywords in this study are an intersection of keywords identified by noun phrase regular expression matching with key phrases identified by the RAKE[11] keyword extraction algorithm.

Mixed indicator models have been shown to be able to identify emerging research trends.[7] Keywords extracted from the Rxivist dataset were transformed into mixed indicator models (keyword burst, author burst and interdisciplinary) and further clustered using the KMeans and Affinity Propagation algorithms to identify any possible existing trends.

Outliners in the mixed indicator model dataset which also formed clusters are candidates for further inspection to determine emergence or death of research topics. A cluster (outliner) in the dataset that suggested emerging fronts (increased author burst), was in cancer research. However as the BioRxiv database is still relatively new, with the number of preprint submissions approximately doubling yearly, author burst could simply indicate that more authors in a research topic are embracing the use of the preprint database, which Abdil and Blekhman[10] has shown to be on the rise in the life sciences discipline. The current lifetime of BioRxiv is arguably not sufficient to investigate the novelty or growth of research topics, but as the BioRxiv dataset becomes more mature in the coming years, the methods described in this research will be valuable for the investigation of research topic emergence or death.

This study has demonstrated the use of text mining approaches to investigate the suitability of Rxivist dataset for identifying emerging or dying research trends, however other metrics such as download count that are also part to the Rxivist dataset may be incorporated into the analysis. It may also be beneficial for keywords to be part of the metadata in the preprint submissions to BioRxiv, which will improve the accuracy of co-word analysis as it removes the requirement of automatic keyword extraction.

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CONFLICT OF INTEREST

The author declares no conflict of interest.

ABBREVIATIONS

BIRCH: Balanced Iterative Reducing and Clustering using Hierarchies; WCS: Within Cluster Similarity; BCS: Between Cluster Similarity; RAKE: Rapid Automatic Keyword Extraction.

REFERENCES