Measuring the Results of Science Investments

Julia Lane

Overview

- Why good measurement matters
- Why measurement is hard to do
- Designing a better system: the nascent approach in the US
 - The vision
 - What has been done
 - The pitfalls
- What might be done internationally

Why good measurement matters

Good measurement matters because it's the right thing to do



Good measurement matters because

Stakeholders demand it





Spending on science is one of the best ways to generate jobs and economic growth, say research advocates. But as **Colin Macilwain** reports, the evidence behind such claims is patchy.

Good measurement matters because

The alternative is worse





Why good measurement is hard to do

The conceptual framework is complex

- Production function framework great for aggregate impacts
 - source of result that more than 3/4 of post-1995 increase in productivity growth can be traced to science investments
- At micro level not so clear
 - Discovery innovation highly nonlinear
 - Unit of analysis
 - Input measures
 - Dependent on organizational systems
- Outcome measures
 - Scientific; Economic; Social
- Fundamental challenge: Establishing counterfactuals
 - Selection bias
 - Random assignment not an option

And the data don't exist

The ITG undertook a literature review to determine the state of the science to date. A questionnaire was also circulated to Federal agencies to ascertain what methods are currently in use for programmatic investment decision making, as well as to ask what tools and resources are needed by Federal agencies that are currently unavailable. The ITG found that:

- There is a well developed body of social science knowledge that could be readily applied to the study of science and innovation.
- Although many Federal agencies have their own communities of practice, the collection and analysis of data about the science and scientific communities they support is heterogeneous and unsystematic.
- Agencies are using very different models, data and tools to understand their investments in science and technology.
- The data infrastructure is inadequate for decision-making.

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The data don't exist for good reason

- No systematic documentation of inputs (who is supported by science funding)
- No systematic links between inputs and outputs
- Heavy reliance on manual reporting
- No systematic ability to capture outputs and outcomes beyond the period of an award
- Balkanized agency systems => impossible to gency overview of science investments
- => The data infrastructure is inadequate for decision-making

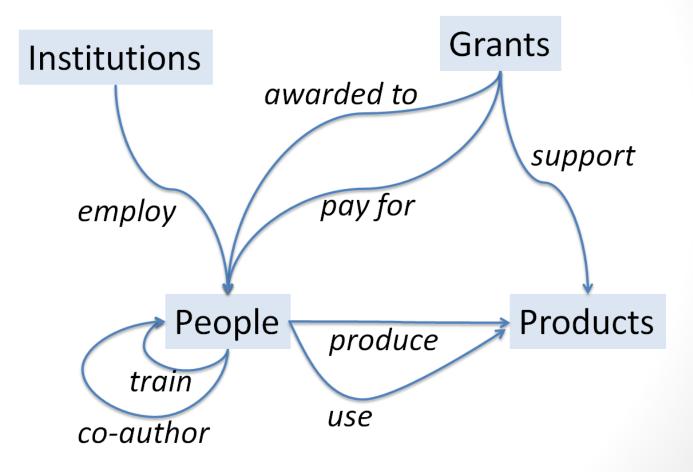


Designing a better system

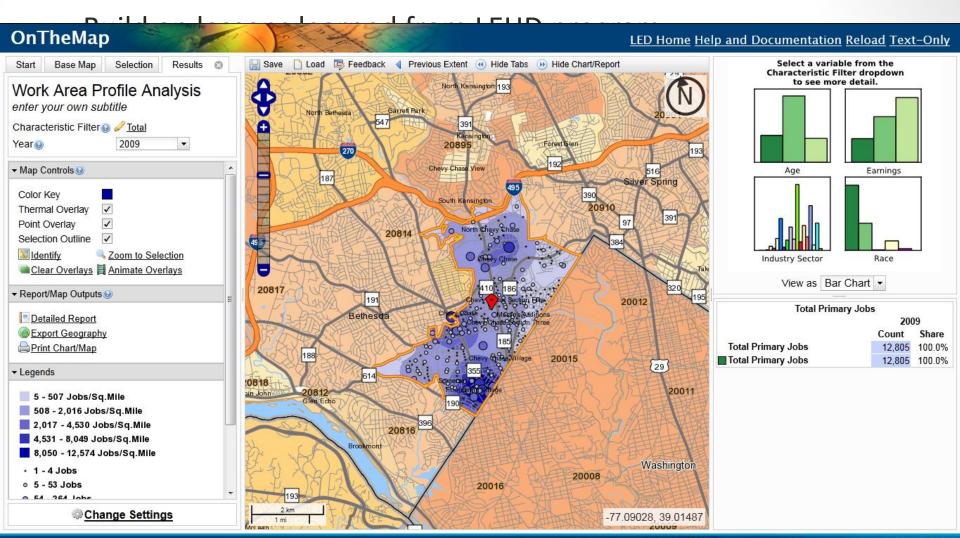
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What is needed

Automatically capture data about the conduct of science – inputs, outputs and the connections between the two



Designing a better system: based on collaboration



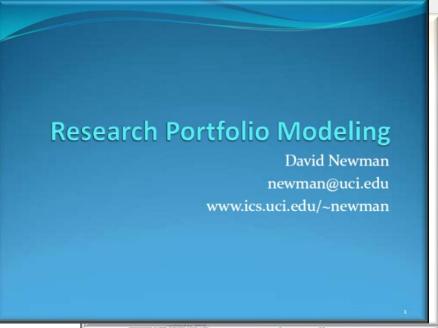
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Designing a better system: based on science

Patent Network Dataverse Lee Fleming Harvard http://dvn.iq.harvard.edu/dvn/dv/patent

COMETS (Connecting Outcome Measures in Entrepreneurship Technology and Science): Lynne Zucker and Michael Darby UCLA <u>http://www.kauffman.org/comets</u>

Topic Modeling: David Newman UCI



Designing a better system: based on eScience

Use new cybertools e.g. use topic modelling and natural language processing to process massive amounts of text

Use new ways of structuring data e.g. graph databases

Use new approaches to link individuals with output e.g. webscraping

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The Nascent System in the U.S.

- The vision
- What is being done
- The pitfalls

The vision

•Level I: Who is employed by science funding?

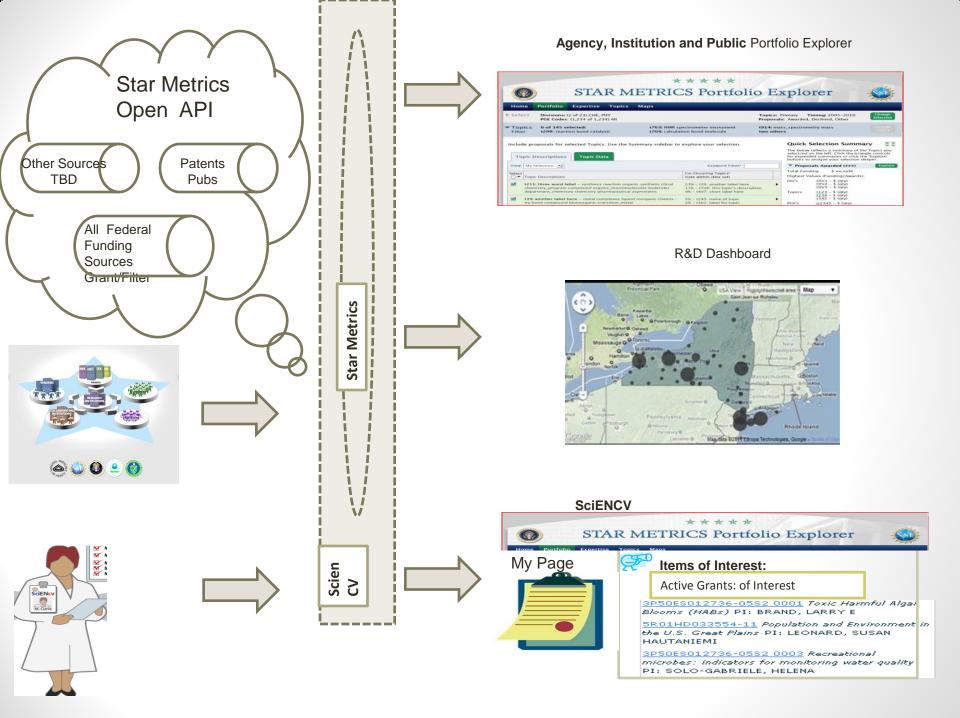
- •Current jobs
- •Future workforce
- •Level II: What are the results of science?
 - scientific knowledge (such as publications and citations..)
 - economic growth (through patents, firm start ups and other measures...)
 - workforce outcomes (through student mobility and employment..)
 - social outcomes (such as health and environment...)

What has been done: STAR METRICS



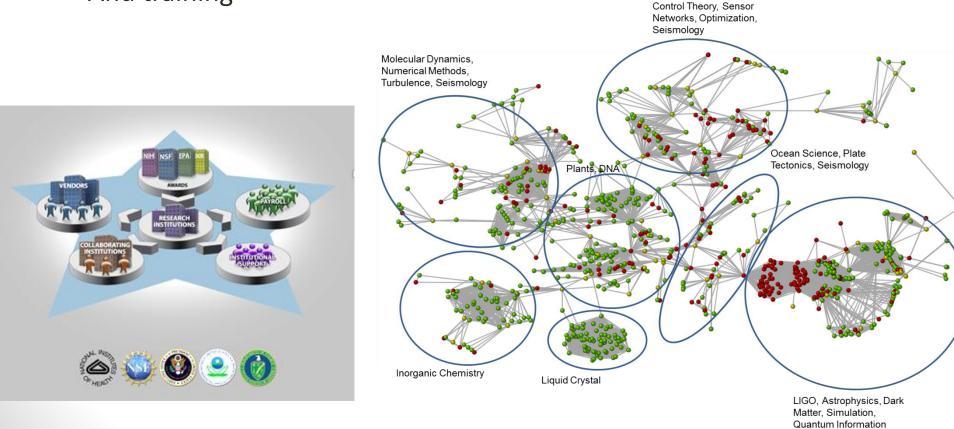
Voluntary partnership between science agencies and research institutions to document the outcomes of science investments to the public

- OSTP initiative partnering with NIH, NSF, DOE and EPA; USDA has agreed to join.
- 85 research institutions participating ~ 50 % of NSF and NIH portfolio



Level I: Who is Supported by Science Funding

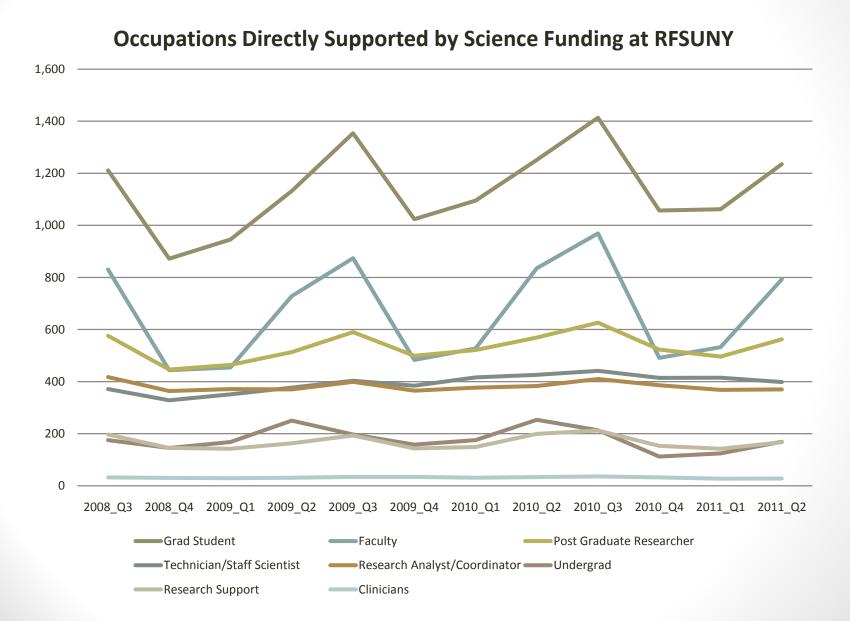
- Automated reporting from financial systems
- Documenting jobs
- And training



Science as an export industry

Number of active Federal science awards	1,447
Jobs	
Direct Payroll FTEs	
Counts	2,143.7
Direct Payroll Individuals	
Counts	7,444
Direct Jobs through Vendors, Sub-Award Recipients,	
Institutional Support	
Counts	2,029.2

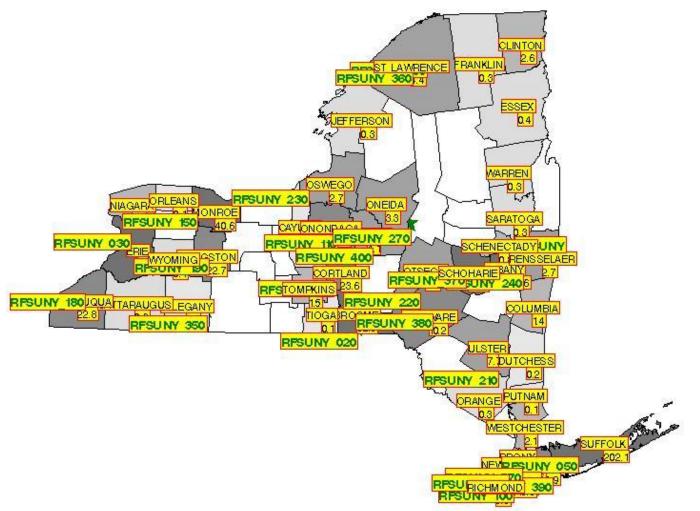
Jobs at all levels



Jobs across the state

Local Economic Impact

for The Research Foundation of State University of New York Direct Jobs though Vendor, Subawards, Subcontracts, Institutional Support

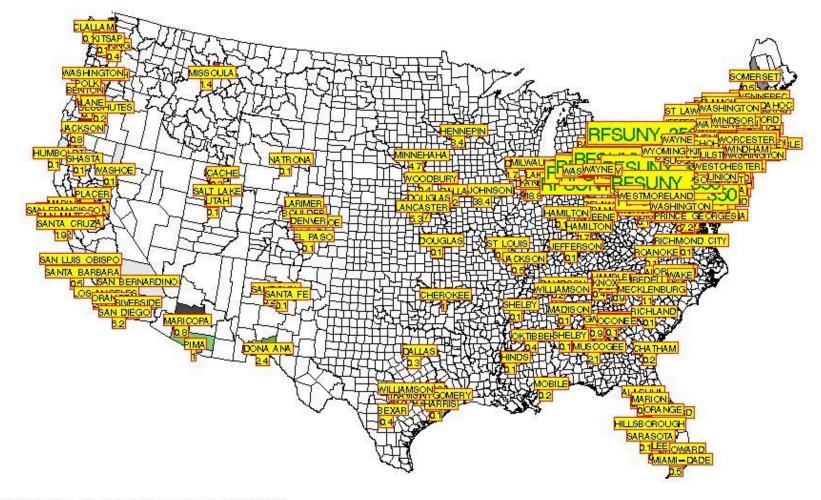


Source: STAR Metrics - Jobs funded by all sources (2011 Q2)

And jobs across the nation

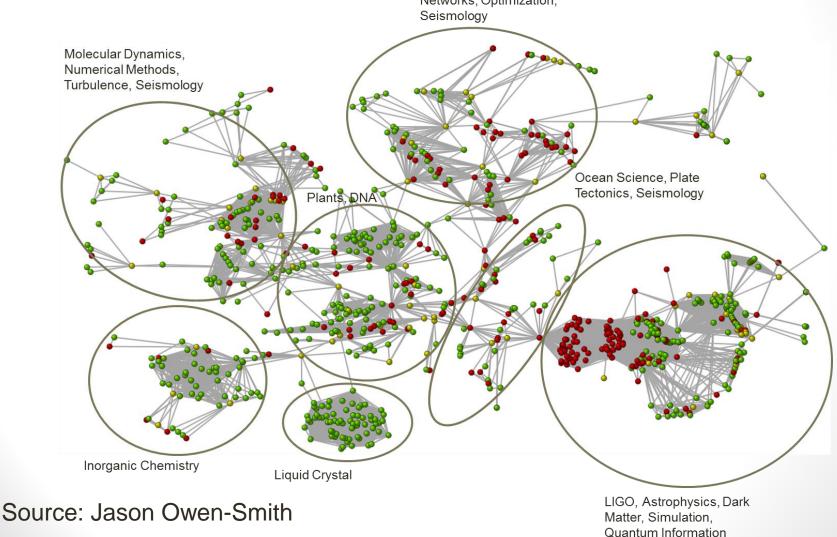
National Economic Impact

for The Research Foundation of State University of New York Direct Jobs though Vendor, Subawards, Subcontracts, Institutional Support



Source: STAR Metrics - Jobs funded by all sources (2011_Q2) Note: Map excludes Alaska, Hawaii, and Puerto Rico

Training: A private University's science staff paid by science agency grants, Q3 2010 Control Theory, Sensor Networks, Optimization,



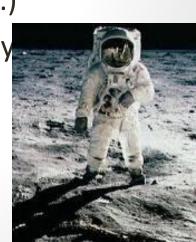
Level II: Approach

- A platform that can link inputs and outputs/outcomes using automated approaches
- Leverage existing data and knowledge (results of \$60 million in investments)
- Collaborative development of data infrastructure on broad categories of impact:
 - knowledge (e.g. publication, citations...)
 - economic (patents, spin off companies...)
 - workforce

(employment, student mobility...)

• social

(e.g. health, environment, energy



Automated capture of scientific

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topics

NSF

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proposal

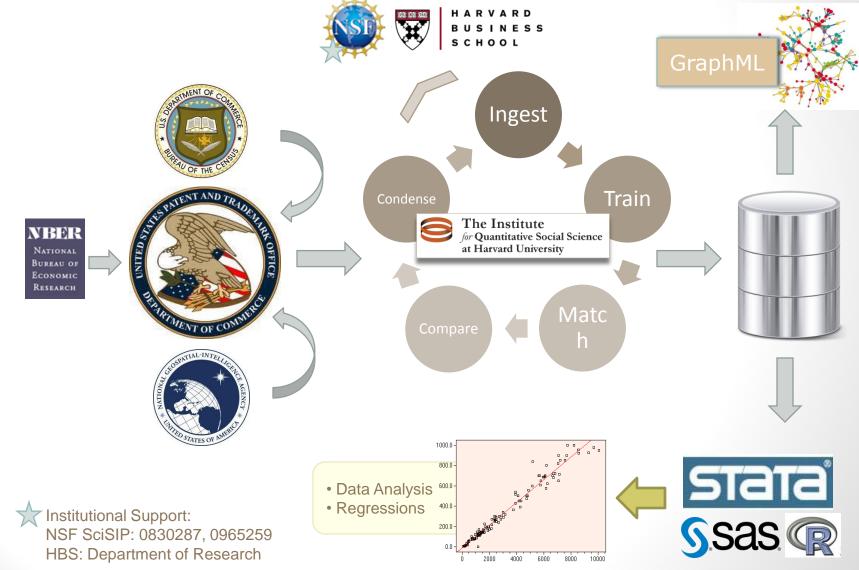
Topic Model: - Use words from (all) text - Learn T topics Automatically learned topics (e.g.):

- t6. conflict violence war international military ...
- t7. model method data estimation variables ...
- t8. parameter method point local estimates ...
- t9. optimization uncertainty optimal stochastic ...
- t10. surface surfaces interfaces interface ...
- t11. speech sound acoustic recognition human ...
 t12. museum public exhibit center informal outreach
 t13. particles particle colloidal granular material ...
 t14. ocean marine scientist oceanography ...

t49 t18 t114 t305

Topic tags for each and every proposal 27

Automated capture of economic outcomes



What is being done: Specifics

- Science based Portfolio Characterization: Portfolio Explorer
- Place based Portfolio Reporting
- Reduced scientist burden: SciENCV platform

Key principles

- Build an open, transparent and automated system
- Facilitate the building of apps

Science Based Portfolio Characterization

- For agencies
 - Gap analysis: What is being funded in which areas?
 - Expertise Locator: Who is doing research in which topics?
- For Researchers
 - Funding information: What programs are funding research like mine?
 - Expertise Locator: Who else is doing research like mine?
- For VPs for Research and their Institutions
 - Gap analysis: Where are my institutional research strengths?
 - Expertise Locator: How can I connect researchers?

Portfolio Characterization

0 000 http://solmedstage.com - Star Metrics **** STAR METRICS Portfolio Explorer **Portfolio Viewer Expertise Locator** Home **People Locator** Institutions Welcome NSF program managers have asked for tools to help them describe and assess their portfolios. This site provides three tools that help do this:

1. Portfolio Explorer O STAR METRICS AR MUTRICS :

This tool describes the structure of divisional and program investments by topic. It has several views: proposals, awards, researchers and institutions. Managers can examine summary statistics for selected areas or drill down to the award-level by clicking the "detailed view" buttons. Data can be printed or exported for additional review and analysis - particularly to compare different investments over time.

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This tool can be used to help find experts in particular topics. Search for PIs who have received awards in specific investments by institution and an earlier version of topics. topic areas over time, as well as co-PIs. Future applications It can be used to respond to requests on what research will permit managers to search for reviewers based on the has been funded in what areas, as well as to understand topics associated with incoming proposals.

0 STAR METRICS IN

3. Institutional Overview

This tool provides a geographic overview of NSF (and NIH) the geographic dimensions of investments.

The approach presented here makes extensive use of topic modeling (for more information see rd-dashboard.nitrd.gov/topic modeling.html). This approach provides a powerful and flexible framework for representing, summarizing and analyzing the contents of large document collections. As the tools develop, we will produce more intuitive summaries of the topics; in this beta version we simply provide the raw "bag of words" derived from using natural language processing on all NSF proposals received between 2007-2011.

Describing the Chemistry Portfolio

6		ST	AR MET	FRICS	Port	tolio I	Ex	plorer	
Но	me	Portfolio Viewer	Expertise Loc	ator Peo	ple Locator	Institutio	ons		
V	iewing:	Divisions: CHE	Timing: 2010 - 2010	Show: Award	ed, Proposed, D	eclined	Το	pics: Primary Topic C	only Change
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Sho		entries			Search:			The below reflects a	on Summary summary of the Topics you Click the links below to
Select		Topic		Proposals	Ŧ	Funding	\$	analyze your Topic se	
	product alkene C	scheme complexe ole _H reactivity carbene (alyst ligand chemistry fin activation catalytic organometallic species	47 / 52.27%	\$ 14.	10M		Divisions/Topics	1/3
	aryı aikyi	phosphine						Proposals	110 DETAILED VIEW
		95 : molecule vibration	nal dissociation ical gas_phase product	32 / 34.06%	\$ 12.	78M		Funded Date first	\$36,873,552 2010
	excitatio	n excited molecular s	pectroscopy transition reaction neutral atom					Date last	2010
	Topic 76	3 : NMR spectromete	r instrument MHz Bruker	31 / 80.39%	\$ 10	00M		Top Topic (#)	299 (47)
	probe sti sample \	ructure nmr_spectrosc /arian synthesis synthe	trometer instrumentation opy acquisition organic etic biochemistry					2nd Topic 3rd Topic	495 (32) 763 (31)
	high_field	1						Top Topic (\$)	299 (\$14,097,314)
		35 : complexe ligand o		29 / 58.15%	\$ 6.9	7M		2nd Topic 3rd Topic	495 (\$12,780,112) 763 (\$9.996,126)
		y species transition_m mplexe reactivity syn						Sid Topic	705 (39,990,120)
	redox at metal_io	- /	nthesis reduction bond					Awarded	95
	metal_101							Declined	15
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Describing the Chem Portfolio

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lect	Topic	Proposals	Funding	\$	Funding Rate	\$	selected on the left. analyze your selectio	. Click the buttons below to n deeper.
7	Topic 763 : NMR spectrometer instrument	132	\$ 6.81M		10.48%		Divisions/Topics	1/4
	MHz Bruker mhz_nmr chemistry NMR_spectrometer instrumentation probe		0.0111		10.100			
	structure nmr_spectroscopy acquisition organic						Proposals	319 DETAILED VIEW
	sample Varian synthesis synthetic biochemistry						Funded	\$27,443,128
	high_field						Date first	2010
1	Topic 914 : mass_spectrometry mass proteomic	70	\$ 4.20M		9.38%		Date last	2010
	protein peptide mass_spectrometer MALDI	/9	\$ 4.20M		9.38%			
	ionization identification sample ESI electrospray						Top Topic (#)	763 (132)
	TOF tandem proteome instrument MALDI_TOF ion_trap lc_m peak						2nd Topic	914 (79)
	ion_trap ic_m peak						3rd Topic	495 (60)
2	Topic 495 : molecule vibrational dissociation	60	\$12.86M		45.00%		Top Topic (\$)	495 (\$12,861,805)
_	rotational collision species radical gas_phase						2nd Topic	763 (\$6 808 476)
	product excitation excited molecular spectroscopy transition energy PES photodissociation reaction neutral atom						3rd Topic	914 (\$4,199,300)
	·	40					Researchers	
	Topic 284 : surface adsorption STM XPS adsorbed adsorbate desorption UHV atom metal	48	\$ 3.57M		13.99%			
	spectroscopy coverage sample vacuum substrate surface_chemistry surface_science monolayer						Institutions	274 DETAILED VIEW
	bulk reactivity						Declined	225
	Topic 956 : HPLC sample analytical extraction	42	\$ 0.93M		6.57%		Awarded	72
	gc_m product column extract mass_spectrometry chemical identification mass		0.000		0.5776		Other	22
	peak liquid_chromatography detector instrument chromatography standard Agilent solvent						By Division	
_							By Qty.	
	Topic 548 : vibrational water mode spectroscopy	35	\$ 4.31M		25.09%		CHE	319
	spectra proton SFG frequency water_molecule coupling vibration dynamic molecular molecule						By Award Amo	unt
	hydration hydrogen_bond motion liquid solvent H2O						CHE	\$27,443,128
	Topic 250 : Raman Ser raman_spectroscopy	26	\$ 1.52M		14.39%		By Year	
	Raman_scattering raman_spectra enhancement	20	\$ 1.52M		14.59%		By Qty.	
	signal sample laser spectra spectroscopy						2010	319
	excitation vibrational spectrum molecule spectroscopic chemical spectrometer peak						By Award Amo	unt
	resonance						2010	\$27,443,128

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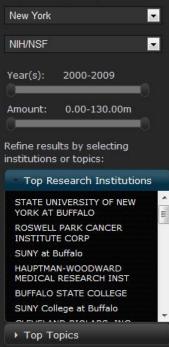
Place Based Portfolio Reporting: R&D Dashboard

- For stakeholders
 - What research has been funded in my state/city?
 - Who are the researchers doing the research?
 - What are the results?
- For agencies/research institutions
 - Automated reporting of research portfolio
 - Automated documentation of institutional contribution
- For researchers
 - Minimal burden
 - Increased visibility to agencies, peers and stakeholders

Place-based investments

Grants Awarded

Discover Grants by clicking on map or using the options below.



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Year •	Grant Number ≎	Federal Agency \$	Grant Amount	Receiving Institution	\$
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2009	0922992	NSF	\$1,096,411	SUNY at Buffalo	
2009	5P01CA126804-03	NIH	\$1,070,430	ROSWELL PARK CANCER INSTITUTE	
2009	0855637	NSF	\$910,000	SUNY at Buffalo	
2009	0915131	NSF	\$845,796	SUNY at Buffalo	

http://rd-dashboard.nitrd.gov/investment.html#

Lakes O Peterborough O Kir 0 . Open in new window 6 USA SPENDING S Skip Navigation U. S. Department of Health & Human Services NATIONAL INSTITUTES OF HEALTH Research Portfolio Online Reporting Tools (RePORT) REPORTS, DATA AND ANALYSES OF NIH RESEARCH ACTIVITIES **RePORT EXPENDITL** FREQUENTLY REQUESTED REPORTS REPORT CATALOG CATEGORICAL SPENDING RePORTER GLOSSARY HOME Home > RePORTER > Project Information **MyRePORTER =** Project Information @ BAC 1S10RR025117-01 SIMILAR PROJECTS DESCRIPTION DETAILS RESULTS HISTORY SUBPROJECTS Project Number: 1S10RR025117-01 Contact Principal Investigator: CANTY, JOHN PET/CT FOR MULTIDIMENSIONAL TRANSLATIONAL CARDIOVASCULAR STATE UNIVEF Title: Awardee Organization: RESEARCH Abstract Text: DESCRIPTION (provided by applicant): Cardiovascular molecular imaging is a rapidly emerging area offering considerable promise for the evaluation of patien proof of concept studies using novel imaging agents and micro PET have been conducted in mouse models of heart disease, their translation to humans and since the human heart is 2000 times larger and dosimetry and tracer localization are considerably different. This proposal requests support to advance prec molecular imaging by acquiring a hybrid positron emission tomography (PET) and multidetector computed tomography (CT) scanner dedicated to research. It investigational imaging programs of seven major users (supported by 9 RO1 awards and 2 K awards focused on cardiovascular imaging). The proposed Gt scanner that will permit preclinical studies of vascular and myocardial structure coupled with molecular imaging using novel cyclotron generated radiopharm Center for Positron Emission Tomography. The Center for Research in Cardiovascular Medicine and Toshiba Stroke Center at the University at Buffalo are interesting of the center of the centers that are recognized leaders in translational cardiovascular imaging. NIH supported studies routinely employ advanced cardiovascular imaging in porc and large animal models of stroke. Besides basic mechanistic research, active programs exist in therapeutics including vascular stents, in vivo gene transfe (mesenchymal stem cells and endothelial progenitor cells). There is also a large ongoing NIH supported clinical trial to determine if PET can predict the risk of quantifying the extent of hibernating myocardium and imaging inhomogeneity in sympathetic innervation using 11C-Hydroxyephedrine (Prediction of Arrhythm Tomography). The combined institutional expertise in large animal disease models including hibernating myocardium, coronary disease, cerebrovasular disea patient oriented research in cardiac PET, quantitative image analysis and radiochemistry synthesis are unique strengths of this investigative team. The propo two teams will facilitate rapid advancements in the field of molecular imaging as applied to the cardiovascular system. PUBLIC HEALTH RELEVANCE: Heart di causes of death and disability. The proposed PET/CT system will advance bench to bedside research of potentially clinically relevant therapies by focusing (

2009 1R01MH083692-01A2 NIH \$712,542 STATE UNIVERS

STATE UNIVERSITY OF NEW YOR BUFFALO

Place based results

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Patents Awarded Discover awarded Patents by dicking on map or using the options below.	Patent Applications	Algonquin Provincial Park	Ottawa USA View Highlight selected at Saint-Jean-sur-Richelieu	eako Map ▼ Mai	
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07339066	NIH	THE RESEARCH FOUNDATION OF STATE UNIVERSITY OF NEW YORK	Intermediates for the synthesis of
07432376	NIH	RESEARCH FOUNDATION OF STATE UNIVERSITY OF NEW YORK THE	Tropane prodrugs with central nerv
07501453	NIH	THE RESEARCH FOUNDATION OF STATE UNIVERSITY OF NEW YORK	Cyclopropanes with central nervou
07550588	NIH	THE RESEARCH FOUNDATION OF STATE UNIVERSITY OF NEW YORK	Homotropanes with central nervous
07615653	NIH (Funded PI)	THE RESEARCH FOUNDATION OF STATE UNIVERSITY OF NEW YORK	Anti-tuberculosis taxane compound
07402817	NIH (2 degrees)	THE RESEARCH FOUNDATION OF STATE UNIVERSITY OF NEW YORK	System and method for cross-talk detector
07474776	NIH/NSF (Funded PI)	THE RESEARCH FOUNDATION OF STATE OF NEW YORK	System and method for performing examination of objects, such as int
07477768	NIH/NSF (Funded PI)	THE RESEARCH FOUNDATION OF STATE UNIVERSITY OF NEW YORK	System and method for performing examination of objects, such as int
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Home Quick Advanced Pat Num Help Bottom View Cart Add to Cart Images	
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United States Patent	
Davies	7,432,376 October 7, 2008
Tropane prodrugs with central nervous system activity	
Abstract	
Disclosed are tropane-based prodrug compounds bearing fatty ester and aromatic substituents. The c for alleviating symptoms of CNS disorders.	ompounds can be used
Inventors: Davies; Huw M. L. (E. Amherst, NY) Assignee: Research Foundation of State University of New York, The (Amherst, NY)	
Assignee. Research roundation of state University of New York, The (Amnerst, NT) Appl. No.: 11/716,817	
Filed: March 12, 2007	
Related U.S. Patent Documents	-

Reducing Scientist Burden

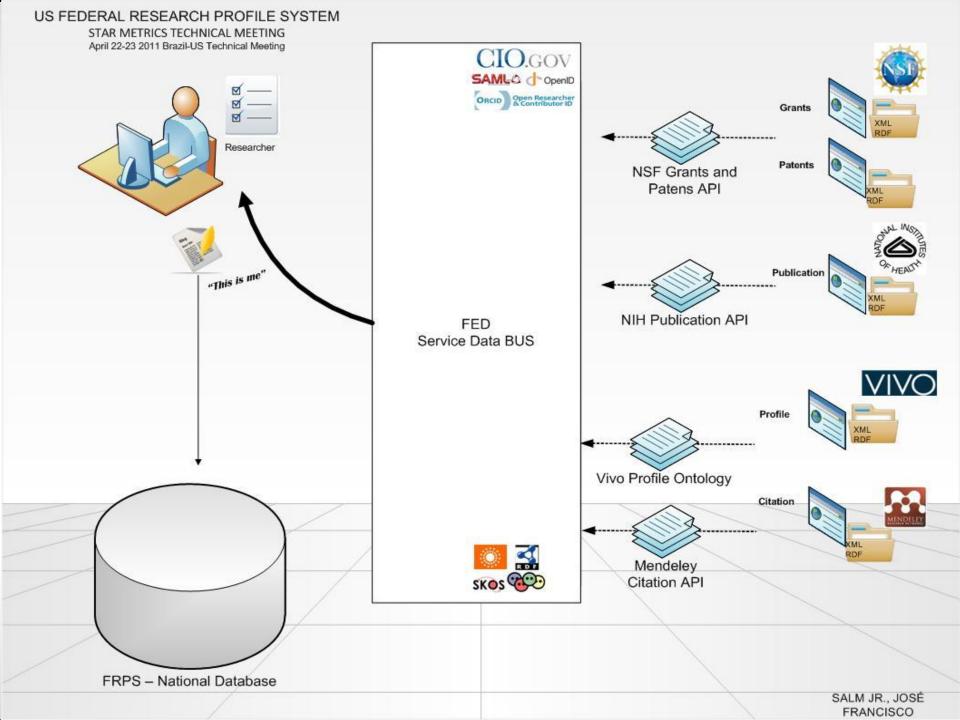


HOME ABOUT HOW TO PARTICIPATE CONTACT US

SciENCV is a <u>Sci</u>ence <u>Experts Network and CV</u> system intended to create value for researchers, agencies and research institutions by providing an automated approach to collecting information on researchers and their accomplishments. This system will:

Streamline application preparation and reporting Provide a resource for locating scientific expertise Support analysis of results of research investments

SciENCV is driven by two working groups from the National Science and Technology Council's Committee on Science: Research Business Models and Science of Science Policy, based on input from the research community.



SciEN CV Platform Next steps

- Federal Demonstration Partnership Pilot
- Lattes <u>http://www.slideshare.net/rpacheco/sti-national-information-system-platform-the-brazilian-case-of-lattes</u>
- <u>http://www.slideshare.net/rpacheco/sti-information-systems-brazilian-initiatives-frequently-asked-questions</u>
- ORCID grant

The pitfalls

- Need to paint full picture of scientific outcomes
 - => engagement of scientific community critical
 - => Open and transparent process
- Data misuse
 - => careful presentation of results
- Data quality
 - => full collaboration
 - => extensive use of pilots
- Confidentiality
 - => researcher, institution and agency controls

Ultimate Goals

- Fully fledged academic field
- Fully fledged analytical tool set in government
 - Science policy in same analytical tier as tax policy
- Common empirical infrastructure available to all universities and science agencies to quickly respond to State, Congressional and OMB requests
- Common scientific infrastructure for researchers to develop and study science policy

Thank you

• Comments and questions?