Overview of the 2021 SDP 3C Citation Context Classification Shared Task

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Overview of the 2021 SDP 3C Citation Context Classification Shared Task

Suchetha N. Kunnath
KMi, The Open University
Milton Keynes, UK
snk56@open.ac.uk

David Pride
KMi, The Open University
Milton Keynes, UK
david.pride@open.ac.uk

Drahomira Herrmannova
Oak Ridge National Laboratory*
Oak Ridge, TN, US
herrmannovad@ornl.gov

Petr Knoth
KMi, The Open University
Milton Keynes, UK
petr.knoth@open.ac.uk

Abstract

This paper provides an overview of the 2021 3C Citation Context Classification shared task. The second edition of the shared task was organised as part of the 2nd Workshop on Scholarly Document Processing (SDP 2021). The task is composed of two subtasks: classifying citations based on their (Subtask A) purpose and (Subtask B) influence. As in the previous year, both tasks were hosted on Kaggle and used a portion of the new ACT dataset. A total of 22 teams participated in Subtask A, and 19 teams competed in Subtask B. All the participated systems were ranked based on their achieved macro f-score. The highest scores of 0.26973 and 0.60025 were reported for subtask A and B, respectively.

1 Introduction

Authors cite scholarly publications for a wide variety of reasons (Garfield, 1972). As a result, citations in a research paper cannot be considered the same. Hence, evaluating research requires the substitution of existing citation frequency based research assessment methods and adoption of new practises\(^1\). One such qualitative method that can be considered is to use the sentences surrounding the citation, known as citation context, for identifying the author’s intent. Characterising citations by examining citation context from the citing paper to evaluate the cited paper has been proposed as a promising direction for research assessment by previous studies (Abu-Jbara et al., 2013; Teufel et al., 2006).

Towards this end, several methods and taxonomies have been devised by manually assessing and analysing samples of research papers. This includes the classification schemes introduced by Moravcsik and Murugesan (Moravcsik and Murugesan, 1975), Chubin and Moitra (Chubin and Moitra, 1975), Spiegel-Rosing (Spiegel-Rosing, 1977). The low generalisability due to limited dataset sizes and practical difficulties in using the above mentioned earlier schemes resulted in developing new general purpose classification taxonomies. In a pioneering work by (Teufel et al., 2006), a new taxonomy consisting of 12 function classes has been created and used as part of an experiment to train models for automatic classification of citation function. Other prominent schemes developed in similar contexts include (Abu-Jbara et al., 2013; Jurgens et al., 2018; Cohan et al., 2019; Pride and Knoth, 2020).

Despite these efforts and more than a decade of research, it remains hard to compare and contrast existing solutions in this field due to the existence of multiple classification schemes and the absence of a benchmark suite. This is the primary motivation for introducing the 3C shared task. The goal of the 3C shared task is to analyse the text containing the citation, known as the citing sentence, in order to classify the reference anchor according to their purpose or function (Subtask A) and influence or impact (Subtask B). Following the last year, we used a fraction of the Academic Citation Typing (ACT) dataset (Pride et al., 2019; Pride and Knoth, 2020) for both the subtasks. We used the Kaggle In-
### Table 1: Subtasks categories, labels and data distribution

<table>
<thead>
<tr>
<th>Task</th>
<th>Category</th>
<th>Label</th>
<th>Distribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>Subtask A</td>
<td>BACKGROUND</td>
<td>0</td>
<td>54.9%</td>
</tr>
<tr>
<td></td>
<td>COMPARES, CONTRASTS</td>
<td>1</td>
<td>12.27%</td>
</tr>
<tr>
<td></td>
<td>EXTENSION</td>
<td>2</td>
<td>5.70%</td>
</tr>
<tr>
<td></td>
<td>FUTURE</td>
<td>3</td>
<td>2.07%</td>
</tr>
<tr>
<td></td>
<td>MOTIVATION</td>
<td>4</td>
<td>9.20%</td>
</tr>
<tr>
<td></td>
<td>USES</td>
<td>5</td>
<td>15.83%</td>
</tr>
<tr>
<td>Subtask B</td>
<td>INCIDENTAL</td>
<td>0</td>
<td>52.3%</td>
</tr>
<tr>
<td></td>
<td>INFLUENTIAL</td>
<td>1</td>
<td>47.7%</td>
</tr>
</tbody>
</table>

* Data distributions for the 1st 3C shared task were 54.6% and 15.3% respectively.

### Table 2: 3C Shared task schedule

<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>15/12/2020</td>
<td>Release of 1000 practise instances</td>
</tr>
<tr>
<td>26/02/2021</td>
<td>Kaggle competition start date + Release of Train, Test and Full text</td>
</tr>
<tr>
<td>30/04/2021</td>
<td>Kaggle competition end date</td>
</tr>
</tbody>
</table>

Class competitions\(^2\) environment to run the shared task, because we found it to be a highly suitable environment in the previous iteration of the 3C task in 2020. All the submitted systems were ranked using macro f-score.

This overview paper is organised as follows: Section 2 describes the related work; Section 3 discusses the shared task setup, the data used, the baselines, followed by task evaluation in Section 4. Section 5 summarises the participating system description. Section 6 and 7 present the results and the conclusion.

### 2 Related Work

Existing automated systems mostly use taxonomy and AI-based methods to identify the citation function and influence from the citation context. Some of the prevalent citation function classification schemes developed in the past use pre-defined categories, with number of classes ranging from small to medium to large (Teufel et al., 2006; Abu-Jbara et al., 2013; Jurgens et al., 2018; Cohan et al., 2019). Some of the function taxonomies also considered the polarity aspect of the citations (Abu-Jbara et al., 2013; Hernández-Alvarez and Gómez, 2015). All classification methods developed for influence detection uses a binary scheme (Incidental/Non-Important/Non-influential and Influential/Important) (Zhu et al., 2015; Valenzuela et al., 2015).

Earlier methods for citation classification used feature based supervised machine learning models like Random Forest (RF) (Jurgens et al., 2018; Pride and Knoth, 2017a,b; Valenzuela et al., 2015), Support Vector Machine (SVM) (Hernandez-Alvarez et al., 2017; Jha et al., 2017) etc., which requires the manual detection of the contextual and non-contextual features from the citation context, prior to training the model. With the development of larger datasets like SciCite (Cohan et al., 2019) and ACT (Pride and Knoth, 2020), more complex, transformer based models like SciBERT (Beltagy et al., 2019) were employed for solving this problem.

With the aim to enhance research in this field and to provide a general platform for the competing systems, we introduced the new 3C Citation Context Classification shared task in 2020 (Kunnath et al., 2020). Three teams participated in the citation purpose classification task and four teams contested in the influence task (Mishra and Mishra, 2020a,b; de Andrade and Gonçalves, 2020; Premjith and Soman, 2020). All the teams used simpler approaches such as TF-IDF for feature representation and other machine learning based models for classification. The highest score obtained were 0.205 (Subtask A) and 0.555 (Subtask B).
3 The 2021 3C Shared Task

The second version of the 3C shared task is organised by the researchers at the Knowledge Media Institute (KMi), The Open University, UK and Oak Ridge National Laboratory (ORNL), US. The 2021 3C shared task was part of the second Workshop on Scholarly Document Processing (SDP), collocated with the 2021 Annual Conference of the North American Chapter of the Association for Computational Linguistics (NAACL).

3.1 Task Definition

The 3C shared task is a citation classification challenge having the following two subtasks:

- **Subtask A**: Multi-class classification of citations based on purpose with categories - BACKGROUND, USES, COMPARES, CONTRASTS, MOTIVATION, EXTENSION, and FUTURE.

- **Subtask B**: Binary classification of citations into INCIDENTAL or INFLUENTIAL classes, i.e. a task for identifying the importance of a citation.

Similar to previous year’s shared task, we used the self-service Data Science competition hosting platform, Kaggle InClass competitions. Since Kaggle does not support hosting multiple tasks using a single interface, we used separate competitions for Subtask A [https://www.kaggle.com/c/3c-shared-task-purpose-v2/](https://www.kaggle.com/c/3c-shared-task-purpose-v2/) and Subtask B [https://www.kaggle.com/c/3c-shared-task-influence-v2/](https://www.kaggle.com/c/3c-shared-task-influence-v2/).

Table 2 shows the task schedule. The participating teams were required to comply with the following rules:

- Develop methods addressing the task and submit the results via Kaggle.
- Document and submit their method as a short system description paper.
- Provide source code for each method.

3.2 Dataset

We used the same dataset from the previous year, with 3000 training instances. This year, we also provided the participants with the full text of all the papers present in both the train and testset. The full-text dump was extracted from the CORE (Knoth and Zdrahal, 2012) open access repository. We had to replace 12 out of 1000 instances from the previous year’s testset due to the non-availability of a paper in the repository. Both the training and the testing datasets were in the csv format.

Table 1 shows the numeric values assigned for each of the citation purpose and influence labels. The table also contains the class distributions for both training and the testsets. The distribution of classes is similar to that used last year, except for a negligible variation in the testset. The highly imbalanced nature of the dataset makes the purpose classification a challenging task compared to Subtask B. Both datasets have the same 9 attributes as reported in (Kunnath et al., 2020), including the citation context, which represents the citing sentence. For each citing sentence, the citation considered...
is replaced with the tag, "#AUTHOR_TAG" as shown below:

"For example, previous studies have found that cross-institutional collaboration supports the diffusion of innovations and new ideas within a field (#AUTHOR_TAG and Darby, 1996)"

The dataset also included citation contexts with multiple citations, thus causing the tasks to be even more challenging. For instance, the below-mentioned citation context has 6 citations in a single citing sentence:

"Innovation through mimicry is likely to occur when innovations are socially visible (Mahajan and Peterson, 1985; Dos Santos and Peffers, 1998), when causes, conditions and consequences are known (absence of causal ambiguity, Barney, 1991; #AUTHOR_TAG and Venkatraman, 1992) and when the success of the innovation is unlikely to be determined by path dependencies (Barney, 1991; #AUTHOR_TAG and Venkatraman, 1992)"

Figures 1a and 1b illustrates the distribution of number of citations in the citation context. 59.7% of instances in the training set has more than one citation in the citation context. Likewise, the majority of citation contexts in the test set has multiple citations (60.2%).

Another aspect is the multi-domain nature of the dataset used for this shared task. Unlike some of the existing datasets for purpose and influence classification tasks (Cohan et al., 2019; Jurgens et al., 2018; Valenzuela et al., 2015), which are mainly drawn from the Computer Science and Bio-Medical domains, the ACT dataset has papers from other domains as well. The following citation context from the dataset is derived from the Mathematics domain:

"It can be considered as an infinite dimensional analogue of a completely integrable Hamiltonian system ( #AUTHOR_TAG and Shabat 1972; Shabat 1976), where the Hamiltonian and the Poisson bracket is given by $t + (x), H = 0, (x), *(y) = i(xy), (1.2) H = 12||x||2||4dx(here * stands for the complex conjugate function)"

The presence of symbols and equations in the citing sentence, as shown in the above example,
Table 5: Evaluation results for purpose classification task on the complete test set

<table>
<thead>
<tr>
<th>Team</th>
<th>Micro F1</th>
<th>Macro F1</th>
</tr>
</thead>
<tbody>
<tr>
<td>IREL</td>
<td>0.503</td>
<td>0.267</td>
</tr>
<tr>
<td>Duke Data Science</td>
<td>0.508</td>
<td>0.259</td>
</tr>
<tr>
<td>IITP</td>
<td>0.474</td>
<td>0.256</td>
</tr>
<tr>
<td>Amrita_CEN_NLP</td>
<td>0.396</td>
<td>0.198</td>
</tr>
</tbody>
</table>

causes extracting meaningful insights about the citations even more difficult.

3.3 The Baseline

As in the previous 3C shared task, the baseline submissions for both subtasks were based on the majority class: BACKGROUND, for Subtask A and INCIDENTAL, for Subtask B. The majority class baseline model received a public and private score of 0.11938 and 0.11546 for the purpose classification task. The scores obtained for the influence task are 0.30362 and 0.32523.

4 Evaluation

In order to rank the submitted results by the participating teams, we used macro F-score:

\[
F1 - \text{macro} = \frac{1}{n} \sum_{i=1}^{n} \frac{2 \times P_i \times R_i}{P_i + R_i} \tag{1}
\]

where \(P_i\) and \(R_i\) represents the precision and recall for class \(i\) and \(n\) is the number of classes.

The submission file has the following fields in the csv format: (1) Unique ID and (2) Citation Class/Influence label. To avoid possible over-fitting due to large number of submissions, we restricted the per day number of submissions to 5. The final evaluation is based on the private score obtained by the teams. The number of scores eligible for the final evaluation was limited to 5.

5 Participating System Description

This edition of the 3C Shared task witnessed the active participation of more teams compared to the last year’s tasks. 22 teams participated in the purpose classification task, and 19 teams competed in the influence classification task. The following subsections describe some of the submitted systems in this shared task.

5.1 IREL

Team IREL\(^6\) (Maheshwari et al., 2021) tested various machine learning and deep learning models and found out that BERT based models like SciBERT (Beltagy et al., 2019) and RoBERTa (Liu et al., 2019) outperformed Random Forest (RF). The best result was obtained for uncased SciBERT with a linear classification layer. The team finished as the winner for subtask A with a private macro f-score of 0.26973. Using a similar approach for subtask B, IREL achieved a score of 0.59071, thus becoming second. The team reported a drop in performance when using fields other than citation context as input to the models. To address the class imbalance problem, IREL used the weighted loss function.

5.2 Duke Data Science

The team Duke Data Science\(^7\) (Oesterling et al., 2021) used a multi-tasking approach, inspired from the model by Cohen et al. (Cohan et al., 2019). Additionally, the team used hand-engineered features like citation frequency and position-based features, along with the TF-IDF, computed from the previous sentence, next sentence and the citation context, as input to the model. The best results obtained was 0.26325 and 0.26160 for the private and public testsets. However, the team also reported an improved private score of 0.28071, for post-evaluation submissions.

5.3 IITP@3C

Similar to Duke Data Science, the team IITP@3C\(^8\) (Kaushik Varanasi et al., 2021) used auxiliary tasks to improve citation performance, following (Cohan et al., 2019), for the purpose classification task. They introduced a third scaffold task, the cited paper title prediction, besides the citation worthiness and section title, to understand the correlation between the citation context and the cited paper. Instead of the Glove-ELMo word embedding, IITP@3C used SciBERT for representing the citation context. For task B, however the team used a machine learning based approach using Random Forest (RF), along with the TF-IDF, citation subjectivity, similarity, self-citation and length based
features. The team reported the highest private scores of 0.26059 and 0.53588 for task A and B, respectively.

5.4 Amrita_CEN_NLP
Team Amrita_CEN_NLP\(^9\) (Indhu S et al., 2021) experimented with Bi-directional Long Short Term Memory (BiLSTM) and RF for purpose and influence tasks. The team used not just the citation context but also cited title for both tasks. To mitigate the dataset skewness problem, a cost-sensitive learning approach was employed for RF and class weights for Bi-LSTM. The highest scores reported by the team were 0.0.21358 for Subtask A and 0.47516 for Subtask B, which are higher than the majority class baseline models.

6 Results
Table 3 outlines the public and private test scores obtained for all 22 teams, which participated in the citation purpose classification task. The highest and the lowest private scores on the leaderboard were 0.26973 and 0.16884. The top 6 teams scored greater than 0.26000. There is no significant difference between the scores, as indicated by the lower value of standard deviation (SD) in Table 6 for this year’s purpose classification task. Table 5 shows the overall micro and macro f-scores on the entire test dataset for the purpose classification task. The table clearly signals higher values for micro f-scores when compared to the macro average scores, since the former focuses more on the majority class, unlike the latter, which treats all classes equally, despite the proportion.

For the influence classification task, the scores obtained for the 19 teams is given in Table 4. Team rookie obtained the highest private score of 0.60025, the only team to achieve a score greater than 0.6. Compared to the last year’s score, as indicated in Table 6, there is considerable improvement in the performance (8.03% increase) of systems submitted by the teams for this subtask.

7 Discussion
The SDP 3C shared task is a continuation of last year’s WOSP 3C shared task. The significant difference, however, is the inclusion of a full-text dataset for both subtasks. Another highlight of this year’s shared task is the active participation of 27 teams from the start, out of which 14 of them competed in both subtasks in Kaggle. The overall scores obtained for both tasks shows considerable improvement when compared to the previous year’s results (Table 6).

For the influence classification task, we received

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\(^9\)10.6084/m9.figshare.14687325
the paper and source code from three teams. Except for team IREL, both IITP@3C and Amrita_CEN_NLP used a feature-based machine learning approach. IITP@3C evaluated the feature importance and found that the similarity-based features computed between the citation context and cited/citing paper title resulted in increased performance. Amrita_CEN_NLP obtained the highest score with RF and fasttext embedding for the influence task. Team IREL, however, used the same SciBERT based model for this task too.

Figure 2 represents the public vs private macro f-scores plotted for both the subtasks. For the influence classification task, the graph 2b shows that the scores obtained by the teams are clustered more around the diagonal. However, for the purpose classification task, as shown in the graph 2b, there is significant deviation for the majority of points, indicating the possibility of over-fitting or under-fitting on the public data.

Although this year witnessed significantly more teams participating than in the previous shared task, despite our systematic encouragement, we only received research papers and source code submissions from four teams for Subtask A and and three teams for Subtask B. For the purpose classification task, out of the top five teams, only two teams submitted their methods. We did not receive the solution used by the top team on the leaderboard for the influence task. The open nature of the competition hosting platform resulted in the participation of several Kaggle enthusiasts, who competed with the other teams, without formally registering for the shared task.

8 Conclusion

This paper describes the overview of the 2nd 3C citation context classification shared task organised as part of the SDP workshop and run at NAACL. As in the previous year, two subtasks were organised to classify citations based on their purpose and influence. In addition to the act dataset, we provided the full-text data dump to the participants. This year, we have observed a substantial improvement in the private macro f-score values. We believe this is attributed to the use of advanced deep learning methods, the full-text dataset and external sources by the participating teams. However, the overall lower scores still indicate the need to address the challenges caused by the multi-domain nature of the dataset and the presence of more than one citation in the citation context for achieving better performing systems.

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David Pride and Petr Knoth. 2017a. Incidental or influential?–a decade of using text-mining for citation function classification.


