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Longitudinal Citation Prediction using Temporal Graph Neural Networks

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Abstract

Citation count prediction is the task of predicting the number of citations a paper has gained after a period of time. Prior work viewed this as a static prediction task. As papers and their citations evolve over time, considering the dynamics of the number of citations a paper will receive would seem logical. Here, we introduce the task of sequence citation prediction, where the goal is to accurately predict the trajectory of the number of citations a scholarly work receives over time. We propose to view papers as a structured network of citations, allowing us to use topological information as a learning signal. Additionally, we learn how this dynamic citation network changes over time and the impact of paper meta-data such as authors, venues and abstracts. To approach the introduced task, we derive a dynamic citation network from Semantic Scholar which spans over 42 years. We present a model which exploits topological and temporal information using graph convolution networks paired with sequence prediction, and compare it against multiple baselines, testing the importance of topological and temporal information and analyzing model performance. Our experiments show that leveraging both the temporal and topological information greatly increases the performance of predicting citation counts over time.

1 Introduction

The problem of predicting citation counts of papers has been a long-standing research problem [Garfield, 1979]. Predicting citation counts allows us to better understand the relationship between a paper and its impact. However, prior research has viewed this as a static prediction problem, i.e. only predicting a single citation count at a static point in time. This ignores the natural development of the data as new papers are being published. Here, we propose to view the problem as a sequence prediction task, with models then having the ability to capture the evolving nature of citations. This, in turn, requires a dataset to contain the papers’ citation counts over a period of time, which adds a temporal element to the data, which can then be encoded by sequential machine learning models, such as Long short-term memory models (LSTM) [Hochreiter and Schmidhuber, 1997]. Additionally, scholarly documents exhibit a natural graph-like structure in their citation networks. Given recent developments in modeling such data [Zhou et al., 2019; Wu et al., 2019] and prior research showing that modeling input as graphs can be beneficial, we hypothesize that modeling a paper’s citation network is useful for predicting citation counts over time.

In this paper, we consider citation networks, a dynamic graph which evolves over time as new citations and papers are added to the network. Leveraging the structured data in the graph allows us to discover complex relationships between papers. We want to tap into that knowledge and treat the citation data as a network, such that we can further exploit topological information and not just temporal information. By doing so, we investigate the hypothesis of paper citation counts being correlated with features such as authors, venue, and topics.

We use the well-established Semantic Scholar dataset [Ammar et al., 2018] to construct our citation network. Its meta-data allows us to construct a dynamic citation network which covers a 42 year time-line, with an updated graph for each year. The Semantic Scholar dataset’s meta-data also contains information about each paper’s authors, venue, and topics, allowing us to study the correlation between these features and the citation count of a paper when considering the evolving nature of the citation network. The correlation between these features and citation counts is well known and studied by prior work [Yan et al., 2011]. Prior studies show that citations are correlated and
there is a strong correlation between features such as authors, but are limited by only predicting a single citation, and not predicting the natural evolution of a papers growth.

We propose to use the constructed dynamic citation network (see section 4.2) to predict the trajectory of the number of citations papers will receive over time, a new sequence prediction task introduced in this work. Furthermore, we propose an encoder-decoder model to solve the proposed task, which uses graph convolutional layers [Kipf and Welling, 2017] to exploit the graphs’ topological features and an LSTM to model the temporal component of the graphs. We compare our model against a standard GCN and standard LSTM, which individually incorporate either the topological information or the temporal information, but not both.

Our contributions are as follows: 1) A dynamic citation network based on the Semantic Scholar dataset. The dynamic citation network contains 42 time-steps, with an updated graph at each time-step, based on yearly information. 2) We introduce the task of sequence citation count prediction. 3) A novel encoder-decoder model based on a GCN and LSTM to extract the dynamic graph’s topological and temporal components. 4) A thorough study of the correlation between citation counts and temporal components.

2 Related Work

2.1 Citation Count Prediction

The task of predicting a paper’s citations aims to predict the number of citations which a paper has obtained either by a given year or after n years. The task itself is not new and has been researched throughout the years, and multiple different approaches have been tried and shown to be effective. Some of these studies, have focused on feature vectors [Yan et al., 2011; Yu et al., 2014] and explored distinct feature vectors’ performance, where they primarily rely on meta-data, e.g. venue and authors. As peer review data has become available [Kang et al., 2018], recent research has focused on using non-meta-data information, such as peer-reviews [Plank and van Dalen, 2019; Li et al., 2019] to predict a paper’s citation count.

What is common in existing research is the target task: predicting a single citation count. This citation count can be set as one of the following years, or the citation count n years in the future. To predict these citation counts, we see a variety of different neural network models with distinct architectures [Li et al., 2019; Wen et al., 2020], as well as papers which focus on deeper feature vector analysis, where regression models are used [Davletov et al., 2014; Yu et al., 2014]. A side effect from prior research’s focus on predicting single citation counts is that the utilized citation networks are static graphs, based on paper databases such as ArnetMiner [Tang et al., 2007], Arxiv HEP-TH [Manjunatha et al., 2003] and CiteSeerX [Caragea et al., 2014]. These static citation networks are not suitable for our proposed task because they only contain the topological information at a single point in time.

Citation networks are not exclusively used for citation count prediction. Other citation networks such as Cora [Sen et al., 2008], CiteSeer [Giles et al., 1998] or PubMed [Sen et al., 2008], all well known benchmark graphs, are used for node classification tasks, where the task is to predict a paper’s topic. These networks are provided with minimal content. They consist of an adjacency matrix, the connections between citations, and a simple feature vector for each node of either 0/1-valued vector or a tf-idf vector, based on the dictionary of the paper content. These existing datasets do not fit our purpose, hence we derive our own, described in Sec. 4.2.

2.2 Temporal Graph Modelling

The idea of extracting both temporal and topological information from a graph has been researched in other NLP domains but also in other research domains. In NLP we have seen the use of extracting these two components in the tasks of semantic role labelling [Bastings et al., 2020] and neural machine translation [Marcheggiani and Titov, 2017]. What is common about both of their approaches is the use of the GCN to encode dependency trees, which are of a static graph. In other domains of machine learning, we have also seen the use of such models, which extract both topological and temporal data. A minor trend we have observed is using the GCN in LSTM instead of linear layers [Deng et al., 2019; Zhao et al., 2019].

3 Temporal Graph Neural Network

Our model is an encoder-decoder model and therefore consists of two major components. The first component is the encoder, which takes an adjacency matrix of node connections and a node feature matrix as input, where the node feature matrix can e.g. consist of author information (illustrated in Figure 2). It uses the topological information from the graphs and creates feature vectors containing both the topological node features via a GCN. It should be noted that due to the use of dynamic graphs, the encoder generates a sequence of graph embeddings, one for each graph in the sequence. The second component, the decoder, utilizes the sequence of graph embeddings created by the encoder. By using an LSTM, we extract the temporal elements and create a sequence of citation count predictions (CCP) for each node in the dynamic graph.

3.1 Problem Definition

While the task of CCP has been researched before, in this paper, we are interested in predicting a sequence of citation counts, which to our knowledge is so far unexplored.

Let us start by introducing our graph notation. We denote our dynamic graph as $G = \{G_0 \ldots G_T\}$, where $G_t$ is a graph, at the given time $t$. Each graph in the dynamic graph set is defined as $G_t = (V_t, E_t)$, where $V_t$ is the set of vertices at time $t$ and $E_t$ is the set of edges at time $t$. With a given dynamic graph, we aim to predict the sequence of citations for a given paper. We formalize this as $y^o = \{y_0^o \ldots y_T^o\}$, where $y_i^o$ is the number of citations for $v_i \in V_t$. For our proposed task, we are given the dynamic graph $G$, and are to predict the sequence of citation counts $y$.

3.2 Topological Feature Extraction

One of the central hypotheses we want to examine is if complex structural dependencies in a citation network can help
predict the citation count of a paper. To test this, we employ a GCN to extract topological dependencies from the graphs. We choose a GCN over other methods as they work in Euclidean space, and are thus easy to use with other neural architectures such as convolutional neural networks (CNN) [Wu et al., 2019].

The GCN uses the data flow between edges in the graph to create a graph embedding. As such, we can create an embedding influenced by all of the neighboring nodes in the graph. In this, we hypothesize that there is a relationship between the number of citations a given paper receives and that of its neighbors. The connections between the papers is described by an adjacency matrix $A$. Using our notation, we describe the GCN as follows:

$$H^{(l+1)} = \sigma \left( \tilde{D}^{-\frac{1}{2}} \tilde{A} \tilde{D}^{-\frac{1}{2}} H^{(l)} W^{(l)} \right),$$

where $\tilde{A} = A + I$; $I$ is the identity matrix (which enables self-loops in $A$); $D_{ii} = \sum_j A_{ij}$, $l$ is the $l$th layer in the model; $\sigma$ is an activation function; and $H^{(l+1)}$ is the output of the GCN layer $H^{(l)}$. We can then simplify the above equation:

$$H^{(l+1)} = \sigma \left( \tilde{A} H^{(l)} W^{(l)} \right)$$

where $\tilde{A}$ is defined as $\tilde{A} = \tilde{D}^{-\frac{1}{2}} \tilde{A} \tilde{D}^{-\frac{1}{2}}$ and $t$ is the time step in the dynamic graph. It should be noted that $t$ has been left out in the first equation for simplicity. We also observe here that by adding multiple GCN layers, we allow the graph embeddings to be affected by extended neighbours.

Since we work on a dynamic citation network, we have $T$ distinct adjacency matrices, and we have to create a graph embedding for each graph in the sequence:

$$Z = \{Z_0, \ldots, Z_T\} = \{f(X, A_t) \mid A_t \in A\},$$

where the function $f$ is the GCN network, $Z_t \in \mathbb{R}^{m \times n}$ is a single graph embedding of dimensionality $n$ with $m$ nodes, and $Z$ is the set of graph embeddings created by the GCN. It should be noted that $X$ is shown as being independent of time, which is true for some of our node embeddings. However, some of our node embeddings are based on citations, which change through time, which makes $X$ dependent on time. We will explore the distinct node embeddings in a later section. As shown in the equation, we also keep the same model over time, and do not change the GCN even though the graph changes. We instead try to generalize the model, working on all the graphs in the dynamic graph.

**Temporal Feature Extraction**

With the constructed graph embeddings, containing both topological information and node information. We want to extract the temporal information, which we use the sequence of graph embeddings to do. To extract the temporal information, we utilize an LSTM, where we can formalize the input and output as $Y = l(Z)$, where the function $l$ is the LSTM and $Y \in \mathbb{R}^{m \times T}$ are the CCPs.

**Encoder-Decoder**

In the final model, we combine the GCN and LSTM in an encoder-decoder model. The primary challenge in combining these two models though is that they operate on vastly different inputs. The GCN operates on entire graphs and needs all the nodes to appear in the graphs, including nodes which it intends to predict. The LSTM, however, does not have this requirement and can work on batches. To solve this issue in a simple yet effective approach, we embed the entire graph prior to the LSTM steps so that in the LSTM step, we can still split the data into batches for training, validation and testing. While other approaches have been researched, like embedding the GCN into the LSTM [Zhao et al., 2019], we found the simple approach to perform better.

Figure 2 shows the architecture of our model. The GCN uses two layers to create the graph embedding. The LSTM is a single one-directional layer whose outputs are reduced to a sequence of scalars through a linear layer.

4 Dynamic Citation Count Prediction

As discussed earlier, we differentiate ourselves from prior work by predicting a sequence of citation counts over time as opposed to a single final citation count. Datasets for the latter exist, but are based on paper databases. However, existing citation networks are not usable for our task due to the graph of the citation network being static in those works, i.e., the citation network does not evolve over time. Given this, we construct a dataset for the purpose of studying citation count prediction over time.

4.1 Dataset

The dataset which we used to create our dynamic graph is based on Semantic Scholar [Ammar et al., 2018]¹. The

¹https://api.semanticscholar.org/
dataset is a collection of close to 200,000,000 scientific papers; the size of a graph of this size requires an immense system to run experiments. To reduce the dataset to a manageable size, we only kept papers from the following venues related to AI, Machine Learning and Natural Language Processing: ACL, COLING, NAACL, EMNLP, AAAI, NeurIPS and CoNLL. With the dataset only containing papers from the listed venues, we reduced the dataset’s size to 47,091 papers. Furthermore, the Semantic Scholar dataset also holds an extensive collection of meta-data for each paper. We use this meta-data to construct our dynamic graph, as well as the graph’s node embeddings.

4.2 Graph Construction
With the dataset reduced to a more manageable size, we search for an ideal dynamic graph of the citation network. We define an ideal dynamic graph as the sequence of graphs which has the largest connected graph in the final graph and has the most significant increase of nodes over time. We do not use the largest graph at each time step, as it can trick us into selecting a sub-optimal dynamic graph. To solve the issue of being tricked into selecting a less ideal dynamic graph, we have to probe each node in the data to observe the graphs’ evolution. By probing all the nodes, we can choose the sequence of graphs which contains the most nodes over time. In Algorithm 1, we describe the process in the form of pseudo-code for a more precise insight in the process of constructing the ideal dynamic graph.

In Table 4, we show some of the properties of the last 10 graphs in the dynamic graph. It is clear how the graph is evolving over time, as can be seen in how both the number of vertices and edges increases, and how the degree $D$ increases, indicating that the nodes in the graph obtains more citations over time. This indicates that the dynamic graph reflects the natural growth of a paper’s citations.

By only using a subset of the full graph to construct the dynamic graph, we ablate some of the full graph’s properties. One notable property of the full graph is that the citation count of a paper is tied to the degree of a node; by using a subset of the full graph this property does not hold anymore. However, we chose to use the full citation count as labels for our dataset, not the nodes’ degree, for two reasons. First, we argue that predicting the degree of a node might trivialize the task. Furthermore, having access to a complete citation network can be seen as rare, and hence we simulate more frequent cases and use the full citation count.

4.3 Feature Generation

The created dynamic graph nodes are not dependent on a set of specific features, and we can therefore select and create a set of features for each node containing our desired information. With a wide variety of meta-data fields available, we created a set of distinct features which we used for our predictions. Furthermore, we studied how each of these features affect the performance of the model.

The choice of using authors and venues as features for our model is based on the hypothesis that authors listed on a paper have a major impact on the number of citations gained. We assume the same goes for venues: if a paper is published at a more highly ranked venue, it is more likely to gain a large amount of citations compared to a paper published at a lower ranking venue. We further motivate the choice of these two features based on prior work [Yan et al., 2011], who shows that author rank and venue rank are indeed two of the three features that are most predictive. We motivate the choice of using the abstract based on the assumption that the abstract of a paper contains information on the topics discussed in the paper, which can be used to identify if paper’s topic is currently popular [Gerrish and Blei, 2010]. We further motivate the choice of using author and venue rank, as prior work shows them to be the most descriptive features [Yan et al., 2011]. The following sections provide short descriptions of the meta-data used to create these feature vectors and how each of them is calculated.

**Abstract:** To base our model on more than meta-data, we use the abstract of the papers to create a feature vector. To create an embedding of the abstract, we utilize BERT [Devlin et al., 2019], specifically the pre-trained SciBERT [Beltagy et al., 2019] model. SciBERT is a contextualized embedding model trained using a masked language modeling objective on a large amount of scholarly literature. Representations from SciBERT have been shown to be useful for learning downstream tasks with scientific text, this is why we use them here. To obtain a feature vector of a given abstract, we tokenize the abstract text and pass this through SciBERT. SciBERT prepends a special [CLS] token for performing classifi-
cation tasks, so we use the output representation of this token as the final feature vector for an abstract.

**Author rank:** To include the author information, we created a feature vector which ranks the authors based on their number of citations sorted by highest to lowest. Due to many authors having the same amount of citations, we allow authors to be of the same rank. As the final step for the feature calculation, we normalize the rankings by \( X' = \frac{X - X_{\text{min}}}{X_{\text{max}} - X_{\text{min}}} \).

**Venue rank:** Together with the author rank, we also hypothesize that the venue has an impact on the number of citations of a paper. Therefore, we also created a feature ranking for the venues. The feature is calculated identically to the author rank. It should be mentioned that the meta-data contains a size that the venue has an impact on the number of citations.

5 Experiments

In this section we introduce our experiments, evaluate the performance of our model, and explore the importance of exploiting topological and temporal information.

5.1 Data

We use the constructed dynamic graph for our experiments and test each of the three distinct feature vectors. A detailed description of the feature vectors and the dynamic graph’s construction can be found in Section 4. We split our data into a training, validation, and test set, with the following splits: 60%, 20%, and 20%. With the splits, we achieve a training set consisting of 22,900, and a validation and test set of 7,634. The training, validation and test sets are generated randomly, but are kept fixed throughout the experiments.

Due to the large number of time-steps in the dynamic graph, we chose to create two different setups for our experiments. One which uses the last 10 years and another, which uses the last 20 years of the dynamic graph. We use the later years in the dynamic graph as these years contain the most papers and the graph has evolved the most.

While not mentioned in Section 4.3, we perform some further pre-processing of the data. For the feature vectors of author rank and venue rank, we perform a normalization of the values. We also perform pre-processing of the labels due to the high fluctuation of the number of citations. We take the \( \log(c + 1) \) of the citation of a paper as the labels [Maille de Bui Wenniger et al., 2020]. Taking the log of the citation increases the stability of the model during training.

5.2 Experimental Setup

We perform experiments with three distinct models: 1) Our proposed model, consisting of a GCN and LSTM; 2) a standard LSTM; 3) a standard GCN. All hyper-parameters are shared across the models.

For our selected models, we used the well-known Adam [Kingma and Ba, 2017] optimizer, with a learning rate of 0.001. For the GCN we used two layers, with each layer consisting of 256 hidden units. Both the GCN and the GCN with LSTM used this setup. The LSTM was set to have a single uni-directional layer of 128 hidden units, with the output being reduced to a dimension by a linear layer. For the models using an LSTM, we its batch size to 256. We ran the models for 1000 epochs and if no update to the best validation score have been observed over 10 epochs, we terminate the training early. As mentioned, we used SciBERT to encode the abstracts, with an output vector of size 768. The models have been run using random seeds, and each of the experiments have been executed 10 times. In the results section, we report the mean and the standard deviation of the 10 runs.

To see if our models were learning to predict the citation counts, we created a simple deterministic model to compare against. The model is based on predicting the mean citation count of the training and validation at each time step.

5.3 Evaluation Metric

To evaluate the performance of the models, we measure the mean absolute error, defined as

\[
MAE = \frac{1}{N} \sum_{i=1}^{N} |y_i - \hat{y}_i|, \tag{4}
\]

where \( Y \) are the citation counts and \( \hat{Y} \) are the predicted values. We also use the MAE to optimize the model. We chose to use MAE, instead of mean squared error (MSE), to mitigate outlier papers which have a high amount of citations. We additionally use MAE as the training objective for the same reason.

5.4 Results

As previously mentioned, we ran our experiments on dynamic graphs of 10 years and 20 years. The results of the 10 year experiment is shown in Table 1, and the results of the 20 years experiment is shown in Table 2. In both of the experiments we see that our models outperform the simple deterministic approach. By inspecting the results, one can clearly observe that the GCN-LSTM has the best performance among the three models. We further observe that the GCN-LSTM improves on the performance of the pure GCN and LSTM.
individualy, indicating that it learns from both the tempo-
ral and the topological information provided by the dynamic
citation network. Furthermore, the GCN increases in error
going from a 10 year interval to a 20 year interval, where we
see the other models slightly improve. To further study this,
we plot the error of the different time steps in Figures 3 and 4,
which show the models’ performances over time. By inspect-
ing the plots, we observe a trend of the pure models i.e. the
GCN and LSTM models, struggle and deteriorate over time,
compared to the combined GCN-LSTM model, which keeps
improving over time until it starts plateauing. Comparing the
10-year and 20-year plots, one can observe that the deterio-
ration continues, where the 10-year plot stops. It can also be
seen, that the GCN-LSTM keeps improving up until year 10,
where it levels out. All of the models decrease drastically in
error up until two time-steps; afterward, the pure models start
deteriorating.

5.5 Discussion
Table 1 and 2 show the impact of single feature types. We hy-
pothesize that author information is very predictive, as shown
by prior work. Inspecting the results from the different fea-
ture ablations, we can observe that the author features per-
forms the best, confirming our hypothesis. Figures 3 and 4
further confirms this, showing that large parts of the gain of
the model over time stems from author information.

The feature vector created by the venues performs the
worst in both experiments. We hypothesize that the venues’
performance could be increased if a more generalized nota-
tion for venue meta-data were available, as these are noisy
(also due to OCR errors) have many spelling variants.

To further study the feature vectors, we calculate the aver-
age MAE for each distinct author and venue, where we use
the predictions made by the GCN-LSTM, trained on the au-
thor feature vectors over 20 years. We show the result of the
venues in Table 3. One can observe that the difference be-
tween the top and bottom venue is drastically lower than the
difference between the top and bottom author. This fur-
ther indicates that the author features is a strongly predictive
feature for citation counts. We also show the average degree
and the number of papers for each of the venues in 3. With a
higher representation of papers in the collection, we expect a
more reliable prediction. This is indeed the case – we observe
the top venues often have a higher number of papers in their
collection. To further analyse this, we observe the average de-
gree of the papers in the collection, however, we do not notice
a higher performance where the degree is higher. This indi-
cates that the model is better at predicting papers with higher
citation counts, because the degree of a node is tightly bound
to the number of citations.

6 Conclusions
In this paper, we propose the task of citation sequence pre-
diction. For this, we introduce a dataset of scholarly doc-
uments based on a dynamic citation graph evolving of 42
years, starting from a single node growing to a large graph.
We further study the effect of temporal and topological infor-
mation, and propose a model to benefit from both informa-
tion (GCN+LSTM). Our results show that utilizing both the
temporal and topological information is superior to only util-
izing either the temporal or topological information. Using
the proposed model, we study the effect of different features,
to identify which information is most predictive of a paper’s
citation count over time. We found author information to be
predictive and informative over time.

In future work, the impact of training a single GCN on the
dynamic graph could be explored, since the error over time of
the GCN is deteriorating fast.
References


A Dynamic Graph properties
B MAE over time

Figure 4: Performance over time, using models trained over a 10-year period. Where the x-axis is time and the y-axis is the MAE.
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<td>Mean D</td>
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<td>7.67</td>
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<td>8.75</td>
<td>9.34</td>
<td>10.1</td>
<td>10.52</td>
<td>11.49</td>
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<tr>
<td>Max D</td>
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<td>2,086</td>
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<tr>
<td>Max citation count</td>
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<td>4,186</td>
<td>4,740</td>
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<td>Avg. citation count</td>
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Table 4: Key values of the graphs.