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The Death of the Scholarly Monograph in the Humanities? Citation Patterns in Literary Scholarship

JENNIFER WOLFE THOMPSON

School of Library and information science, Kent State University, Kent, Ohio, USA

A significant effect of the crisis in academic publishing is the decline in publication and purchase of the scholarly monograph in the humanities. As library collections of monographs in the humanities continue to shrink, humanities scholars are clearly confronting difficult challenges in performing and publishing their research. Analysis of viable solutions to the publishing crisis in general, and in the humanities in particular, requires concrete information about the current state of academic publishing. The purpose of this study is to provide some insight, through citation analysis, into current patterns of scholarly publishing in the field of nineteenth-century British and American literary studies. Emerging and shifting publication formats, currency in secondary materials, and existing core groups of authors, works, journals, and publishers were evaluated.

By extending a sample selection method developed by Yeva Lindholm-Romantschuk and Julian Warner, this study examined 6,708 citations from both monographs and periodicals. The citations were first classified as references to primary or secondary materials. Citations to primary materials were tabulated according to publication format. For

citations to secondary materials, the following aspects were identified and recorded: author, date, journal title (if applicable), publisher (if applicable), and publication format. The analysis showed that scholars in this field still generally fit the traditional profile of humanities scholars, using a large number of primary sources, drawing upon secondary sources from a broad age spectrum, and relying heavily on the monograph format for both primary and secondary materials. Electronic publishing is not generally considered a viable alternative to print publishing. Articles form an important aspect of literary research, but are not substitutes for monographs. Groups of core works and authors were not identifiable in this sample. However, significant core groups of journals and publishers do exist in this discourse community, and publishing is dominated by university presses. Because the sample was not randomized, the results of the study are not generalizable. However, the results map part of the territory of current scholarly communication in the humanities, provide information to illuminate further discussion of solutions to the publishing crisis in this field, and indicate areas for further research.

Introduction

The ongoing crisis in scholarly publishing has long been a topic of discussion and debate in academia and beyond. Prices for and numbers of journals in the sciences and in technical and medical fields have increased exponentially over the last two decades, strangling library budgets and making measures such as cancellation programs for serials commonplace. Another significant ef-

fect of the crisis has been what some have called “the ‘death’ of the scholarly monograph in the humanities” (Magner 2000, A16). While straining to supply prestigious science and technical departments with serial publications, as well purchase electronic resources, libraries have smaller and smaller funds available to purchase books in all fields. Anna H. Perrault found that there was a 27.76 % decline in the total number of non-serial imprints acquired in 1989 by libraries be-

Jennifer Wolfe Thompson B.A., University of Kansas, 1981 M.A., University of Missouri at Kansas City, 1987 M.L.I.S., Kent State University, 2002. A Master’s Research Paper submitted to the Kent State University School of Library and Information Science in partial fulfillment of the requirements for the degree Master of Library Science
923 Hillcrest Ave. SW; North Canton, Ohio, U.S.A. 44720. E-mail: jwolfet@earthlink.net

longing to the Association of Research Libraries (ARL) as compared to 1985 (Perrault 1995, 300), and a 1997 ARL survey found purchases of monographs down 21% from 1986 levels (Case 1997). Lindsay Waters, an executive editor for the humanities at Harvard University Press, reported that 30 years ago, college and university libraries would buy 1,250 to 1,500 copies of any book "that had successfully gone through the rigorous scholarly review process" by a publisher. Now publishers can expect to sell only about 275 copies worldwide (Waters 2000, 315–316). Waters wanted out of the unprofitable business of publishing books that libraries will not (or cannot) buy; according to Waters, "the bubble has burst" (2000, 316).

Libraries are unable to buy many scholarly books and publishers cannot continue publishing them: where does this leave the humanities, a field whose soul lies between the covers of a scholarly monograph? Unlike scientists, whose primary vehicle of publication is the serial article, humanists rely on the monograph, and this reliance is well documented in the literature of library and information science. For instance, Bonnie Collier reported historians' "astonishingly heavy reliance on monographs," explaining that "monographs represent the context within which new historical research is explained" (Collier 1999). The decline in monograph purchasing has long concerned humanists. As early as 1980, historian Karl J. Weintraub commented, "Insofar as the proportion of serials to monographs, or current to retrospective purchasing are matters of special concern to humanists, these humanists may well be a librarian's uneasiest customers these days" (Weintraub 1980, 24–25).

Moreover, humanities collections seem to be more at risk than those in other disciplines. Perrault found that the decline in the number of monograph titles acquired by ARL libraries between 1985 and 1989 was highest in the humanities at 31.98%, compared to 28.88% for the social sciences and 15.81% for the sciences (Perrault 1995, 300). An ARL library materials budget survey showed that in 2000–2001 the average percentage of library budgets spent in arts and humanities acquisitions was 15.6 as compared with 17.2 for interdisciplinary, 17.9 for social sciences, and 45.1 for sciences (Sewell 2001). Even though many factors, such as the inherent ex-

pense of scientific research, influence these percentages, such figures, along with the decline in federal support for humanities research, have raised concerns that the humanities "will be permanently devalued within the academy" (Knight Higher Education Collaborative 2001).

Solutions to the general problems in scholarly publishing have been explored in a number of arenas, perhaps most notably in a number of conferences and roundtable discussions sponsored over the last few years by the ARL in conjunction with other groups such as the Association of American Universities (AAU), the Association of American University Presses (AAUP), and the American Council of Learned Societies (ACLS) (see Case 1999; To Publish or Perish 1998; Association of Research Libraries 1999; Association of Research Libraries 2000; Magner 2000; Knight Higher Education Collaborative 2001). An agreement coordinated by the Association of American Universities and the ARL at a March 2000 conference in Tempe, Arizona, listed recommendations that included calling on faculty and administration to focus on the quality of publications rather than quantity in evaluating a professor's work; collaboration among publishers, universities, disciplinary societies, and faculty to develop alternatives to expensive journals; and expanding the use of electronic capabilities to "provide wide access to scholarship" (Association of Research Libraries 2000). The agreement advanced a vital dialogue about solving academic publishing problems, and now advocacy groups such as the Scholarly Publishing and Academic Resource Coalition (SPARC) and Create Change (both sponsored by the ARL) are working to bring change to academic publishing.

The academic community is trying to "move beyond the crisis mode," as Kate Wittenberg, director of the Electronic Publishing Initiative at Columbia University, put it (quoted in Albanese 2001). A number of initiatives have begun to explore and exploit the potential of digital media for scholarly publishing (see Albanese 2001 and Knight Higher Education Collaborative 2001, 10). However, many academics, particularly humanists and social scientists, exhibit considerable ambivalence toward on-line publication. Academic departments have tended to vary widely in their acceptance of on-line work for tenure; "standards for on-line credentials have proved elusive," and,

at many universities, a stigma has been attached to internet-related projects (Guernsey 1997, A2). The report of a 2001 roundtable discussion sponsored by the ARL, the National Humanities Alliance and the Knight Higher Education Collaborative observed that “there is a strong cultural attachment to the printed page among scholars in these disciplines [the humanities and the social sciences] ... young scholars know that their portfolio is weakened if they abandon the high road of print” (Knight Higher Education Collaborative 2001). Another suggestion to address publishing difficulties in the humanities is to shift away from reliance upon monographs. Waters proposed that “the best way to end the current system is to initiate a renaissance of the scholarly article – the article is an endangered species – and to have the publication of two or three high-impact essays count in most cases for tenure. Let those who cannot help it write books” (Waters 2000, 317).

However, analysis of viable solutions to the publishing crisis in general, and in the humanities in particular, requires concrete information about the current state of academic publishing. Policy makers, administrators, librarians, and humanities scholars need to understand the current modes of scholarly communication in order to address proposed solutions. In addition, as librarians evaluate their collections and formulate collection policies amidst current budget pressures, they must understand the loci of scholarly conversation in the humanities in order to address the unique challenges faced by this group of scholars. A number of questions suggest themselves: Does today’s research in the humanities fit traditional profiles? To what extent is electronic publishing becoming an acceptable alternative to print? Do humanities scholars see articles as an acceptable alternative to monographs? What journals and publishers are influential in humanities publishing? Citation analysis may provide some of the answers.

Purpose of the study

The purpose of this study is to provide some insight into patterns of scholarly publishing in the humanities discipline by analysis of citations in scholarly books and articles in the field of nineteenth-century American and British literature. The analysis evaluates citation data in order to

draw conclusions about preferred and emerging formats of publication, the issue of currency in secondary sources, and the existence and influence of core authors, works, journals, and publishers.

Definition of terms

For the purpose of this study, primary sources are “those materials, evidence of original thought or observations, used by the researcher without the aid of intermediate or interpretive assistance” (Budd 1986, 193). Secondary sources are defined as “those materials that report analysis, interpretation, or background information based on the work of scholars and/or critics” (Budd 1986, 193).

Limitations of the study

This study is limited to scholarly monographs and scholarly periodical articles published in the United States in the English language, chosen according the method outlined in Chapter III.

Review of the literature

In a 1982 review of the information needs and uses of humanists, Sue Stone observed that “coverage of the humanities remains piecemeal and largely superficial” in library and information science literature (Stone 1982, 292). Twelve years later, in 1994, Jean-Pierre V.M. Herubel and Anne L. Buchanan noted that the humanities disciplines had not been adequately explored by means of citation analysis (1994). Indeed, the assertions of these researchers are still born out by the lack of recently published studies conducted in this arena. However, some valuable information is available in the small collection of research on scholarly publishing patterns in the humanities that has accumulated over the last two decades. Several researchers have evaluated scholarly communication in the humanities and identified characteristics of that communication.

Most bibliometric research has traditionally focused on the sciences, and, more recently on the social sciences. One of the first steps in exploring bibliometric research in the humanities was to establish the key differences between the humanist’s approach to research and that of the scientist or

social scientist. Many of the early citation studies in the humanities were concerned primarily with making this distinction and developing an accurate picture of the humanist's scholarly attitudes and needs. Stone's 1982 review and Perrault's 1983 appraisal of humanities collection management offered overviews of the picture of the humanities scholar developed by earlier studies. While observing that the term "humanities" is ambiguous, both Stone and Perrault included in the humanities the fields of philosophy, religion, languages and literature, linguistics, music, art and history (Perrault 1983, 2; Stone 1982, 293). According to Stone and Perrault, humanists tend to work alone rather than collaboratively, and their research is characterized by an individual approach, in which "the individual scholar's interpretation is paramount" (Stone 1982, 294). In terms of research method, the humanist is "more attuned to techniques of browsing as an adjunct to the use of bibliographic tools than is any other type of researcher" (Perrault 1983, 4). Both Perrault and Stone observed that the monograph, rather than the journal article, is the dominant form of library material used by scholars in the humanities, although a variety of archival materials, such as manuscripts and photographs, are vital primary sources for research (Perrault 1983, 4-5; Stone 1982, 296-297). Perrault and Stone noted that humanists tend to use materials that are older than those non-humanists use; currency is not a vital characteristic of humanists' materials, and these materials are the "least susceptible to obsolescence" (Perrault 1983, 4). In contrast, the journal article is the dominant publication form for scientists, and, for them, currency is a key issue. For example, a 1999 study of citations in articles published by molecular biologists showed that 91.3% were to journal articles, while 4.0% were to monographs. The age distribution of the citations showed that 69.7% were five or fewer years old, and 87.2% were seven or fewer years old (Hurd, Blečić, and Vishwanatham 1999).

A number of citation studies conducted in the 1980s and 1990s addressed the established characteristics of scholarly communication in the humanities. Four of these studies examined citations in humanities periodicals (Heinzkill 1980; Stern 1983; McCain 1987; and Lindholm-Romantschuk and Warner 1996), three examined citations from monographs (Cullars 1985; Cullars 1992;

Cullars 1998), one examined citations from both (Budd 1986), and one examined requests for periodicals at a research center (Broadus 1989).

All of these studies found monographs to be cited far more frequently than journals. Richard Heinzkill stated in his study of journals devoted to English literary scholarship that 75% of the cited references were to monographs, while 20% were to journals (Heinzkill 1980, 355). Madeline Stern analyzed references from periodical articles on three creative writers and three literary movements. Of the citations in articles about individual writers, 82.7% were to books and 15.1% were to journals; in the articles about literary movements, 78.8% of the citations were to books, and 16.5% were to journals (Stern 1983, 203, 206). Katherine W. McCain's evaluation of citations of secondary sources in the periodicals from the study of the history of technology showed that 65% of the citations referenced monographs and 35% referenced periodicals (McCain 1987, 45). An analysis of citations from journals in philosophy, sociology and economics by Yeva Lindholm-Romantschuk and Julian Warner demonstrated that in philosophy, references to books outnumber references to journals by 7.7 to 1 (88.5% to 11.5%), while in sociology the ratio is 2.6 to 1 and in economics 2.4 to 1 (Lindholm-Romantschuk and Warner 1996, 395).

John Cullars' three studies of references in monographs showed similar results: in monographs in British and American literature, on average, 72.2% of the citations were to books, and 14.5% were to articles (Cullars 1985, 516); in fine arts monographs, 60.6% of the citations were to books and 23.6% were to journals (Cullars 1992, 334); in philosophy monographs, 70.1% of the citations were to books and 13.4% were to serial articles (Cullars 1998, 55). In evaluating a randomized sample of books and articles in American literature, John Budd observed that 64% of the citations were to monographs and 23.0% were to journals (Budd 1986, 192). Robert N. Broadus studied the use of periodicals by humanities fellows at a research center and found that of 11,079 requests for publications made to the center's library, 3,403 or 30.7% of them were for periodicals (Broadus 1989, 124). The higher percentage of periodical use in Broadus's study may be accounted for by a variety of factors; however, relatively speaking, the use of articles was still low. In

all the studies monograph use predominated over every other format, representing between 60.6% and 88.5% of the citations. Clearly, in the humanities the monograph is of "paramount importance," as Cullars put it (1992, 334).

Several of the studies included categories for types of publication other than books or periodicals, and the total for these categories ranged from 2.0% to 15.8%. Manuscripts, dissertations, newspapers, theses, unpublished letters, artifacts, and other miscellaneous sources were included in the categories. No mention was made of electronic sources, even in the later studies.

According to the results of these citation studies, lack of currency does not appear to devalue significantly the intellectual contribution of a work. All but one (Broadus 1989) of researchers in this group examined the date of cited materials, albeit in different ways, and their findings supported Weintraub's humanist perspective that "the most recent bit of scholarship is by no means always the better one" (Weintraub 1980, 27). In most of the studies approximately 20% to 30% of the citations were found to be less than 12 years old, which means that approximately 70% to 80% were more than 12 years old. Lindholm-Romantschuk and Warner found that mean citation rates for monographs cited in philosophy journals peaked between 13 and 15 years (Lindholm-Romantschuk and Warner 1996, 397).

However, calculations of the age of works cited by humanists are somewhat skewed by the inclusion of primary *and* secondary works in the totals, depending on the age of the primary materials cited. For example, using the *Arts and Humanities Citation Index*, Eugene Garfield produced a list of the 100 most cited authors in the humanities in 1977–78. Many of the authors cited were poets, novelists, and other writers likely to have been cited as primary sources (Garfield 1980, 52–53). Garfield found that 10% of the authors lived before 1400 A.D. and 60% were born before 1900 (Garfield 1980, 42). Even though publication dates may not reflect the era in which an author actually lived, one cannot make safe assumptions regarding the obsolescence rate of secondary materials based on data in which primary and secondary sources are not differentiated. Although, as Cullars observes, distinctions between primary and secondary sources may be impossible in philosophy, in other humanities disciplines, the dis-

inction is usually clear (Cullars 1998, 53–54). Only McCain differentiated primary and secondary sources *and* calculated the age of secondary sources separately, a practice that she notes would be more useful to collection managers and researchers concerned with communication among scholars (McCain 1987, 41). Of the total number of references in McCain's study, 46% were to primary sources and 54% were to secondary sources. She found that 33% of the citations of secondary sources from historic articles and 45% of the citations from historiographic articles were ten or less years old (McCain 1987, 44, 46), which are somewhat higher percentages than those in the other studies.

Although they did not calculate the age of the materials separately, both Budd and Stern did evaluate citation of primary versus secondary sources. Budd found that 39.8% of the cited sources were primary and 60.2% secondary (Budd 1986, 195). Stern found that 47.4% of the references in the author studies were to primary sources and 52.6% to secondary sources, while 22.3% of the references in the studies of literary movements were to primary sources and 77.7% were to secondary sources. Stern noted that the difference between the author and literary movement studies could be attributed to differences in the age and nature of the subjects (Stern 1983, 207–08). According to the work of all three researchers, primary materials remain a highly significant part of humanities scholarship.

Three of the studies attempted to identify core publications. McCain defined core monographs as those that were cited in more than two source articles and core journals as those cited four or more times in two or more source articles. She found three core books, which were all general compendia of information in the history of technology, and six core journals reflecting the key subject areas including the history of technology, the history of science and economic history (McCain 1987, 45, 55). Broadus noted briefly that 11.7% of the journal titles satisfied 49% of the requests made by the humanities scholars at the research center (Broadus 1989, 124). Lindholm-Romantschuk and Warner tracked citations in periodicals for a specified group of monographs and concluded that there were core groups of monographs within each of the disciplines they studied. The core monographs were distinguished

by a significantly higher mean citation rate per year than that for the non-core monographs (Lindholm-Romantschuk and Warner 1996, 397). The studies demonstrate that groups of core publications can be identified by various means within subject areas and can contribute to our understanding of a particular subject area.

The characteristics of discourse in the humanities articulated by Perrault and Stone have been confirmed and elaborated by other researchers through citation analysis. Weintraub's 1980 explanation of these research habits and preferences as a function of the humanist's conception of knowledge and more subjective, rather than empirical, approach to study still seems to ring true:

The scientist is motivated by the belief that he may find *the* truth about his object studied. A historian, however, may only hope to write *a* history of his subject and not *the* history of it ... The humanist's work consists less of sequentially interrelated blocks of knowledge than is true of the scientist's work, even if every individual finding may pose a question for the next viewer. Humanists' bodies of knowledge are rarely – like mathematics – sequentially and hierarchically ordered. The complex interrelations of insights – and often they only exist in some minds – form at best reasonable patterns of meaning, plausibly arranged views of data in which, one hopes, the major data at least fit one another. (Weintraub 1980, 30–31)

This study will explore how the humanistic approach to knowledge adapts to today's strained publishing environment.

Methodology

The methodology of sample selection for this study is an extension of the procedure designed by Lindholm-Romantschuk and Warner. They derived a monograph sample for the humanities and social science disciplines from the annual list of outstanding academic books published by *Choice*, a reputable reviewer of books that is commonly used as a reference by academic libraries. Lindholm-Romantschuk and Warner then used the *Arts and Humanities Citation Index* to trace the references made to these books over time in periodical literature and performed their analysis on that set of citations. Unlike citation rates over time in the sciences, which peak early – at year two in the case of the molecular biologists studied in 1999 (Hurd, Blečić, and Vishwanatham

1999) – Lindholm-Romantschuk and Warner's study showed that the first peak in mean citation rate for core monographs in philosophy occurred around five to seven years after publication. As noted, this initial peak was followed by a higher peak around years 13 to 15 (Lindholm-Romantschuk and Warner 1996, 397).

In this study, four books dealing with studies of nineteenth-century literature from the English and American Literature section of the *Choice* list of outstanding academic books for 1995 were selected (Outstanding academic books 1996), and citations of them traced in the *Arts and Humanities Citation Index* from 1995 through 2002. The books were chosen from 1995 in order to take advantage of the potential for an initial peak in citation rates similar to that found by Lindholm-Romantschuk and Warner and to provide a relatively current beginning for the analysis. Those citations were ranked by journal name, and a group of four journals was identified in which the 1995 books were cited. Citations from the most recent year of issues from each of the four journals, along with citations from the four original books, plus citations from an additional four books from the same *Choice* category for the year 2001, were analyzed (Outstanding academic titles 2002). The reasons for this sample selection process were several. Examining citations from both monographs and periodicals offered a more complete picture of scholarly communication in this field. However, choosing books and periodicals at random would create a pool so potentially large and diverse that the possibility of looking at interconnections and communication relationships could be lost entirely. This method of sample selection allowed examination of the communication patterns of scholars who were, in a sense, engaged in scholarly conversation with one another. Analysis of the citations from the additional four books from 2001 added a more current aspect to the monograph analysis. Appendix A is a list of the eight books and four journals that form the basis of this study. Because the sample was not randomized, the results of the study are not generalizable; however, the results provide a current map of part of the territory of scholarly communication in nineteenth-century American and British literary studies.

A total of 6,708 citations were culled from bibliographies or notes of the source monographs

and journal articles and entered in a database. Citations were recorded only the first time they appeared in a source and not subsequent times in the same source. First the citations were classified as references to primary or secondary materials; when the appropriate classification was not apparent in the citation itself, internal evidence from the source was used to clarify the status of the citation. For citations to primary materials, each item's publication format was identified from among the following options: book, periodical article, book article (an article appearing in an essay collection or in a monograph authored by someone other than the author of the article), manuscript, unpublished letter, whole periodical (a reference to a periodical as a whole, rather than to a piece in a particular issue), web site (primary materials made available on-line), or miscellaneous (including such items as county records and films). For citations to secondary materials, the following aspects were identified and recorded: author, date, journal title (if applicable), publisher (if applicable), and publication format. The categories of publication formats included book, periodical article, book article (an article appearing in an essay collection or as an introduction to a primary text monograph), conference proceeding, dissertation or master's thesis, oral presentation, web site (secondary materials made available on-line), or miscellaneous.

The age of each citation was calculated by subtracting the citation publication year from the publication year of the source. This data was used to calculate median and mode citation age and to evaluate the frequency of citation of materials in specified age ranges and publication formats. To assess whether core authors, works, journals and publishers existed, the database was queried to find duplicates in these fields in order to show multiple citations, and this data was used to evaluate frequency distribution. Mean citations per work and per author were calculated, as well. In evaluating core publishers, the queries were limited to works published after 1964, in order to obtain a relatively more recent sample and still include the majority of the citations. Data for the 1995 set of monographs and the 2001 set of monographs was tabulated separately and then combined for presentation. Significant variances between the two data sets occurred infrequently and are noted.

Table 1. Citations of Primary and Secondary Materials

	Mono-graph Sources (N)	Mono-graph Sources (%)	Journal Sources (N)	Journal Sources (%)	Com-bined (N)	Com-bined (%)
Primary	1839	47.8	931	32.5	2770	41.3
Secondary	2008	52.2	1930	67.5	3938	58.7
Total	3847	100	2861	100	6708	100

Table 2. Primary Material Publication Formats

Publication Format	Monograph Sources (%)	Journal Sources (%)	Combined (%)
Book	85.43	67.45	79.39
Periodical Article	6.58	23.42	12.24
Book Article	1.63	4.08	2.45
Manuscript	3.32	0.64	2.42
Unpublished Letter	1.63	2.47	1.91
Miscellaneous	0.54	1.29	0.79
Whole	0.87	0.43	0.72
Periodical			
Web Site	0	0.21	0.07
Total	100.00	100.00	100.00

Results

Tables 1 through 9 present citation analysis results. As shown in Table 1, of the citations from the source monographs and journals, more than half, 58.7%, of the citations are to secondary sources, while 41.3% are to primary sources. A comparison of citations from monograph sources and citations from journal sources shows that authors of journal articles cited proportionally fewer primary materials than did authors of books, at 32.5% as opposed to 47.8%, and secondary source citation is correspondingly higher at 67.5%, as opposed to 52.2%. Both the separate and combined percentages from monographs and journals are roughly similar to those recorded by McCain (1987, 41), Budd (1986, 195), and Stern in author studies (1983, 204).

Table 2 shows the publication formats of cited primary works. The great majority of the references, 79.39%, were to books, with periodical articles a distant second, and other types of materials far less commonly used. Interestingly, periodical articles were cited more frequently as primary material in journal sources and less frequently in monograph sources. Only two references were made to primary materials in electronic format.

Table 3. Secondary Material Publication Formats

Publication Format	Monograph Sources (%)	Journal Sources (%)	Combined (%)
Book	67.58	66.22	66.91
Periodical Article	18.52	17.46	18.00
Book Article	13.15	15.39	14.24
Dissertation/Thesis	0.25	0.52	0.38
Conference Proceedings	0.15	0	0.08
Oral Presentation	0.25	0.21	0.23
Web Page	0.05	0.10	0.08
Miscellaneous	0.05	0.10	0.08
Total	100.00	100.00	100.00

Table 4. Citation Age Distribution

Age Range	Mono-graph Sources (%)	Journal Sources (%)	Com-bined (%)	Combined Cumulated Percentage
5 years or less	15.1	18.3	16.6	16.6
6–10 years	22.4	26.3	24.3	41.0
11–15 years	17.6	19.3	18.4	59.4
16–20 years	11.2	11.7	11.5	70.8
21–25 years	7.2	6.5	6.9	77.7
26–30 years	6.7	4.4	5.5	83.2
31–35 years	4.7	3.3	4.0	87.2
36–40 years	3.2	2.3	2.8	90.0
41–45 years	2.5	1.9	2.2	92.2
46–50 years	1.5	1.8	1.7	93.9
51–75 years	5.1	3.1	4.1	98.0
76–100 years	1.4	0.7	1.1	99.1
101–167 years	1.4	0.4	0.9	100.0
Total	100.0	100.0	100.0	

Table 5. Median and Mode Citation Age

	Monograph Sources	Journal Sources	Combined
Median Citation Age	14 years	12 years	13 years
Mode C Age	6 years	8 years	6 years

Table 3 shows publication formats of cited secondary works. Books again made up the majority of the citations at 66.91%; however, other formats, particularly periodical articles and book articles made up a more significant portion of the results than in primary citations at 18% and 14.24% respectively. Results from monograph sources and from journal sources were similar. As with pri-

Table 6. Citation Age by Publication Format

Age Range	Books (%)	Periodical Articles (%)	Book Articles (%)
5 years or less		19.09	22.84
6–10 years		26.45	26.08
11–15 years		18.25	23.02
16–20 years		9.90	11.15
21–25 years		5.80	5.04
26–30 years		4.10	4.68
31–35 years		2.83	2.34
36–40 years		2.40	1.44
41–45 years		2.83	1.44
46–50 years		2.26	0.36
51–75 years		5.09	1.44
76–100 years		0.71	0.18
101–167 years		0.28	0.00
		100.00	100.00

mary materials, only two citations were made to secondary materials in electronic format.

The percentage of citations to secondary materials in books and periodical articles in this study falls well within the range of results found in previous studies. Only one earlier study included the book article format in its analysis and found that 13.4% of citations in a sample from the field of philosophy were to book articles (Cullars 1998, 55). The 14.24 % found in this study correlates to the earlier figure, and places the book article near the periodical article as an important category of resource material.

Tables 4 and 5 show data from analysis of the age of citations. The peak age range for citations in this sample was 6–10 years, followed by 11–15 years and 5 years or less, respectively. More than 80% of the citations were less than 31 years old; the oldest cited work was 167 years old. The median citation age was 13 years, and the mode citation age was 6 years. The citation age patterns for monograph sources and for journal sources were remarkably similar, varying no more than 3.9 percentage points in any given range, and showing a slightly greater use of older materials in the monograph source sample. The small increase in the 51–75 years age range is due to the widening of the range at this point from 5 years to 25 years. See Graph 1 in Appendix B for an illustration of Table 4.

Another aspect of citation age is the issue of age for materials in given publication formats. Table 6 shows combined age statistics from monograph and journal sources categorized by the

Table 7. Comparison of Citation Age Data with Earlier Studies

Age Range	Budd 1986 Cumulated Percentage	McCain 1987 Cumulated Percentage	Cullars 1992 Cumulated Percentage	Cullars 1998 Cumulated Percentage	Current Study Cumulated Percentage
5 years or less	14.1	15.1	10.1 (1–6 years)	8.1 (1–4 years)	16.6
10 years	29.1	36.0	–	–	41.0
15 years	42.5	–	–	45.1 (14 years)	59.4
25 years	58.9	–	–	63.1 (24 years)	77.7
35 years	–	–	54.1	77.1 (34 years)	87.2

three primary publication formats, books, periodical articles, and book articles. The citation age patterns for these three formats are quite similar (see also Graph 2 in Appendix B), although book articles have slightly larger percentages in the ranges of 5 years or less and 11–15 years.

Direct comparisons of citation age data from this study with that of other studies was difficult to make in many cases because many earlier studies used sources with different dates and assigned citations to fixed date categories (i.e. 1960–1969) rather than calculating citation age. However, direct comparison could be made with four other studies by adapting or calculating cumulated percentages of citations in various age ranges. The results are summarized in Table 7.

The results from this study are similar to McCain’s (McCain 1987). When compared with results from Cullars’ two studies (Cullars 1992, Cullars 1998) and Budd’s study (Budd 1986), the cumulated percentages from this study are significantly higher in each age range.

Tables 8 through 11 deal with the issues of core authors, works, journals and publishers, respectively. The breadth of the academic fields in this study – the coverage of both American and British Literature across the entire nineteenth century (as opposed to one particular period) – created a broadly distributed group of authors and works. No core group of either was evident. As shown in Table 7, only a small group of authors was cited more than once in both the monograph (13.95%) and journal (17.22%) sources, and the average number of citations of authors in

Table 8. Authors and Works Cited Multiple Times

	Monograph Sources	Journal Sources
Authors	Authors Cited Multiple Times (Mean %)	Authors Cited Multiple Times (%)
	1.1	1.1
Works	Works Cited Multiple Times (Mean %)	Works Cited Multiple Times (%)
	2.82	2.36

Table 9. Frequently Cited Journals

Journal	Citations (N)	Cumulated Percentage
American Literature	38	5.4
New England Quarterly	27	9.2
Early American Literature	22	12.3
ELH	20	15.1
American Literary History	18	17.6
American Quarterly	18	20.2
Nineteenth-Century Fiction/Literature	12	21.9
Victorian Studies	12	23.6
Critical Inquiry	11	25.1
PMLA	11	26.7
Representations	11	28.2
American Transcendental Quarterly	10	29.6
Emerson Society Quarterly	10	31.0
The William and Mary Quarterly	9	32.3
The Wordsworth Circle	9	33.6
The Journal of American History	8	34.7
Legacy	8	35.8
Studies in Eighteenth-Century Culture	8	37.0
Studies in Romanticism	8	38.1
The Yale Journal of Criticism	8	39.2

Total citations to journals = 709
Total number of journals cited = 293

each group was 2.54 and 2.82, respectively. The groups of individual works with multiple citations was even smaller, at 1.95% and 5.80%, and mean citations per work were 2.03 and 2.36 respectively.

A core group of frequently cited journals was identified and is shown in Table 9. Of 709 citations to periodical articles, 39.2% were to the top 20 cited journals, which made up 6.8% of the 293 journals cited in the monograph and journal sources. All four of the source journals, *American Literature*, *American Transcendental Quarterly*, *Studies in Romanticism*, and *Victorian Studies*, were among the top 20 cited journals.

Table 10. Frequently Cited Book Publishers, 1965–2001

Publisher	Citations (N)	Cumulated Percentage
Oxford University Press	139	6.2
Cambridge University Press	135	12.3
Routledge	121	17.7
Harvard University Press	104	22.4
Chicago University Press	99	26.8
Cornell University Press	81	30.5
Yale University Press	67	33.5
Clarendon*	60	36.1
Princeton University Press	59	38.8
University of California Press	47	40.9
Knopf	39	42.6
Columbia University Press	37	44.3
Duke University Press	35	45.9
Macmillan	35	47.4
Verso	34	49.0
University of North Carolina Press	33	50.4
Stanford University Press	32	51.9
Indiana University Press	28	53.1
Blackwell	27	54.3
Norton	24	55.4

Total book citations dated 1965–2001= 2230

Total number of publishers in 1965–2001 book citations = 316

*an imprint of Oxford University Press

Core groups of publishers for cited books and book articles were identified and are listed in Tables 10 and 11. The top 20 book publishers for citations dated from 1965 forward represented 6.3% of the publishers cited for works from this time period. The citations to works from these publishers were 55.4% of a total of 2,230.

As shown in Table 11, the top 10 publishers in the book article category for works dated 1965 and after were 6.9% of the total and accounted for 38.7% of the 519 citations in this group. Of the 8 publishers of the monograph sources for this study, 6 were on one or both of these two core publisher lists.

Discussion

Today's humanist and the traditional profile

One of the key issues in understanding the nature of scholarly communication in the humanities in today's publishing environment is the degree to which the work of these scholars fits the profile established by earlier studies of this discourse community. The most salient aspects of the profile are a significant use of primary sources, use of "older" secondary materials, and reliance upon

Table 11. Frequently Cited Book Article Publishers, 1965–2001

Publisher	Citations (N)	Cumulated Percentage
Cambridge University Press	52	10.0
Routledge	30	15.0
Manchester University Press	25	20.6
Oxford University Press	16	23.7
Rutgers University Press	15	26.6
Johns Hopkins University Press	15	29.5
St. Martin's Press	14	32.2
Chicago University Press	12	34.5
Duke University Press	11	36.6
Macmillan	11	38.7

Total book article citations dated 1965–2001 = 519

Total number of publishers in 1965–2001 book article citations = 145

the monograph as a primary vehicle of communication. The results of this study confirm the significance of primary sources. As in earlier studies, just below half of the citations evaluated here were to primary materials. Of these primary materials, 79.39% were items in book format, usually novels or collections of poems, essays or letters, and, with very few exceptions, nearly all of the other primary materials were printed texts, as well. In a few instances, items in other media, such as illustrations or films, complemented the study of the written texts. Unlike in other disciplines, such as art history or chemistry, in the field of nineteenth-century British and American literature texts are the major object of study.

Humanists' use of "older" material perhaps may be better characterized as use of materials from a broad age spectrum. Although the mean age for secondary works cited in the sources for this study was 13 years, the ages ranged from newly published to 167 years. Moreover, the similarities in cumulated percentages of citation age across publication formats (see Table 6 and Graph 2 in Appendix B) suggest that currency does not have more value in one format than in another. The dynamics of the use of new and older sources is well illustrated by an endnote from one of the source articles published in 2001:

For more on the particularity of Whitman's style, see Hollis, *Language and Style* [1983]; and Mark Bauerlein, *Whitman and the American Idiom* (Baton Rouge: Louisiana State University Press, 1991). F.O. Matthiessen's account of the poet's language remains a touchstone here as well (see *The American Renaissance: Art and Expression in The Age of Emerson and Whitman* (New York: Oxford Univ. Press, 1941, 517–625). (Coviello 2001).

In this note, the author cited an 18-year-old source, a 10-year-old source, and a 60-year-old source in order to contextualize the observations he made about a poet's style. Clearly the textual environment in which he worked extended well beyond the last five years, including more recent works as well as older, "touchstone" texts, which articulate significant criteria for value in a literary or critical work. Today's humanist scholars are still engaged in the type of intellectual process Weintraub described, in which they are forming "complex interrelations of insights" that do not come from "sequentially and hierarchically ordered" bodies of knowledge (Weintraub 1980, 31).

However, even though the age spectrum for works in this study is similar to that described in earlier studies, the distribution of citations across the spectrum differs. As noted in the overview of Table 7, the cumulated percentages from this study are significantly higher than those in comparable earlier studies, except McCain's (McCain 1987), the only earlier study that calculated citation age after removing primary sources from the data pool as this study does. The higher currency of materials seen in Table 7 may be attributable only to the removal of the primary sources, and may not necessarily indicate a change in the age of the materials scholars use.

The traditional reliance of the humanist scholar on monographs is confirmed in this study for both primary and secondary materials. The percentage of citations to books for both types of materials was well within the 60.6% to 88.5% range found in earlier studies. The citations to books as secondary materials at 66.91% was at the lower end of the range, which may reflect the separation of primary and secondary sources in calculating format statistics, since the citation rate for books as primary materials was higher (79.39%). Still, the citations to books as secondary materials outnumber the citations to periodical articles by 3.7 to 1. Clearly the monograph continues to be the preferred format. As Collier explains in describing the importance of monographs to research in history, "New interpretations are set against previous work – work that appeared most often, in monographs ... historical arguments depend on a lineage of monographs to provide perspective, relevance, and grounding" (Collier 1999).

Alternative formats

Even given the predominance of the monograph, the role of the scholarly article in humanities research is significant. However, it does not appear to be replacing the monograph in a way congruent with Lindsay Waters' proposition. The combined percentage of citations to periodical articles and book articles as secondary materials is 32.24%, outnumbering formats other than the monograph by a significant margin. The citation of articles by humanists appears to have been relatively consistent over time and has not increased in the sample taken for this study. Although book articles are not tabulated or discussed in any earlier studies except in Cullars' 1998 article, the 18% citation rate for periodical articles in this study is well within the 11.5% to 35% range of citation rates for this type of material found in earlier studies, and comes very close to the median citation rate for earlier studies of 18.25%. The 14.24% rate for book articles is similar to the rate Cullars tabulated from philosophy monographs, 14.5% (Cullars 1998, 55).

Lindholm-Romantschuk and Warner postulated that the reason for the greater impact of the monograph is that in the humanities "a monograph may tend to embody a more significant intellectual contribution and a synthesis of a larger body of research than a journal article" (Lindholm-Romantschuk and Warner 1996, 394). In this study, journal sources cited a smaller proportion of primary material than the monograph sources. The proportion of primary to secondary materials for monograph sources in this study was 47.8% to 52.2%, while the proportion for journal sources was 32.5% to 67.5%. This difference suggests, very generally, that authors of books may be more engaged with primary texts, while authors of articles may be more engaged with critical dialogue. Whether these differences denote different levels of significance in intellectual work is debatable. However, they do point toward differing functions for monographs and articles, and the consistent proportion of citations of monographs to citations of articles over time does not indicate that articles are, as yet, becoming a substitute for monographs in humanities research.

Electronic media have been proposed as another alternative publishing format. Given the 0.07% citation rate for web sites as primary ma-

terials and the 0.08% citation rate for web sites as secondary materials in this study, the answer to the question of whether electronic publishing is becoming an acceptable alternative to print would seem a resounding "NO." However, the issue of electronic media is more complex than these miniscule citation rates would suggest. The report from the 2001 Roundtable on Scholarly Communication in the Humanities and Social Sciences observes that scholars in these disciplines have not rejected "the tools of technology," and "have made substantial use of the Internet's capacity to transform scholarly inquiry," using electronic versions of bibliographies and indices, digitally archived primary materials, electronically available library resources, e-mail discussions, and electronic file sharing to perform research. However, ambivalence about using digital media as a major channel for scholarly communication remains (Knight Higher Education Collaborative 2001, 5).

Of the four citations in this study made to web sites, one scholar made three: two for primary materials, for population statistics and highlights of a television episode, and one for secondary material, a sociological overview of ethnic groups (Rodriguez 2001, 407, 408, 410). The fourth citation was made by a scholar writing about literary anthologies; it was a reference to secondary material in an e-journal (Price 2000, 209). Interestingly, the second author observes in a note, "Given the importance of compilation in electronic media, it may not be surprising that some of the most exciting recent work on the anthology has taken the form of websites ... or at least has been electronically published" (Price 2000 158). The citations from these two sources support the observations about electronic research tools made in the 2001 Roundtable discussion.

A number of electronic publishing projects in the humanities have been undertaken. The University of Wisconsin Library has begun making scholarly works, such as a reproduction of *Chambers's Book of Days* and an elaborately annotated edition of the works of Jonas Hallgrímsson, an Icelandic poet, available through its web site (Knight Higher Education Collaborative 2001, 3-4). The Gutenberg-E History Project, sponsored by the American Historical Association (AHA), the Andrew W. Mellon Foundation, Columbia University Press, and Columbia University Libraries, presents an AHA award for best disserta-

tion within a sub-field and distributes the award-winning works as e-books with access through institutional site licenses (Albanese 2001). These are but two examples. The next logical question is "Why are works produced by such projects not being cited?" Certainly ambivalence about electronic publishing plays a role in the answer to this question. Another part of the answer is that these electronic publishing projects are putting materials into one end of the scholarly communication pipeline, and they simply have not yet emerged from the other. Regardless of publication format, the highest percentage of works cited in the sources evaluated in this study were six to ten years old, and the median citation age was 13 years. Given the relatively recent initiation of electronic publishing projects, it would most likely take several more years for citations to them to be seen in any number.

Core journals and publishers

Another key aspect of the terrain in scholarly publishing in the humanities is the presence of core authors, works, journals and publishers. As noted, significant core groups of authors and works could not be identified because of the breadth of the subject field covered in this study. However, core groups of journals and publishers of books and book articles could be identified. The most influential core group was that of book publishers, in which 20 of 316 publishers published more than half of the 2230 works cited. The top 6.8% of the journals and the top 6.9% of book article publishers published almost 40% of the cited works in their publication formats. The existence of core groups, the presence of all four source journals in the core journal group, and the presence of six of the eight source monograph publishers in one of the core publishers groups reinforces the concept of scholarly discourse as an exchange taking place among members of a defined community.

Of interest is the dominance of university presses within this community. In two of his studies, Cullars categorized his random samples of citations according to type of publisher. He found that in his sample from fine arts monographs, 50.6% of the works cited were published by university presses (Cullars 1992, 332), and in his sample from philosophy monographs, 41.5% of the

works cited were published by university presses (Cullars 1998, 49). Even though the method of evaluating citation information in this study differs from Cullars', it appears that the impact of university presses is even greater in this study's sample. In the combined core group of book and book article publishers identified here (with duplicates eliminated), there were 24 publishers of which 17, or 70.8%, were university presses. Moreover, of the 20 core journals, nine were published by seven university presses, and six of these seven were also on the list of core book and book article publishers. Of the remaining 11 core journals, seven were published by a university or university department, three by scholarly organizations, and one by an independent group with a university affiliation. University presses made up the most dominant sector not only of book and book article publishers, but also of publishers of core journals.

Conclusion

Clearly the scholarly monograph in the humanities is not dead. In the field of nineteenth-century literary studies examined here, scholars still generally fit the traditional profile, using a large number of primary sources, drawing upon secondary sources from a broad age spectrum, and relying heavily on the monograph format, for both primary and secondary materials. Electronic publishing is not considered a viable alternative to print publishing – yet. Articles form an important aspect of literary research, but are not substitutes for monographs. This discourse community is characterized by core groups of journals and publishers, which are dominated by university presses. Moreover, the university press monograph is still arguably the most significant vehicle for scholarly communication in this field.

The importance of the monograph underscores the need for careful evaluation of collection policies in the humanities in order to preserve and to attempt to restore the status of the humanities monograph in collections. More important, however, it suggests the need for ongoing support for efforts to find new ways of publishing monographs and addressing the problematic wider issues in scholarly publishing.

The results of this study also suggest a number of additional opportunities for research. Humanities

scholars have traditionally been portrayed as working alone, unlike scholars in the sciences, in which research is frequently collaborative. Many of the earlier studies of citations in the humanities explicitly exclude co-authored sources and cited works, and the issue of collaboration was not within the scope of this study. However, humanities scholars do co-author texts and cite co-authored texts, and the map of scholarship in this discipline would be enhanced by knowledge of the nature and status of collaborative writing in its several fields. Another issue raised by the analysis here was the status and history of the book article format. As noted, only one earlier study included this format, yet it comprised 14% of the citations in this sample and in Cullars' sample. Some references to book articles describe them as venerable journal articles that have been anthologized; other references to book articles describe them as essays solicited by editors working through informal scholarly networks. The rigor with which book articles are reviewed for publication is not well documented. Information about this significant format would be useful to scholars conducting analysis of humanities research. Finally, as scholarly publishing continues to evolve, citation analysis – and other modes of research that round out the picture of the information needs and uses of humanities scholars – needs to be done again in many fields in order to monitor how publishing and scholarship transform each other in the humanities.

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Appendix A

Source monographs and journals

1995 Monographs

- Baym, Nina. 1995. *American women writers and the work of history, 1790–1860*. New Brunswick, NJ: Rutgers University Press.
- Copeland, Edward. 1995. *Women writing about money: Women's fiction in England, 1790–1820*. Cambridge: Cambridge University Press.
- MacDonald, Robert H. 1994. *The language of empire: Myths and metaphors of popular imperialism, 1880–1918*. Manchester: Manchester University Press.
- Richardson, Robert D., Jr. 1995. *Emerson: The mind on fire*. Berkeley: University of California Press.

2001 Monographs

- Giles, Paul. 2001. *Transatlantic insurrections: British culture and the formation of American literature, 1730–*

1860. Philadelphia: University of Pennsylvania Press.

Harper, Lila Marz. 2001. *Solitary travelers: Nineteenth-century women's travel narratives and the scientific vocation*. Madison, WI: Fairleigh Dickinson University Press.

McIntosh, James. 2000. *Nimble believing: Dickinson and the unknown*. Ann Arbor: University of Michigan Press.

Price, Leah. 2000. *The anthology and the rise of the novel: From Richardson to George Eliot*. Cambridge: Cambridge University Press.

Journals

American Literature. 2001. Volume 73, numbers 1–4.

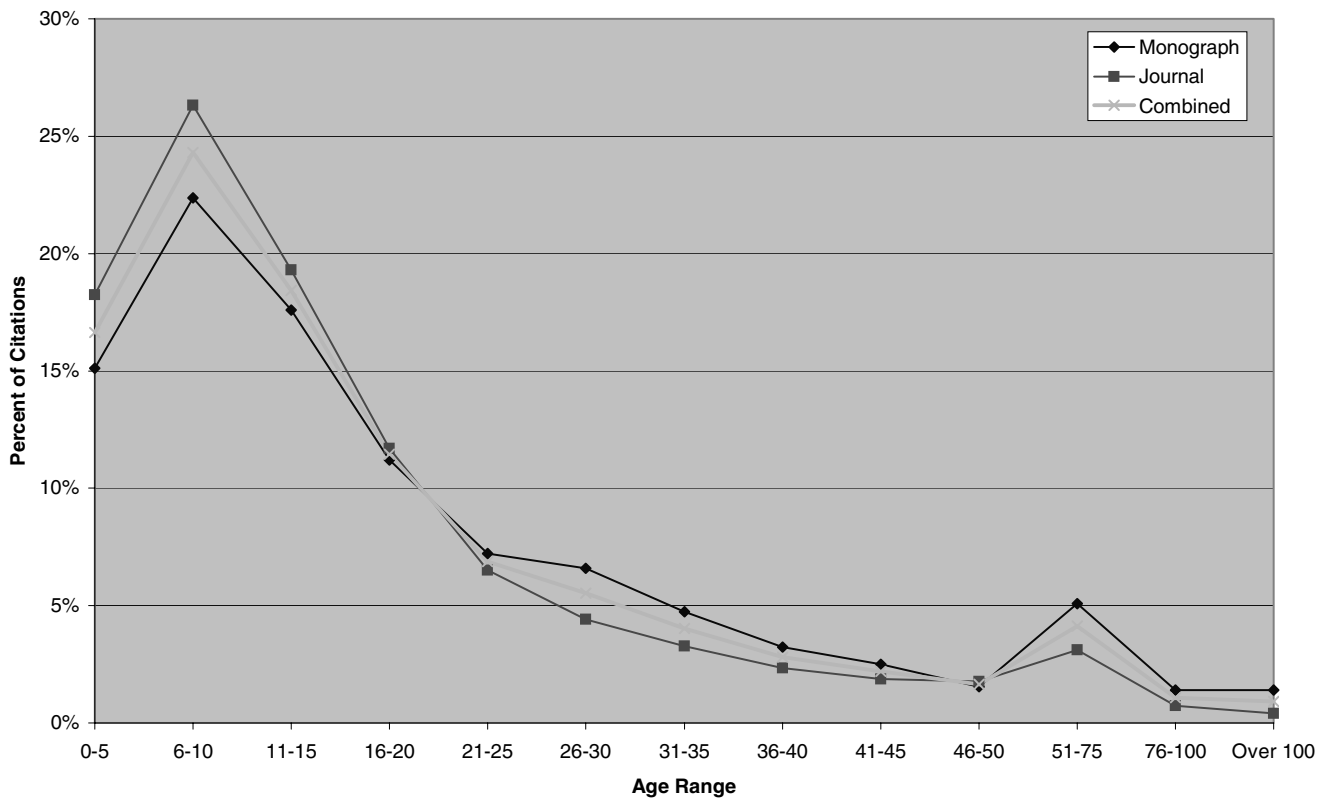
American Transcendental Quarterly. 2001. Volume 15, numbers 1–4.

Studies in Romanticism. 2000–2001. Volume 39, number 4. Volume 40, numbers 1–3.

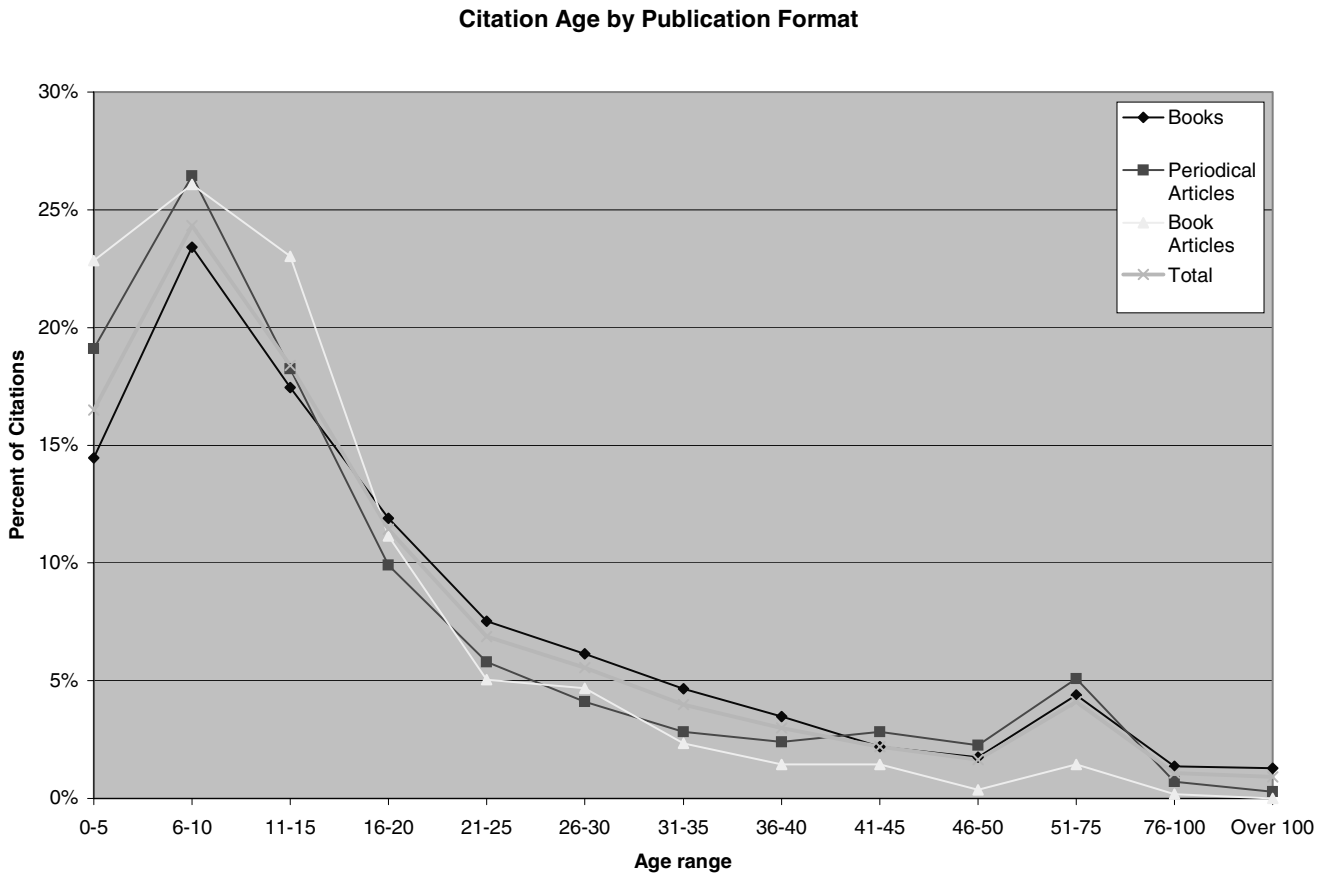
Victorian Studies. 2000–2001. Volume 43, numbers 1–4.

Appendix B

Graph 1. Citation Age Distribution



Graph 2: Citation Age by Publication Format



Editorial history:
Paper received 7 May 2002;
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