THE FINANCING AND ALLOCATION OF RESEARCH: DIRECTIONS, INDICATORS AND INCENTIVES

Julia Lane American Institutes for Research University of Strasbourg University of Melbourne

- Motivation
- Conceptual Framework
- Empirical Framework
- Directions, Indications and Incentives
- Next steps

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Key questions

EDITORIAL

Wanted Retter Renchmarks

How much should a nation spend on science? What kind of science? How much from private versus public sectors? Does demand for funding by potential science performers imply a shortage of funding or a surfeit of performers?.....A new "science of science policy" is emerging, and it may offer more compelling guidance for policy decisions and for more credible advocacy

most effective in the rapidly changing global environment for science. Here, ideas diverge.

Take the issue of the technical workforce. Sharply differing opinions exist regarding the production of U.S. scientists to meet possible impending shortages.* The differences turn on the interpretation of "benchmark" data regarding the numbers of degree holders produced in the United States and other countries, particularly. China and India. In the latter countries, the rates of growth in the numbers of scientists are high, although actual numbers are small relative to those in the United States. Advocates for increased production of U.S. scientists point to our low graduation rates, whereas critics emphasize limited short-term job opportunities for graduates and postdocs. Resolution of this issue requires a broader understanding of socioeconomic factors in a number of nations that would allow us to attach probabilities to different future scenarios. Optimal strategies for large mature economies such as that of the United States will doubtless differ from those for smaller or developing economies. Here, as elsewhere in policy debates,

We spend a lot



NIH research is a powerful economic engine, investing more than \$31 billion annually in medical research for the American people. In fiscal ye 2011, NIH-funded research supported an estimated 432,000 jobs all acro the United States.

FY 2012 and FY 2013 figures are latest estimates. 1976-1994 figures are NSF data on obligations in the Federal Funds survey. © 2012 AAAS

Source: AAAS Report: Research & Development series.

The economic impact of NIH does not end there. It has been estimated that every \$1 of NIH funding generates about \$2.21 in local economic growth. Also, discoveries arising from NIH-funded research serve as a foundation for the entire U.S. biomedical industry. Long considered the world's leader



in innovation, that vital sector exports an estimated \$90 billion in good: and services annually and employs 1 million U.S. citizens with wages totaling an estimated \$84 billion.

Consider the economic payoff of just one NIH-supported research initiative: the successful effort to read all the letters in the human DNA instruction book. The U.S. government's \$4 billion investment in the Human Genome Project spurred an estimated \$796 billion in economic growth from 2000-2010—a 141-fold return on investment, after adjustir for inflation.



"I THINK YOU SHOULD BE MORE EXPLICIT HERE IN STEP TWO,"

Note...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.



THE SCIENCE OF SCIENCE POLICY: A FEDERAL RESEARCH ROADMAP

An Opportunity



- ... STAR METRICS represents a valuable step toward developing detailed, broadly accessible and nationally representative data that would allow systematic and scientific analysis of the organization, productivity, and at least some of the effects of federally funded research [but] . .
- 1. ... STAR METRICS data are largely inacessible ...
- 2. . . . data collection could usefully be expanded to include more universities and other performers . . .
- 3. ... STAR METRICS data would be more useful if steps were taken to ensure the data can be flexibly linked to other data sources [such as] those maintained by the federal statistical and science agencies ... as well as proprietary data sources ... Creating a robust and linkable dataset may require the addition of individual and organizational identifiers.

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Impact Evaluation in Practice



Paul J. Gertler, Sebastian Martinez, Patrick Premand, Laura B. Rawlings, Christel M. J. Vermeersch

THE WORLD BANK

Major use: Evaluation

- What is the impact or causal effect of a program on outcome of interest?
- Is a given program effective compared to the absence of the program?
- When a program can be implemented in

ays, which one is the most



A conceptual framework



Core outcome is ideas

- Goal of project/firm: to create and scientific ideas and push for their other scientists, policy-makers or
- Behavioral Framework; Ideas are workers in a variety of potentially ways, and emails
- Behavioral Framework: Social networks/collaboration are a majc whereby ideas are transmitted

Sciences enformeasuring a e e mission and per- mission and per- mission an	metrics m cademic performance, bu and that any metric used to peri- money risks missing out on an icis are difficult to develop, but to based the the constraints of the to based the the constraints of the to based the the constraints. The tar is based the the constraints of the lining good scientist.	Contract Section 2015 Contract Con
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se these Metrics are da rmance, able, joined u metrics first step, Tod ties that efforts such as cientific Knowledge at thoring, Economic Ress pes. created to tras pholications, or rom the all useful, but t usiness. on transient fu deram- pos-transmet	ta driven, so developing a reli- pinfrastructure is a necessary sy, important, but fragmented, the Thomson Reuters Web of arch Patent Database have been de uclimational Burreau of arch Patent Database have been de scientific outcomes such as itations and patents. These are hey are labour intensive and rely ming, some are proprietary and	way in the open source and publishing com munities to create unique researcher identifie uning the same principles as the Digital Objec Identifier (DOI) protocol, which has become the international standard for identifying unique documents. The ORED (Open Researcher and Contributor ID) project, for example, we lunched in December 2009 by purities incluad
d meas- when a concerted in	nt, and many cannot talk to each compatible software. We need ternational effort to combine,	ing Thompson Reuters and Nature Publishin Group. The engagement of international fund ing agencies would help to push this movemen towards an international standard.
yees for augment and i istance, within a cohes pulating The Brazili 'ments ¹ , Database (ht	nstitutionalize these databases ive infrastructure. an experience with the Lattes tp://lattes.cnpq.br/english),	Similarly, if all funding agencies used a un versal template for reporting scientific achieve ments, it could improve data quality and reduc the burden on investigators. In January 2010
a da nat unare bradas	ity data on about 1,100 000	the research Business Methods subcommit tee of the US National Science and Technology
better metrics, we	individual researchers and	Council recommended the Research Perform
making poor funding isions or sidelining	a powerful example of good practice. Brazil's national	reporting of research progress. Before this, cac US science agency required different report
good scientists."	funding agency recognized in 1999 that it needed a new approach to assessing the researchers. First, they devel-	which burdened principle investigators an rendered a national overview of science invest ments impossible. The RPPR guidance helps be cleared editions what a concision are not present
snowa garannse stateholders – national tund ing agencies, testific research organizations and publishing houses – to combine forces. They can set an agonda and foster research that in theory, built with high-quality data and developed by a community with strong incem- by the tederal		achievements, asking researchers to list every thing from publications produced to vebsite created and workshops delivered. The stand ardized approach greatly simplifies such dat to clean the United States. An international template may be the logical next step.
decisions, and imselves ure and prom rized or a unique resea crimens ensure that per archers ited correctly.	by universities in deciding ten- otion. Third, they established archer identification system to ple with similar names are cred- The result is one of the deanest	Importantly, data collected for use in metric must be open to the scientific community, so that metric calculations can be reproduced This also allows the data to be efficientl reused for different purposes. One example
	better metrics, we saking poor funding sood scientists." Ifinal- credentatio 6 ed a 'virus forece, ties and rease de a virus de and propertate in a supportate in de angeproprate in a supportate in the and de angeproprate in a supportate in the angeproprate in the an	setter metrics, we aking poor funding sions or sidenting, our out sidentity, our sing setter sidenting, our sidentity, setter sidentity, setter sidentity, setter sidentity, setter sidentity, s

A Conceptual Framework

(1) $Y_{it}^{(1)} = Y_{it}^{(2)}\alpha + X_{it}^{(1)}\lambda + \varepsilon_{it}$ (2) $Y_{it}^{(2)} = Z_{it}\beta + X_{it}^{(2)}\mu + \eta_{it}$, $Y^{(1)}$ output variables

Y⁽²⁾team composition variables

Both are determined by a set of control variables $X^{(1)}$ and $X^{(2)}$ that can overlap and be truly exogenous or predetermined, A variable of key interest in Z is funding investment.

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The Empirical Framework





The Emerging Large-Scale, Disambiguated, Longitudinal Researcher database

Example of input

T STAR METRICS USD/ SEARCH NEWS RESOURCES FAOS CONTACT US System Health: GREEN Please try the new STAR METRICS ALPHA Federal RePORTER query form. Your feedback is greatly appreciated. Back to Qitery Form Home People Organizations Research Projects

Show/Hide Search Criteria 🛶

.....

VAN TASSELL, CURTIS P

Co-Author Network (GraphML File)





Example of Output – Census Data

- Business Register (BR)
 - Universe of U.S. non-agricultural businesses and the source of data from which all other economic data are ultimately created
 - Key data provided: industry classification, geographic data, employment measures
- Longitudinal Business Database (LBD)
 - Universe of employer businesses, unique establishments, the LBD covers all industries and all U.S. States
 - Key data provided: industry classification, geographic data, employment measures, payroll, firm age
- Integrated Longitudinal Business Database (iLBD)
 - Universe of non-employer businesses with links to employer universe
 - iLBD records are identified by either PIKs or EINS
 - Key data provided: industry classification, gross receipts, geographic data

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Directions: Some Initial Results

Joint Frequency of NAICS and Last Occupation at



 Majority of Caltech Employees are Graduates and Post Graduates who start Consulting companies

Directions: Some Initial Results

Map of where Caltech employees go by State



Most Caltech employees end up staying in California

Directions: Some Initial Results

Caltech employees are concentrated in the Los Angeles/Southern California area and around San Francisco



Indicators: Aggregate information

FEDERAL RESEARCH FUNDING: A DETAILED ANALYSIS OF EXPENDITURES AT PURDUE UNIVERSITY This report documents current federal research funding and expenditures at Purdue University. The report is based on actual financial and payroll records for the University for 2010, 2011 and 2012 as well as published government data for 2010, 2011 and 2012. EMPLOYMENT SCOPE Research funding represents an injection of external funds Scientific research both creates new scientific knowledge to the university and the academic community. and trains the next generation in the scientific method. Researchers at Purdue University generated over \$601 The research enterprise also employs many technicians, million in research activity in 2011 (the latest year for clinicians and other support staff. which figures are evailable). In 2012, more than 7,340 individuals (equivalent to more \$270 million of that research & development was funded than 2,050 FTE positions) were directly employed at by the federal government. Purdue University by federal research funding. Number of Individuals Employed by Millons University Research Funding Enderal Research Funding \$800 \$800 E 20.00 E att \$445 THE SHOP \$20 Federal R&D AL RED **Postulocitoral** Situatenta 2147 EXPENDITURES The production of science requires the purchase of scientific . In 2012, federal research funding to Purdue University supported the purchase of almost \$96 million of supplies and subcontracted services from the nation as a whole. Purdue University research generated over \$14 million in Vandors in over 700 US counties do business with researchers at Purdue University. In 2012, vendors in each of more than 145 of those counties derived combined revenues of over \$60,000. Regional National Distribution of Distribution of Expenditures Expanditures \$50-\$2,500 \$10-\$100 \$581-\$2,000 \$2,500 - \$7,000 \$7.001-\$15.000

- equipment and technology as well as collaboration with private/public research organizations.
- expenditures in Indiana counties alone.
 - \$2,001-\$10,00 \$14,001 - \$50,000 \$15,001 • \$70,000 500.001 v \$70,000 4



November 2013





Federal Research Funding Analysis

Indicators: Visualizations



Incentives

- >> People focus => more focus on students
- >Reduced Burden => more time on research
- > University led => replicable and generalizable
 - > 38 researchers have worked with Umetrics data
- > Research based => evolving field
 - Science Policy Forum, Research Policy R&R
 - > Economic Reports, Senate Appropriations Testimon
 - > 60 Participants in A2 Workshop

nature			Vol 464 25 March 201
OPINION	٧		
Let's mak	e science	metrics n	nore scientific
An open and consistent boost science, says Juli	system for measuring a a Lane.	cademic performance, b	ased on reasoned theory, would
ensuring and assessing formance in nova factor ranking and funding or universa metrics. Yet current systems of are inadequate to yused the weily fail much life of the weily fail much life of are inadequated on the system of the system of the system of the ensure of the system of the provide the system of the system of the system of the system of the other system of the system of the system of the system of the system of the system of the system of the system of the system of the other system of the system of the system of the other system of the system	academic per- frscientific life interure to the interure to the interure to the interure to the interure to the interdened on measurement whould be a pro- signal set of the signal set of the interview of the signal set of the signal	and that any metric used to pri- money risks missing out on an overy from left-field. It is true is are difficult to develop, but too to abandon them. Rather it tro basing their development to basing their development for the basing their development for the start price of the for the for the for the for the for the for the for the for the for the for for the for for for for for for for for	SUMMARY • Existing metrics have known flaws • A reliable, open, joined-up data infrastructure is needed • Alternate kinds of data should be alternate kinds of data should be alternate kinds of metric and a should be alternate winds of the should be alternate winds of th
ited cience. Many funding ago metrics to evaluate institutional compounding the problem: Usi do not capture the full range of successfully support and trans the diseas, which can be a varied because the support and trans the main science who do learn the experiences of other fields, su The management linearity is and the full functional prevense out the Heinic company researded divisional carrains picremess, which divisional carrains picremess of the function of the support of the divisional carrains picremess of the function of the support of the divisional carrains picremess.	ncis un these Metrics are data stavitisting metrics stavitisting	a driven, so developing a reli- infrastructure is a necessary y; important, but fragmented, the Thomson Reuters Web of d the US National Bureau of d the US National Bureau of d the US National Bureau of your alboar inference with the hold of the second second second particular the second second particular the particular second particular the particular second particular second	per service Workshows way the tops no scale and publishing com- munities to content unique research the Multile Multiple and the Multiple and Multiple and Multiple Multiple and the Multiple and Multiple and Multiple Multiple and Multiple and Multiple and Multiple analosi in Discontra 2009 particle and and grapheness with the Multiple and Multiple and Groups The engagement of international firms grapheness and Multiple and Multiple and Multiple and Multiple and Multiple and Multiple and Groups The engagement of international firms grapheness and Multiple and Multiple and Multiple and Multiple and Multiple multiple and Multiple and Multiple and Multiple and Multiple and Multiple Research Multiple Multiple and Multiple Research Multiple Multiple and Multiple Research Multiple and Multiple and Multiple and Multiple and Multiple and Multiple and Multiple Research Multiple and Multiple and Multiple and Multiple and Multiple and Multiple Research Multiple and
measures of scientific achievement can lead to nar- row and biased science. There is enormous poten- ial to do better: to build a science of science means for and interest in metrics thould galvanise stakeholders- ing agencies, scientific research and publishing houses - to co They can set an agenda and inste- etablishies cound scientific met etablishies cound scientific met developed by a community with tives to use them.	"If we do not press harder for better metrics, we risk making poor funding good scientists." national fund- organizations mbite forces researchitat strong incer better metrics, we good scientists."	ity data on above 1, 100,000 individual researchers and about 0,000 institutions, its apowerful cample of good practice. Brazilis national in 1999 that it needed a new paperoach to assessing the researchers. First, they devi- ted and the set of the set of the set in the set of the set of the set of the researchers. First, they devi- tice the set of the set of the set in the set of the set of the set of the researchers. Set of the set of the set in the set of the set of the set of the researchers and the set of the set of the set of the researchers and the set of the	the other US National Science and Technolog Cound recommendate the Research Pettern mace Propers Report (RPPR) to standardize the reporting of research petter in the standardize the properting of research petter in the standardize the research pettern and the standardized the standardized the standardized pettern pettern and standardized methy integration of the RPPR patients are a stress advectment, asking researchers to list every thing from publications produced to weblin created and workshops delivered. The standardized proves the product standardized and and workshops delivered the standardized provide targetist may be the logical next step. Importantly data directed for sear in marks
tives to use them. Scientists are often reticent to or their institutions labelled, a ranked. Although happy to lal as one species or another, mar do not like to see themselves under a microscope — they i make is the memolane to be me	see themselves ategorized or sy researchers feel that their on a unique researcher ited correctly. To researcher data on an interma	by universities in deciding ten- stion. Third, they established rcher identification system to ple with similar names are cred- the result is one of the deanest bases in existence. tional level, the issue of a unique	Importantly, data collected for use in metri must be open to the scientific community, it that metric calculations can be reproduce. This also allows the data to be efficient reused for different purposes. One examp is the STAR METRICS (Science and Techno ogy in America's Reinvestment — Measuria

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Institute for Research on Innovation and Science

- Federated organization (Core & Nodes) yield:
 - Quick startup that leverages existing resources
 - Synergies at the core facility (Michigan)
 - Expertise, Outreach and Data (AIR/CIC, OSU, CENSUS)
 - Potential to expand the above (Illinois, GA Tech, UMass)
- Stakeholder partnerships yield:
 - Use inspired questions (e.g. CIC VPRs)
 - Data and financial support (CIC, AAU, APLU)

Privacy, Big Data, and the Public Good

Frameworks for Engagement



1000000



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Engage with Federal agencies

FUNDING

AWARDS

DISCOVERIES

PUBLICATIONS

NEWS

ABOUT NSF

FASTLANE

Bio-fuels vehicle fueling system

water from aquatic biomass

showing top 3 of 8 Patents

Process for making bio-oils and fresh

Ethanol resistance Saccharomyces

STATISTICS.

		National Science Foundation WHERE DISCOVERIES BEGIN			BEARCH NSF		
		NCSES HOME NCSES DAT	TA INCISES PUBLICATIONS INCISES SU	URVEYS NCSES TOPICS SEAR	CHINCSES ABOUTINCSES		
		Statistics	Survey of Earned Doctorates				
		ata ublications iurveys iopics earch NCSES bout NCSES ublication Index ionedule of Next Release Dates irrata	About The Survey Data Publications Related Products The Survey of Earned Doctorates (SED) is an annual census conducted since 1967 of all individuals receiving a research doctorate from an accredited U.S. institution in a given academic year. The SED is sponsored by six federal agencies: the National Science Foundation, National Institutes of Health, U.S. Department of Agriculturent of Agriculture, National Endowment for the Humanities, and National Aeronautics and Space Administration. The SED collects information on the doctoral recipient's education and trends in doctoral education and degrees. Image: Survey Description Survey Description				
	1	Additional Resources	Questionnaires				
and th ver 5 ive tal	NCSES Staff Directory NCSES Staff Directory NCSES Grants and Pellowships Social, Behavioral & Economic Solences (SBE) FedStats Other Links To million U.S. patents. e table, treemap, or map tool.		Next Data Release: December 2014 View Schedule of Next Release Dates Mark Flegener Project Officer Human Resources Statistics Program National Center for Science and Engineering Statistics (703) 292-4622				
KEY FEA	TURES About Pate	Agriculture	ADCOM Corporation	808 - Elevator, industrial lift truck, or stationary lift for vehicle	Ethanol resistance Saccharomyces cerevisiae GP-01 by protoplast fusion, method for manufacturing thereof		
	Most Prolific American Inventors Example results: Lowell L Wood, Jr. is the most prolific U.S. inventor for the lai three-year product and has patents in classes as diverse as		Inpute recinitious development LLC Magneti Marelli Sistemas Automotivos Industria e Comercio	 521 - Unearthing plants or buried objects 226 - Advancing material of indeterminate length 	Process for hydrolysed reforming of liquous cellulose biomass to produce bio-gasoline SBS logical bio-diesel sensor		
	chemistry, surgery, data processing, and induced nuclear rea Top Assignees for the Past 3 Years Exemple results: BM has been granted more patents than any other assignee i year for the last 20 years. One of these patents is for a multi- floor that dates whether a homeowner has fallen and may be		Gunze Limited Boo Kang Tech Co., Ltd. China Petroleum & Chemical Corporation Research Institute of Petroleum Processing, Sinopec	showing top 3 of 6 Patent Classes 201- Distillation: processes, thermolytic 651- Coherent light generators 425 - X-ray or gamma ray systems or devices	showing top 3 of 12 Patents Fast pyrolysis processor which produces low oxygen content, liquid bio-oil Auricle-installed device and bio-signal measurement apparatus Methods and apparatus for localization, diagnosis, contact or		
	Innovation Hotspots Example results: Patents filed in California underlie many familiar technologies top cited patent for Apple is for a multipoint touchscreen, wh Geogle's most cited patent is for AdSense.	Godlewski, Jane Ellen 9 patents	showing top 3 of 6 Assignees South Dakota School of Mines and Technology Kinder Morgan Operating L.P.	showing top 3 of 12 Patent Classes 621 - Communications, electrical: acoustic wave systems and devices 130 - Multiplex communications	showing top 3 of 9 Patents Microfluidic apparatus with integrated porous-substrate/sensor for real-time (BIO) chemical		

USPTO **PatentsView**

Explore inventors and and locations for over View as an interactive

Inventors Supported by the USDA

The most-cited patent by the top USDA-funded inventor in 20

for an apparatus and method to produce nanoparticles. These Villalobos; Janette

-8 patents

KEY

PatentsView is a prototype patent data visualization tool intended to increase the value, utility, and transparency of US patent data.

The initiative is supported by the Office of Chief Economist in the US Patent & Trademark Office, with additional support from the US Department of Agriculture.



Kinder Morgan Operating L.P.

BROADCOM Corporation

BROADCOM Inc.

032 - Electrolysis: processes.

showing top 3 of 8 Patent Classes

808 - Elevator, industrial lift truck, or

compositions used therein, and methods of preparing the

Headway Technologies, Inc.

Engage Internatio^{insapleprod.disko.fr}



Engage internationally

2013

Empirical Foundations of Science and **Innovation Policy** September 16-17, 2013

Ministère de l'Enseignement Supérieur et de la Recherche 23 rue le la Montagne Ste Geneviève 70003 Paris cedex 05

Agenda

September 17, 2013

September 16, 2013

Registration

Coffee

challenges

Drinks

Dinner

Measuring science investments

Presentation by ETOILE team

Initial Findings from STAR METRICS data

Group discussion from other teams:

find most useful)

Describing the results of research:

Suggestions for practical next steps

12:00-12:30

12:30-1:30

1:30-2:00

2:00-2:30

2:30-3:00

3:00-4:00

4:00-5:00

5:15-5:45

5:45-6:30

7:00-9:00

:00-9:45	Discussion of key issues:					
	 Measuring team structure - Jacques Mairesse and Bruce Weinberg 					
	 Topic modeling – Ghislaine Fillatreau and Rebecca Rosen 					
45-10:15	General Discussion					
0:15-10:45	Coffee					
0:45-11:30	Managing all the data:					
	Research management: the view from three practitioners - David					
	Baker, Laure Haak and Ed Simons					
1:30-12:00	General discussion					
2:00-12:30	Suggestions for practical next steps					
2:30	Adjourn					

Welcome, Motivation and goals; Introductions - Jacques and Julia

 What they are doing (or what they hope to do) · What they found most useful in their approach (or hope to

Their major challenges (or what they expect to see as their major

 Output capture (CVs, patents, and people placement) -Markus Perkman, Paul Jensen and Erling Barth

· Overview of the emerging US approach : Bruce Weinberg Overview of potential ERC approaches Reinhilde Veugelers

12:30 Suggestions for practical next steps 12:00-12:30 11:30-12:00

And a reminder of why EDITORIAL

Wanted Retter Renchmarks

How much should a nation spend on science? What kind of science? How much from private versus public sectors? Does demand for funding by potential science performers imply a shortage of funding or a surfeit of performers?.....A new "science of science policy" is emerging, and it may offer more compelling guidance for policy decisions and for more credible advocacy

most effective in the rapidly changing global environment for science. Here, ideas diverge.

Take the issue of the technical workforce. Sharply differing opinions exist regarding the production of U.S. scientists to meet possible impending shortages.* The differences turn on the interpretation of "benchmark" data regarding the numbers of degree holders produced in the United States and other countries, particularly. China and India. In the latter countries, the rates of growth in the numbers of scientists are high, although actual numbers are small relative to those in the United States. Advocates for increased production of U.S. scientists point to our low graduation rates, whereas critics emphasize limited short-term job opportunities for graduates and postdocs. Resolution of this issue requires a broader understanding of socioeconomic factors in a number of nations that would allow us to attach probabilities to different future scenarios. Optimal strategies for large mature economies such as that of the United States will doubtless differ from those for smaller or developing economies. Here, as elsewhere in policy debates,