



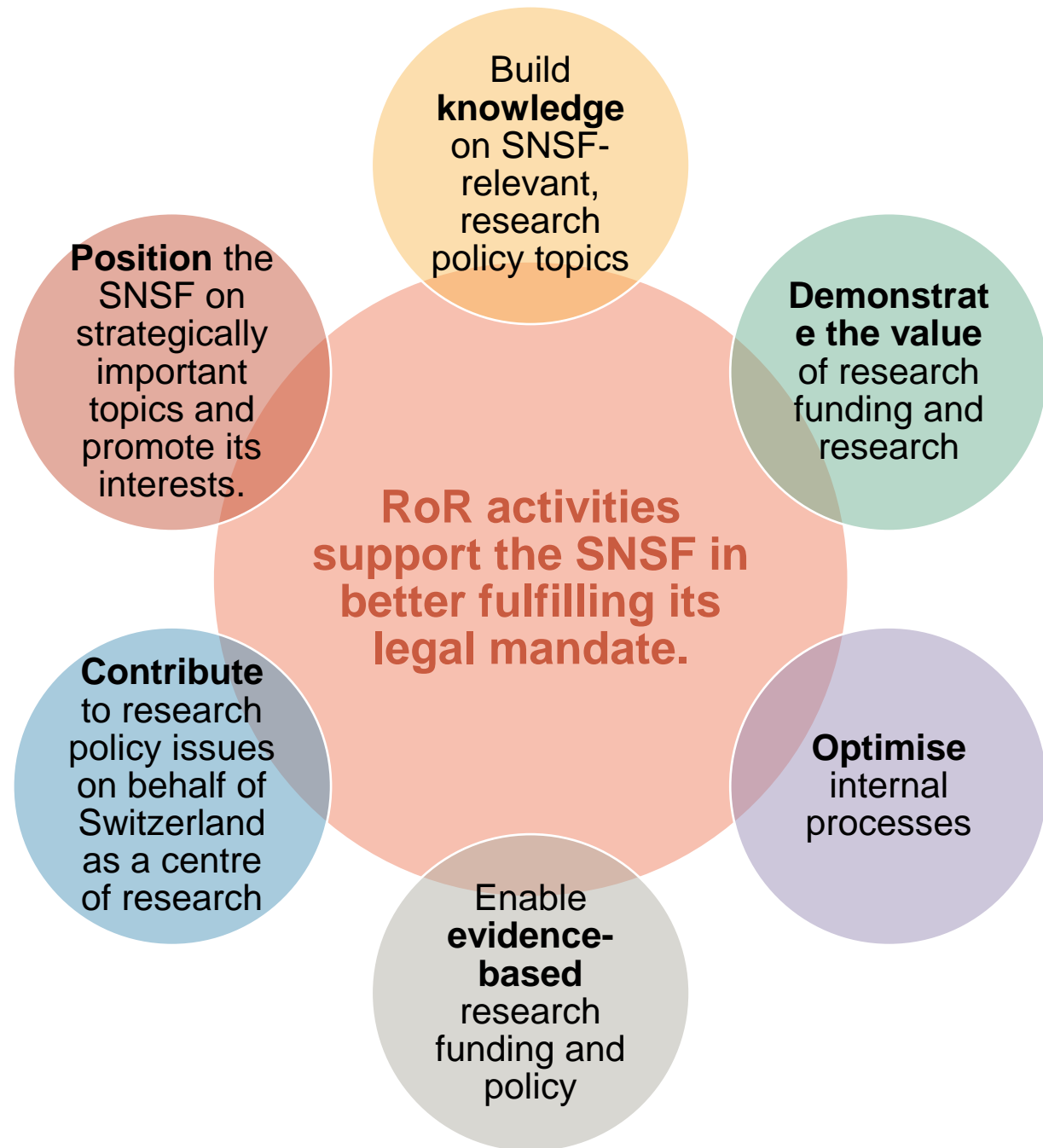
# EXPERIMENT, TRANSLATE AND TRANSFORM: PRIORITIES FOR THE NEXT DECADE OF RESEARCH ON RESEARCH

Launch event of RoRI's second phase  
20 June 2022, 3-6 pm CEST



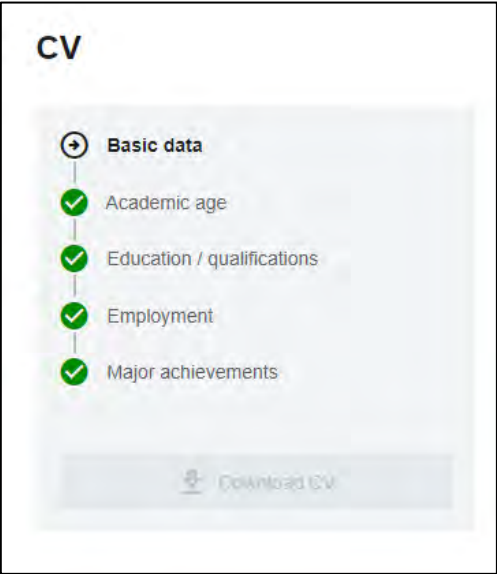
#ResearchOnResearch

# Why the SNSF engages in RoR

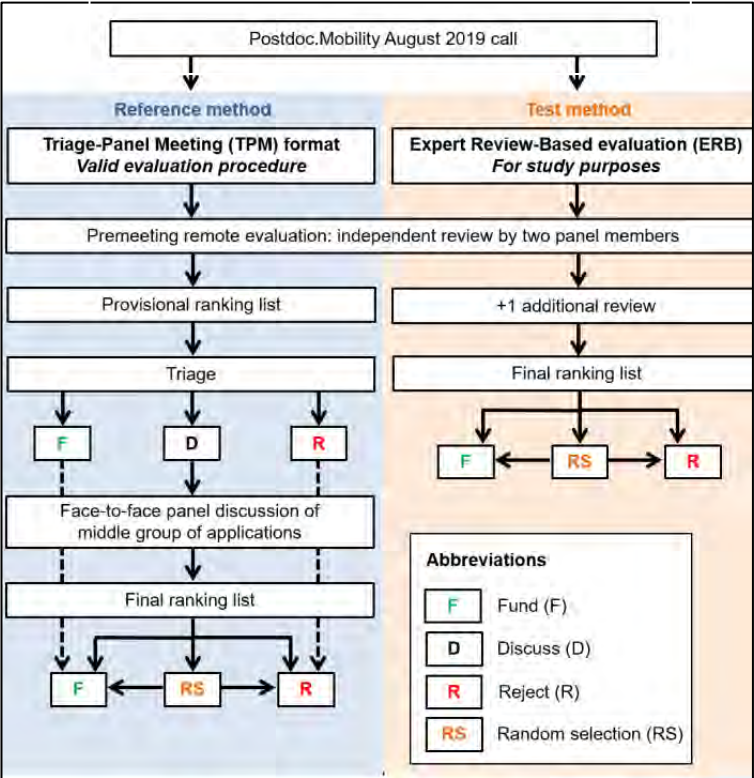


# Outcomes of RoR at the SNSF

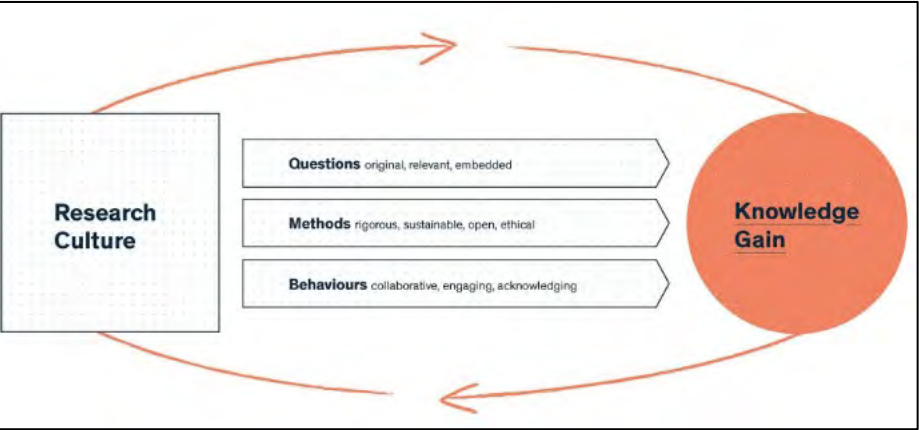
## A narrative CV



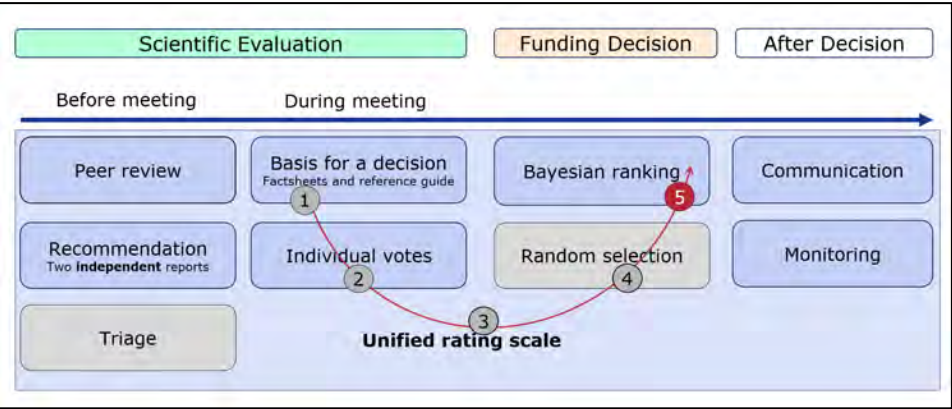
## Partial Randomisation



## Model of Excellence



## Unified Evaluation Procedure





# Research on Research (RoR) at the SNSF

**nature**  
International journal of science

NEWS • 17 APRIL 2019

## 'Friendly' reviewers rate grant applications more highly

Swiss funding agency banned applicant-nominated referees after a 2016 study found evidence of bias. Those results are now being made public.

**F1000Research**  
Open for Science

BROWSE GATEWAYS & COLLECTIONS HOW TO PUBLISH

RESEARCH ARTICLE

## Discipline-specific open access publishing practices: barriers to change: an evidence-based review [versus peer review: 3 approved with reservations]

✉ Anna Severin <sup>1,2</sup>, ✉ Matthias Egger<sup>1,2</sup>, Martin Paul Eve <sup>3</sup>, Daniel

Author details

This article is included in the S

Humanities & Social Sciences  
Communications

ARTICLE


<https://doi.org/10.1057/s41599-021-00891-y> OPEN

## The value of research funding for knowledge creation and dissemination: A study of SNSF Research Grants

Rachel Heyard <sup>1</sup> & Hanna Hottenrott <sup>2,3</sup>

Open access

## BMJ Open Gender and other potential biases in peer review: cross-sectional analysis of 38 250 external peer review reports

Anna Severin,<sup>1,2</sup> Joao Martins,<sup>3</sup> Rachel Heyard,<sup>4</sup> François Delavy,<sup>2</sup> A  
Matthias Egger <sup>1,5</sup>

SciCV, the Swiss National Science Foundation's new CV format

 Michaela Strinzel,  Wolfgang Kaltenbrunner,  Inge van der Weijden,  Martin von Arx,  Michael Hill

doi: <https://doi.org/10.1101/2022.03.16.484596>

This article is a preprint and has not been certified by peer review [what does this mean?].

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## Blacklists and Whitelists To Tackle Predatory Publishing: a Cross-Sectional Comparison and Thematic Analysis

Michaela Strinzel, Anna Severin, Katrin Milzow, Matthias Egger  
Julie M. Wolf, Editor

DOI: 10.1128/mBio.00411-19 

arXiv.org > stat > arXiv:2102.09958

Search... Help | Advanced

Statistics > Applications





[Submitted on 19 Feb 2021]

## Rethinking the Funding Line at the Swiss National Science Foundation: Bayesian Ranking and Lottery

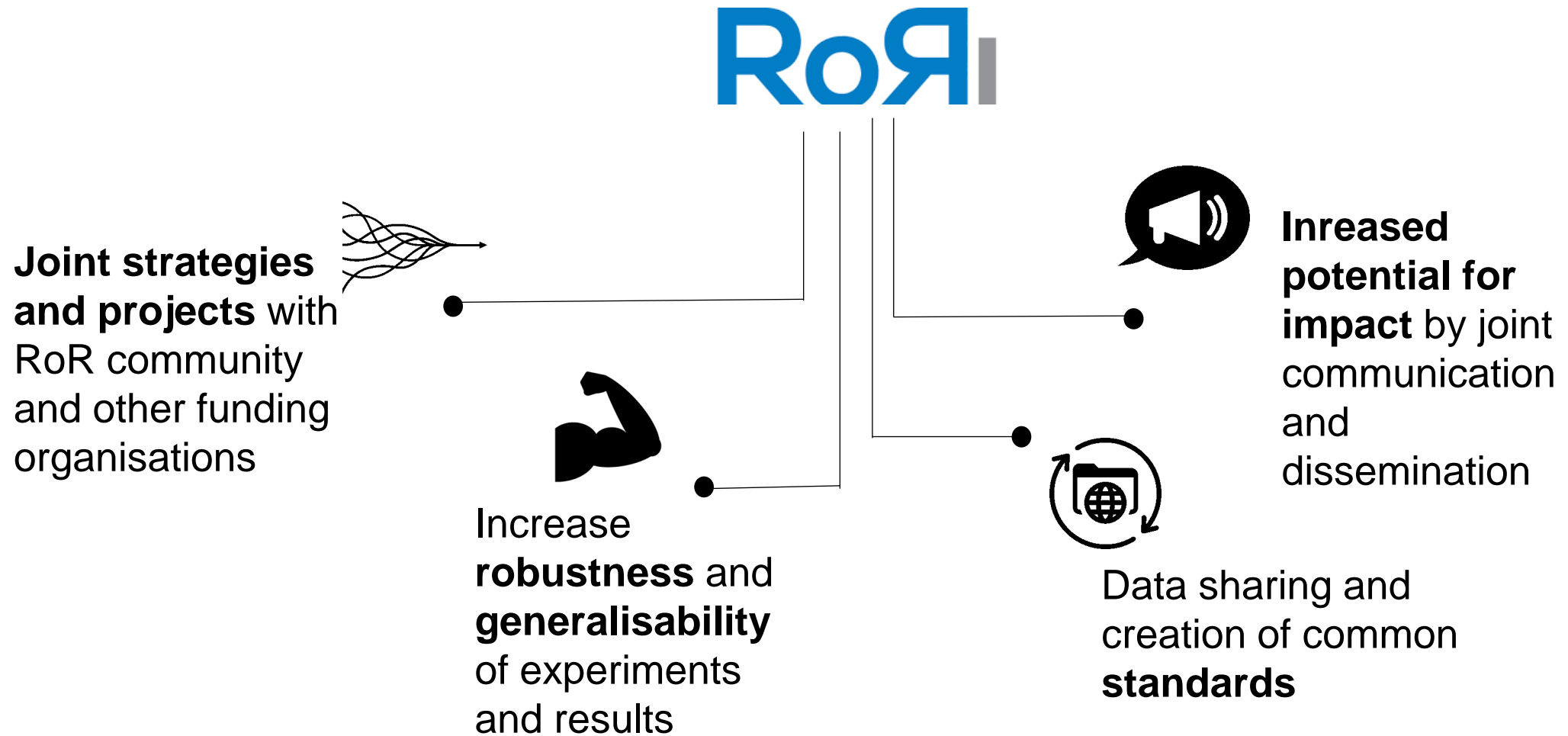
Rachel Heyard, Manuela Ott, Georgia Salanti, Matthias Egger

Funding agencies rely on peer review and expert panels to select the research deserving funding. Peer review has limitations, including bias against risky proposals or interdisciplinary research. The inter-rater reliability between reviewers

## BMJ Open Face-to-face panel meetings versus remote evaluation of fellowship applications: simulation study at the Swiss National Science Foundation

Marco Bieri <sup>1</sup>, Katharina Roser <sup>1,2</sup>, Rachel Heyard <sup>3</sup>, Matthias Egger <sup>4,5,6</sup>

# RoR must meet the highest international quality standards



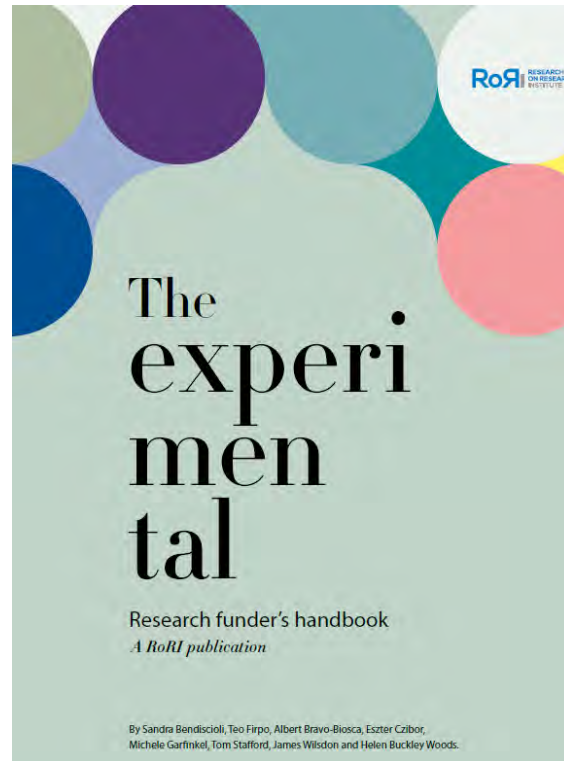
# RoRI: international consortium of funders, academics & technologists

- Co-founded in 2019 by the Wellcome Trust, Digital Science, Leiden University and University of Sheffield
- To inform ‘better’ research by analysing research systems and experimenting with new tools, indicators and evaluation frameworks on a large and international scale



RoRI launch event 2019

## Successful pilot phase of 2 years



▶ **Launch of 2. phase**  
New wave of RoR projects to come



# Programme

- 15:00**    **Welcome & opening reflections** - Matthias Egger
- 15:10**    **The trouble in comparing different approaches to science funding** - Michael Nielsen
- 16:00    Break
- 16:20**    **RoRI's operating model: co-producing system change** - Sarah de Rijcke
- 16:25**    **PechaKucha of RoRI projects and the next five years**
- 17:00**    **The Partner Panel on Priorities for research on research** - chaired by Katrin Milzow
- 18:00    End of conference/ Apéro



# Michael Nielsen

- Research Fellow at Astera Institute (NFP start-up research institute) Berkeley, CA.
- His primary current interest is in metascience as a driver of rapid change and improvement in our scientific institutions.
- He helped pioneer quantum computing, & worked for many years as advocate for open science (giving up a tenured position at Perimeter Institute)
- He co-authored one of the standard texts in quantum computing, and books about open science & neural networks.
- All his work -- in metascience, quantum computing, open science, AI, & human-computer interaction -- is united by a desire to build systems to better support human thought and discovery.



# The trouble with comparing different approaches to science funding

**Michael Nielsen, Astera Institute, at the Research on Research Institute's Phase 2 Launch (Bern, 2022)**

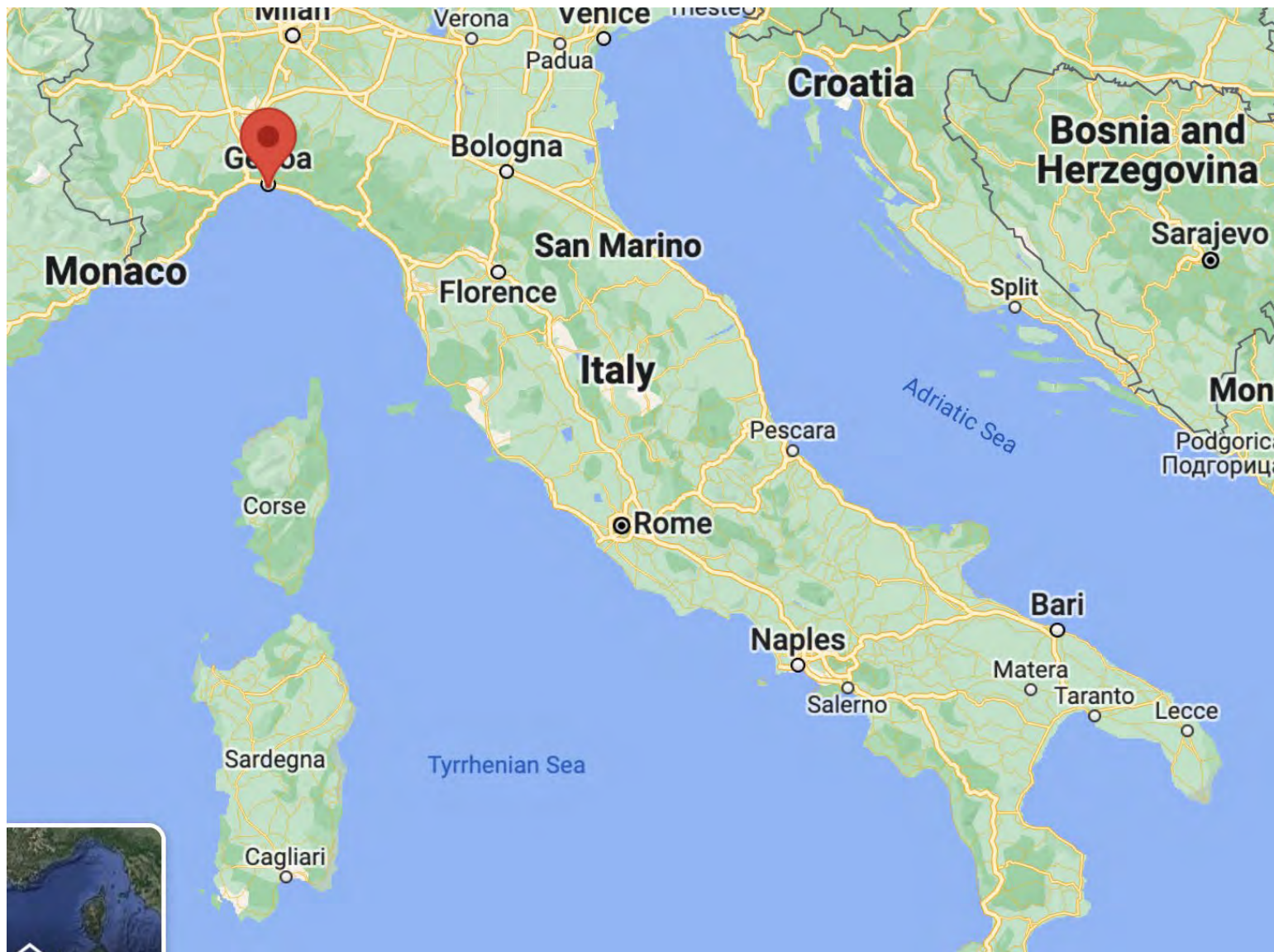
Based on (see <https://scienceplusplus.org> for links to full text):

Michael Nielsen and Kanjun Qiu, "Putting metascience at the core of science" (2022, forthcoming)

Michael Nielsen and Kanjun Qiu, "The trouble with comparing different approaches to science funding" (2022)

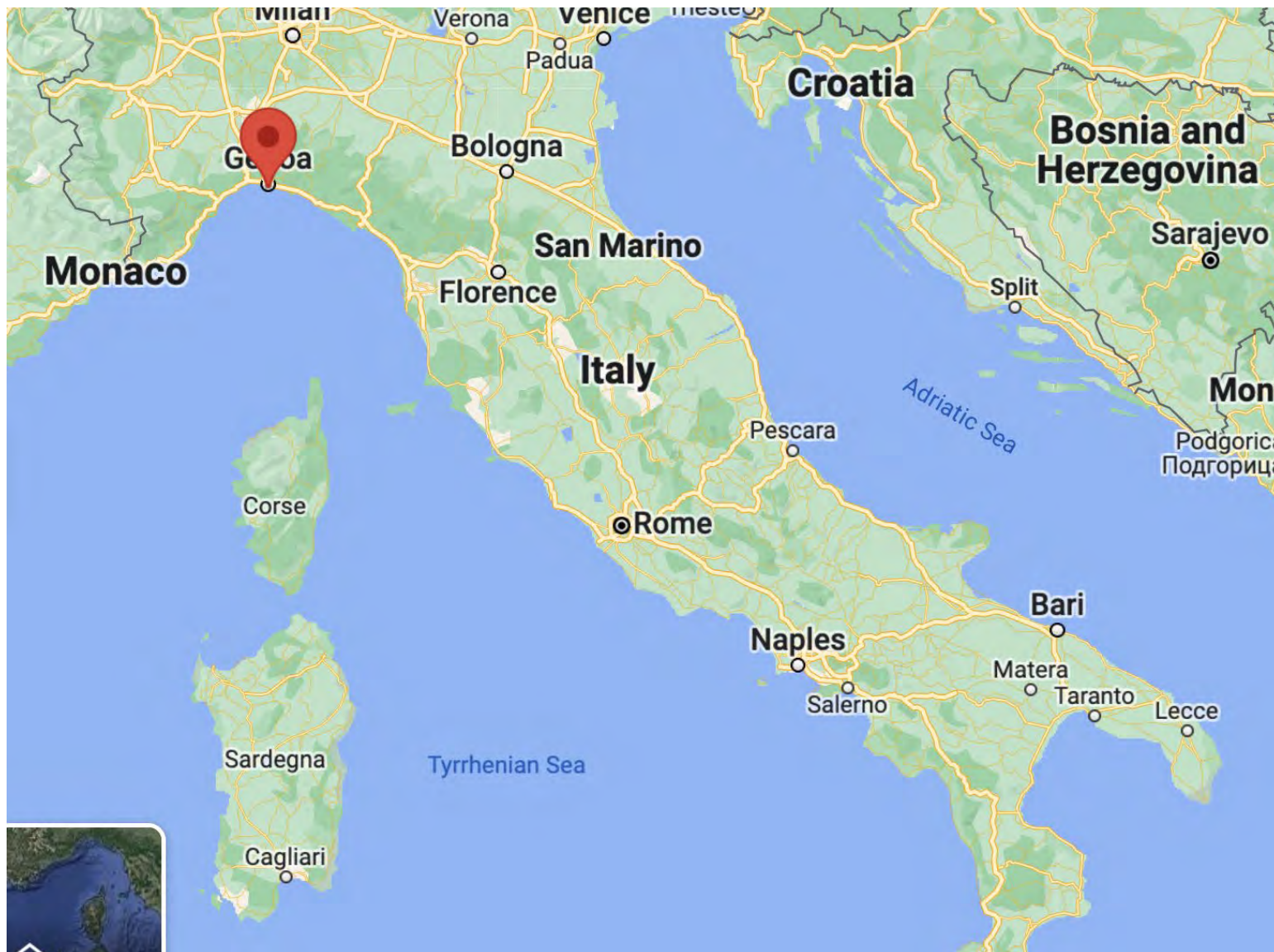
Michael Nielsen, "In what sense is the science of science a science?" (2022)

Patrick Collison and Michael Nielsen, "Science is getting less bang for its buck" (2018).



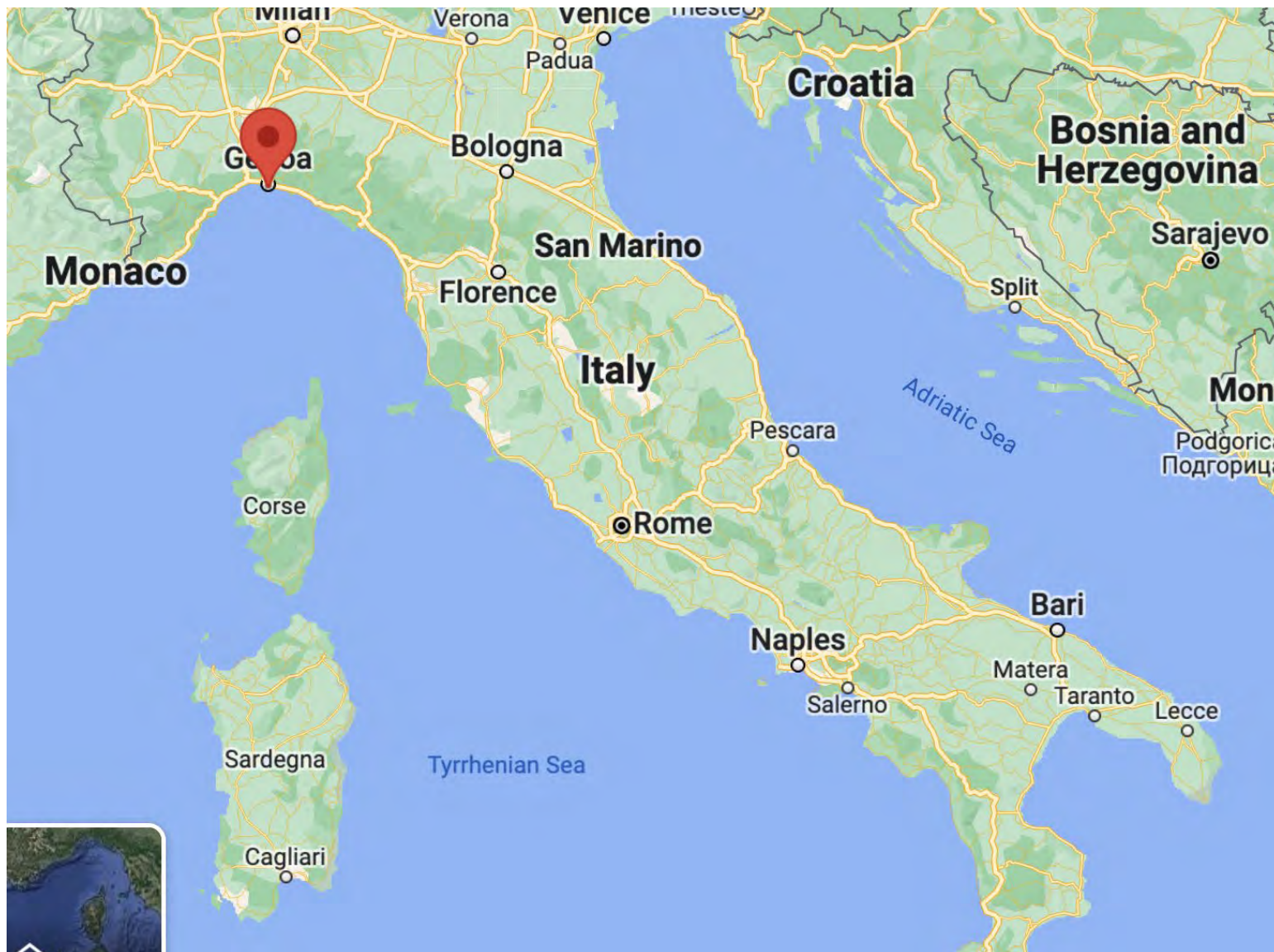
Genoa is a port city on the Mediterranean



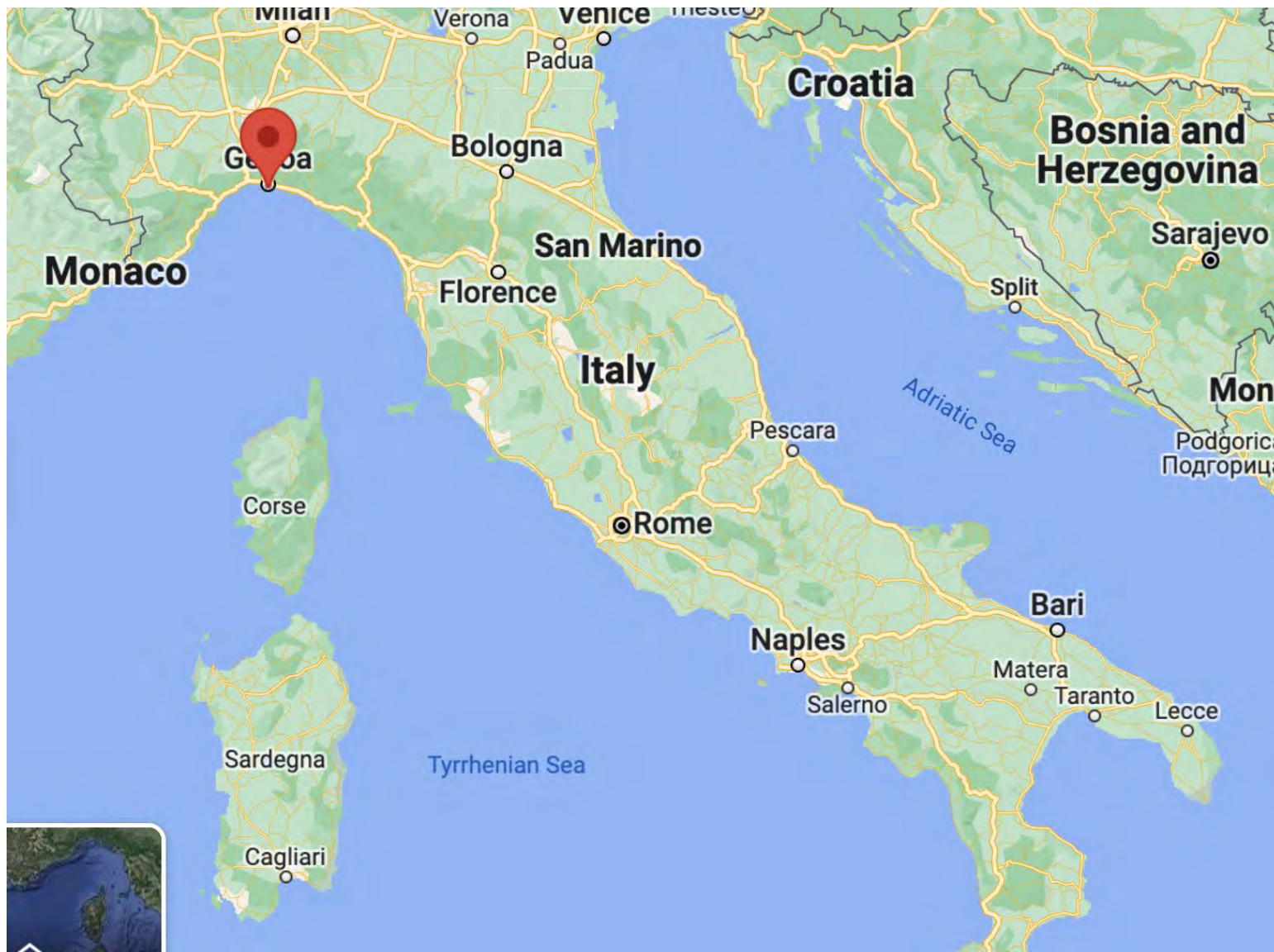


although Genoa is an excellent port, for a long time  
shipping was a risky business



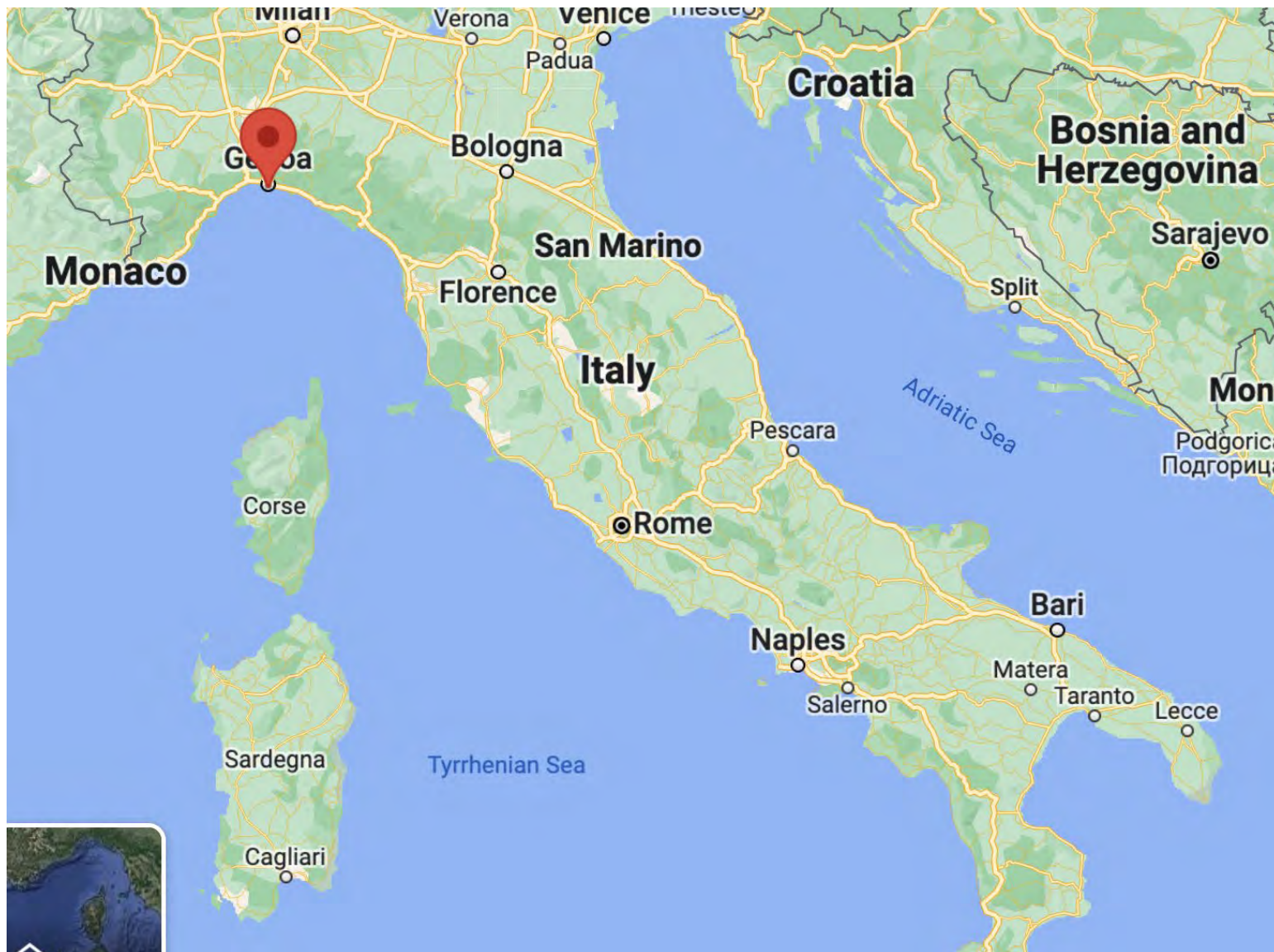


ships were flimsy, and were often lost in storms

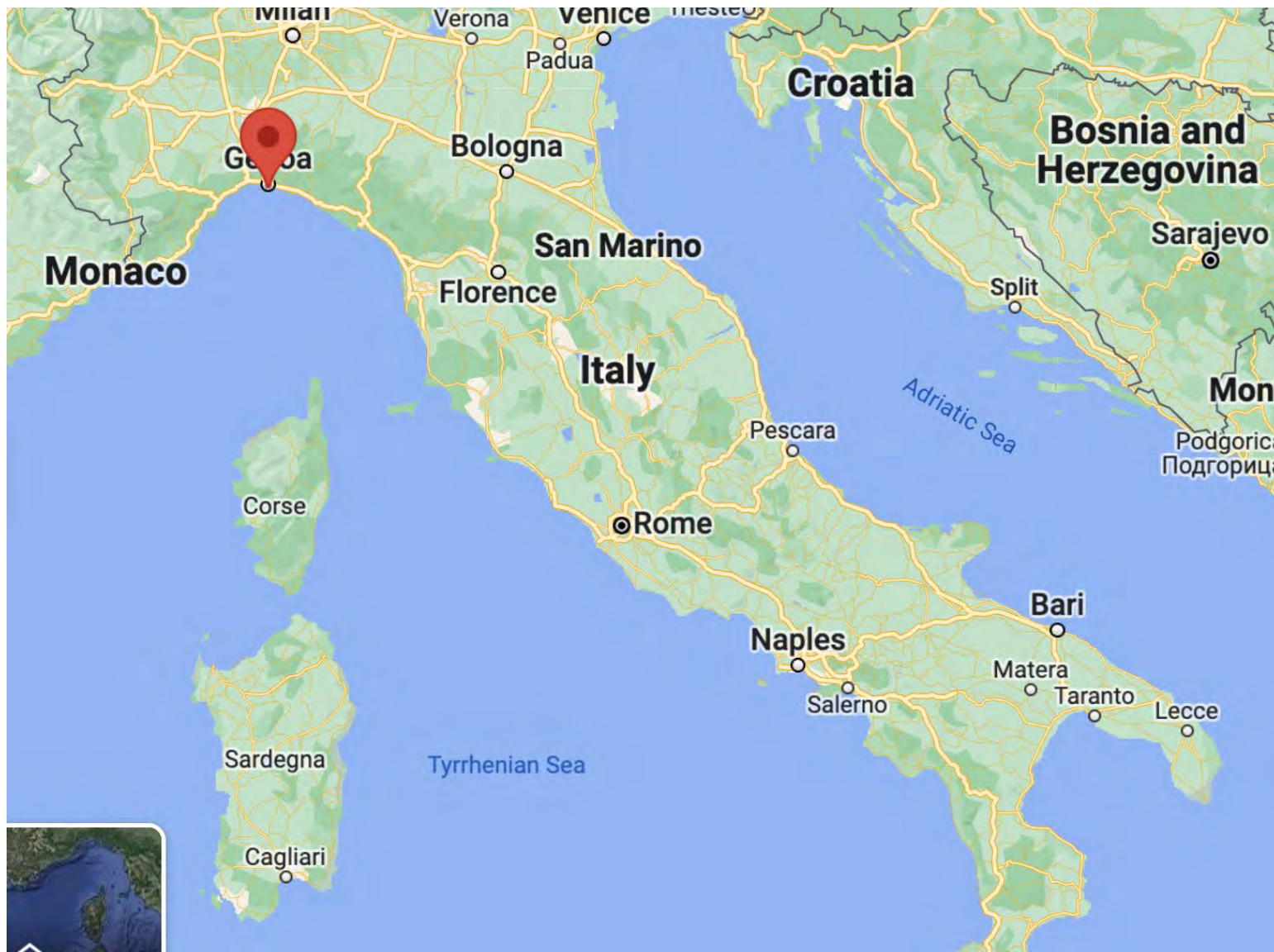


in the 14th century, Genovese merchants invented maritime insurance





for a small premium, even if a cargo or ship was lost,  
the financial losses would be recouped



Nick Szabo argues: this derisking meant far more capital was made available, more ambitious voyages undertaken, enabling an explosion of commerce and discovery



this story is not directly related to science funding

an early case where an imaginative change in the mechanism of funding (perhaps!) caused a change in how humanity ventures into the unknown

built upon an insightful design idea, that of maritime insurance, and  
improved ways of thinking about risk



an example closer to science, though still not (quite) of science





in 2004, the \$10 million Ansari X-Prize was won by SpaceShipOne (Paul Allen, Bert Rutan), flying a reusable, crewed spacecraft into space twice in two weeks



the founder of the X-Prize, Peter Diamandis, had only been able to raise \$3 million.  
He wanted a \$10 million prize





he approached many insurance companies, until he found one that was willing to accept a \$3 million premium against a \$10 million prize



he was selling the risk to the insurance company, paying a fixed premium rather than the uncertainty of a \$0 or \$10 mill payout





he estimated the 26 entrants invested more than \$100 million



the point of these stories is not to venerate  
(or even, except accidentally, to highlight)  
insurance or prizes

funding is an *imaginative design discipline*

new ideas for *how* to fund can plausibly radically shift humanity's capacity for discovery

**So I am fascinated by the questions:**

- Are there new funding strategies which would transform basic science?
- How can we invent them, if so?
- How can we avoid fooling ourselves, confusing flashy or fashionable ideas with genuine improvements?
- How can we reliably compare the marginal impact of different funding strategies?

I had (much) more trouble than usual preparing this talk



I'm a theoretical physicist by training, not a professional science funder

I hope you'll be willing to explore with me some outsider's thoughts, and a brief sketch of the role metascience / research on research might one day play in funding, and some of the problems it must overcome

**full design space for funding mechanisms**



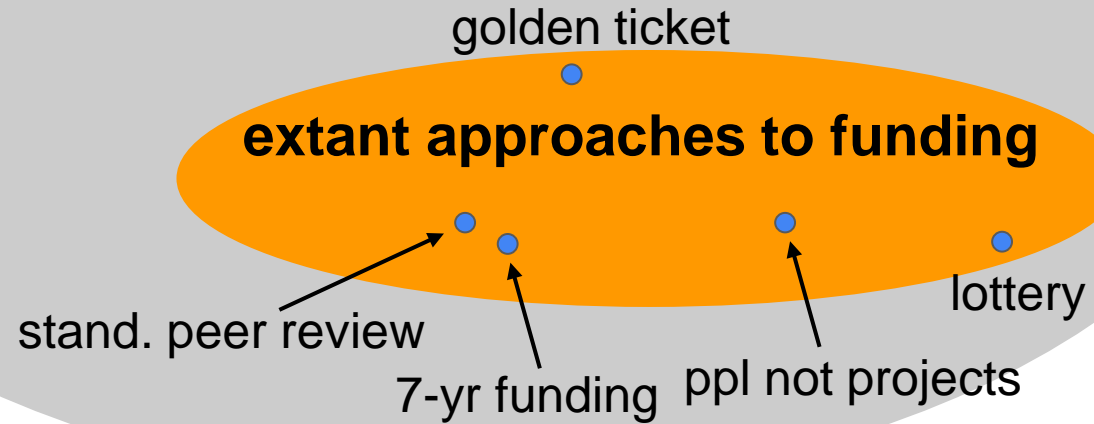
**extant approaches to funding**

stand. peer review

7-yr funding

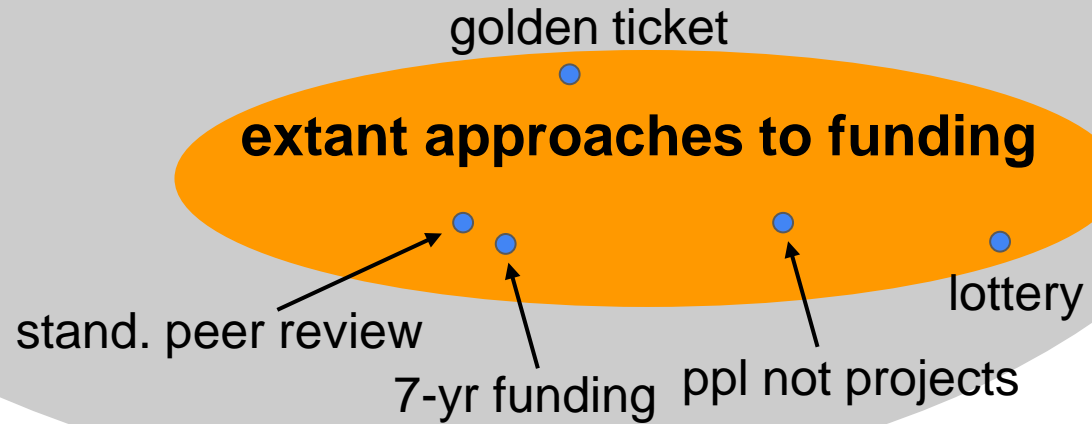
ppl not projects

**full design space for funding mechanisms**



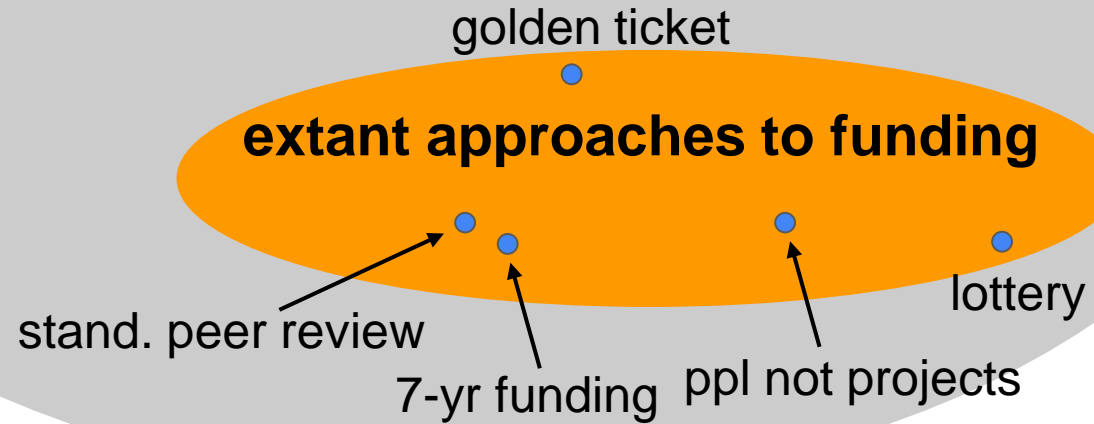
more adventurous ideas

**full design space for funding mechanisms**



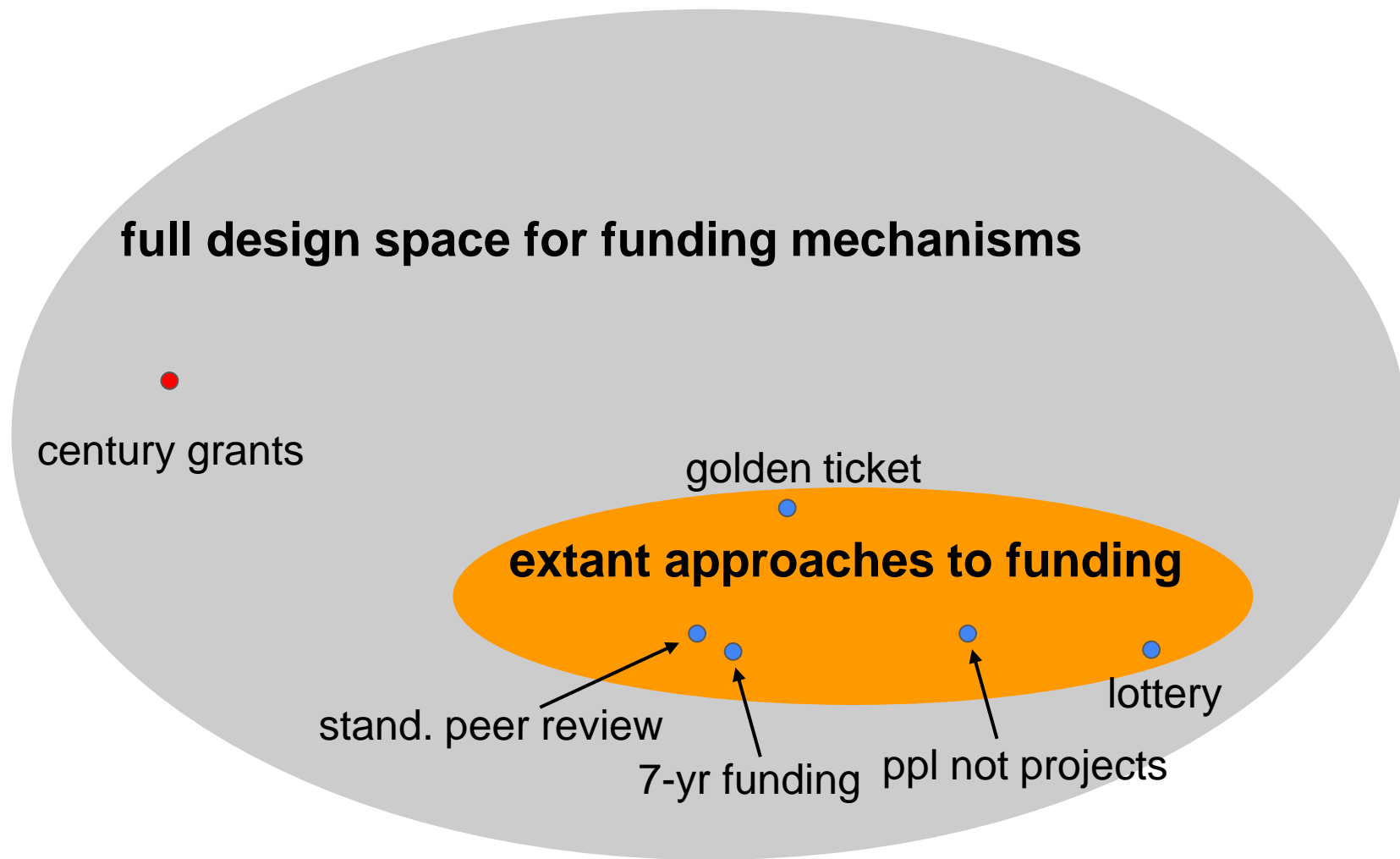
far larger space to explore

**full design space for funding mechanisms**

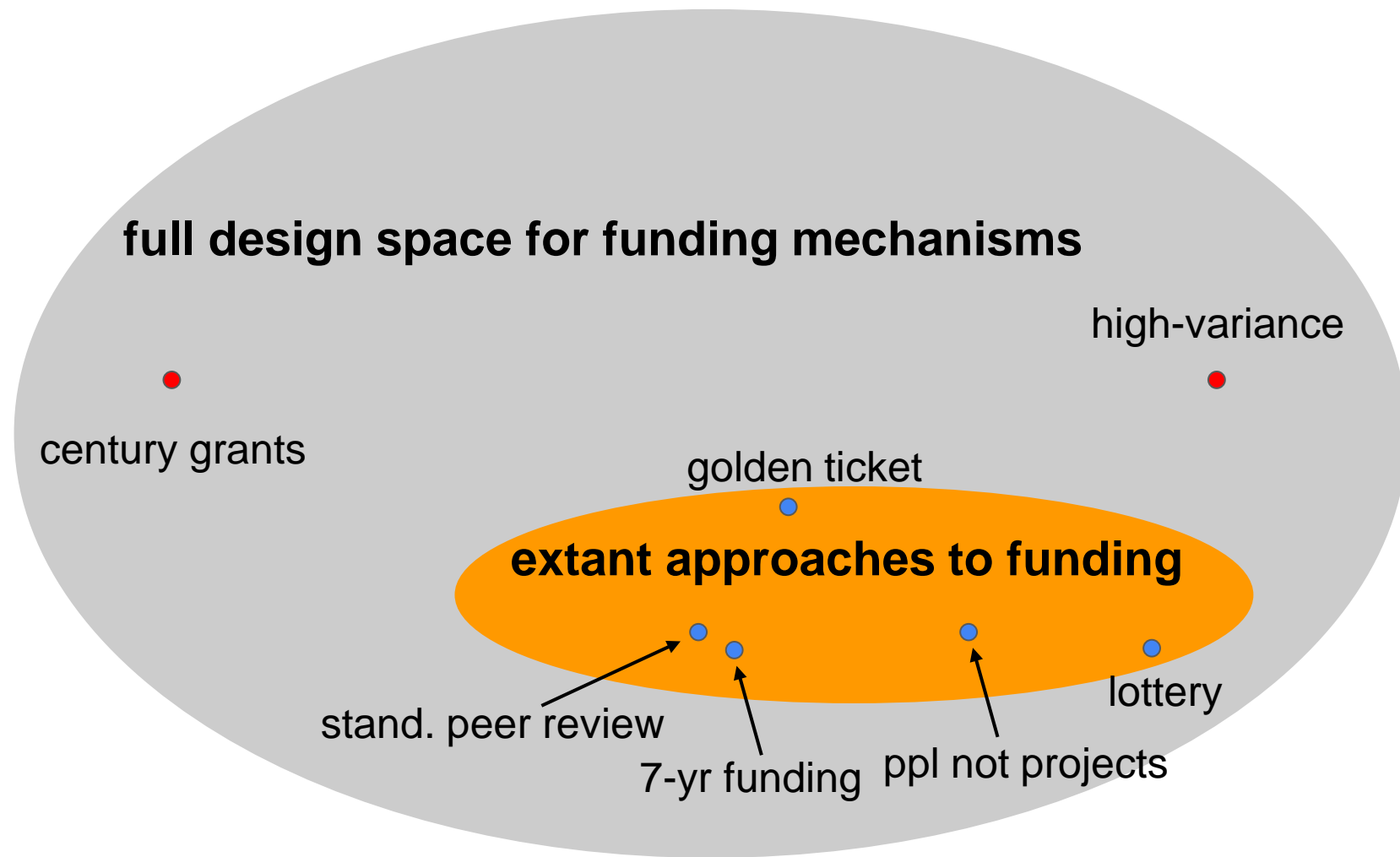


that's a subject for another talk, but just for concreteness...

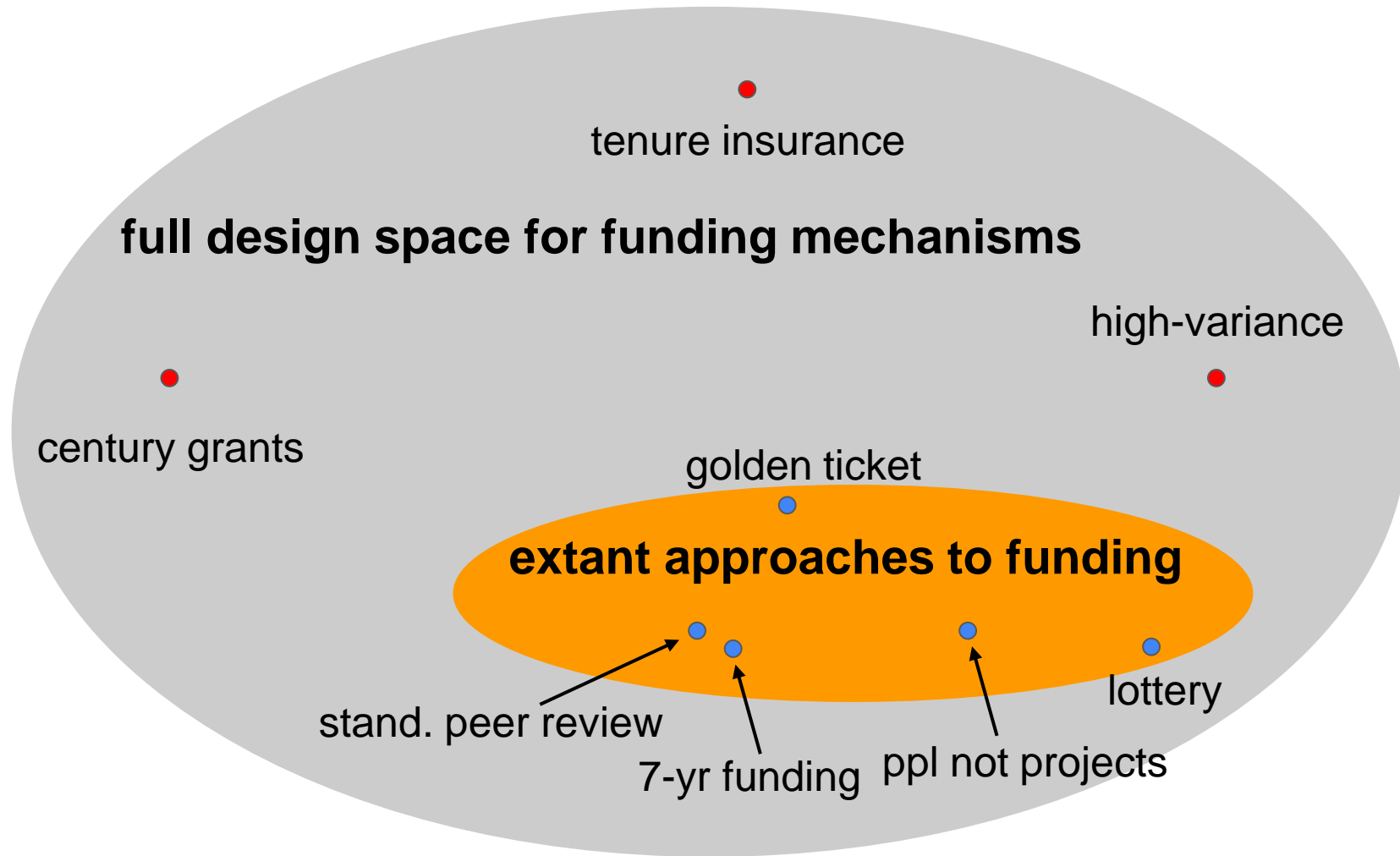




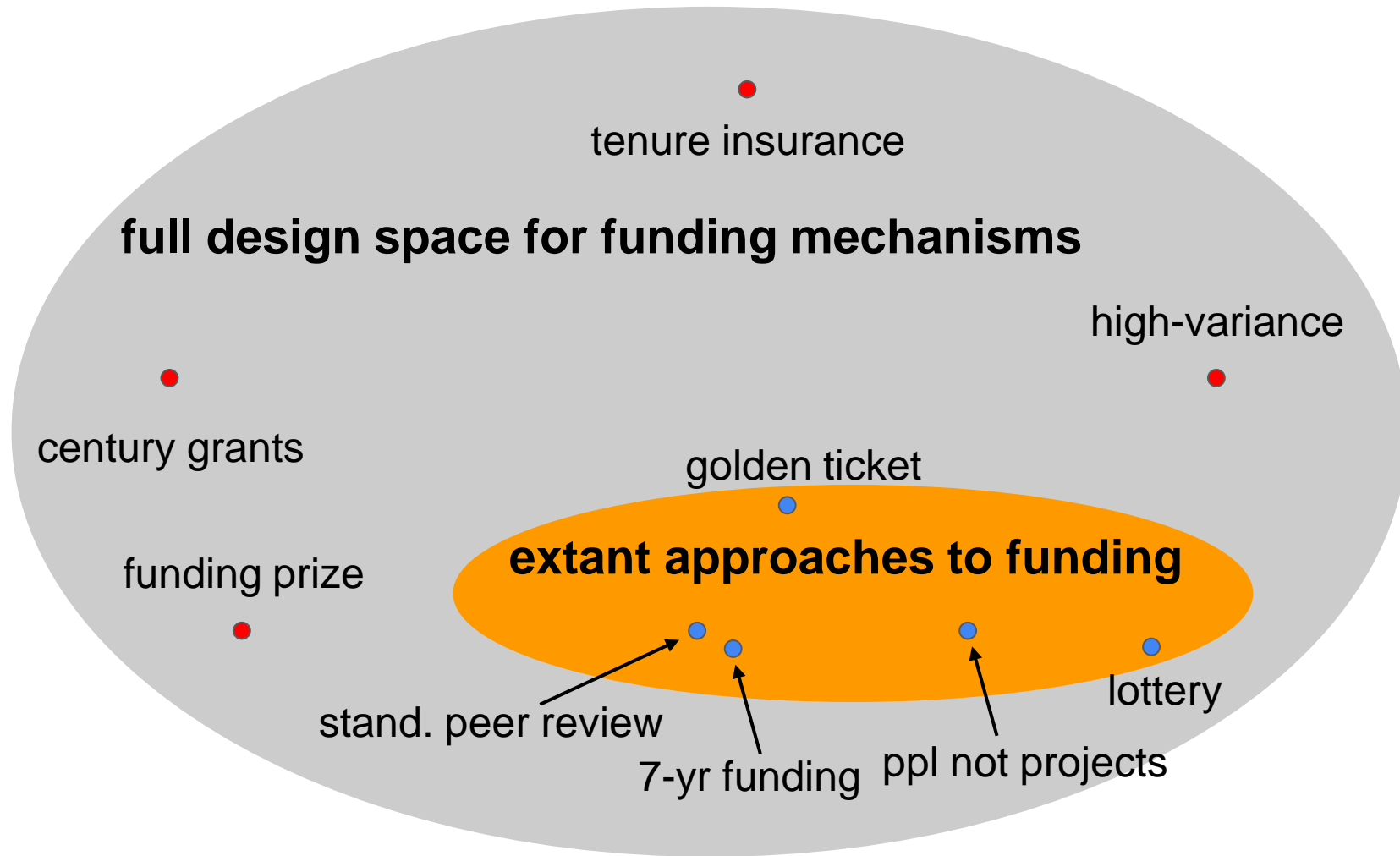
century grants: soliciting a kind of intellectual dark matter, problems requiring a century of work (at a small multiple of 5-year funding)



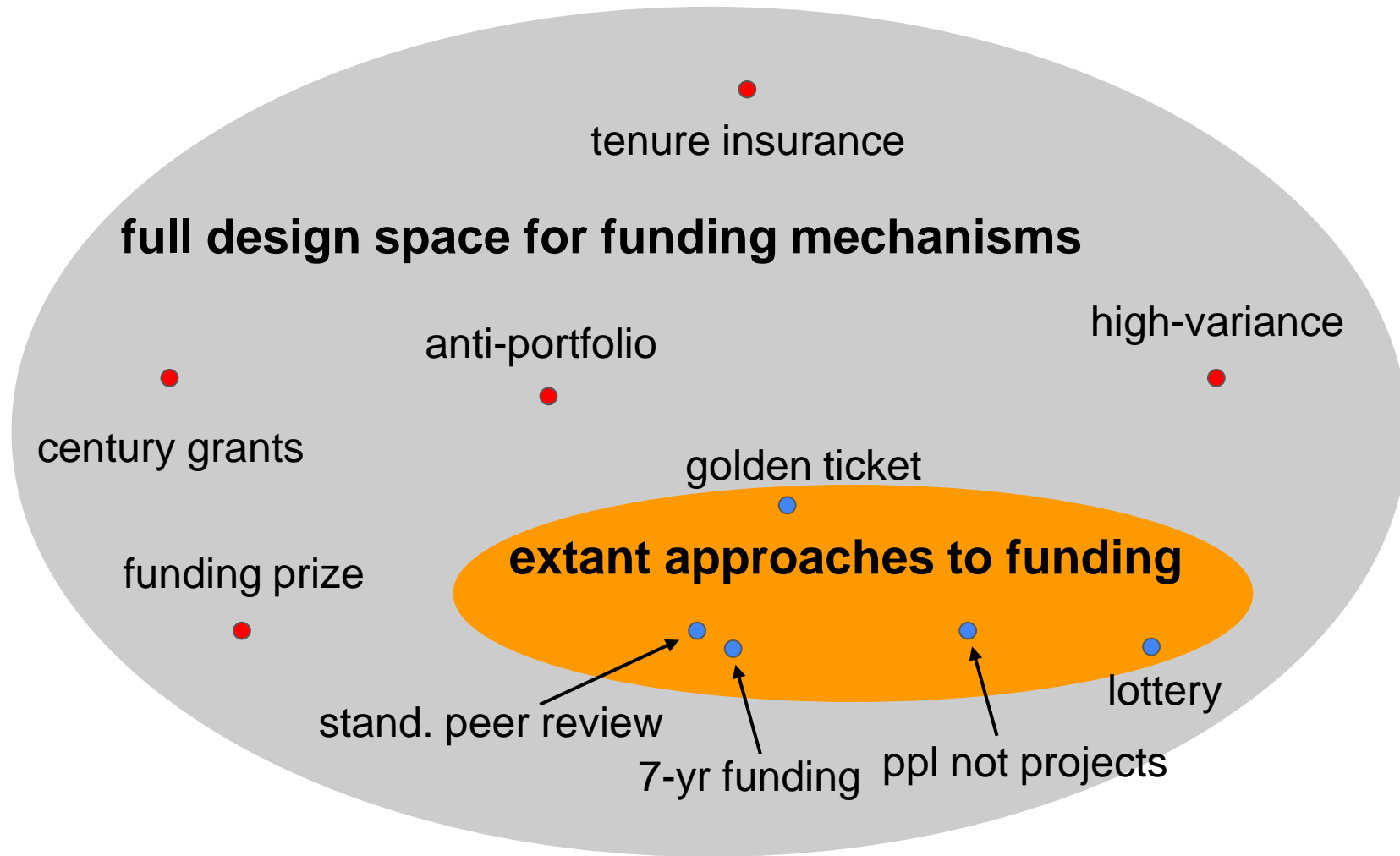
high-variance grant program: looking for disagreement, between people who absolutely love an idea, and who hate it



tenure insurance: encourage tenure-track scientists to swing for the fences, by providing a large payout in the event they fail to achieve tenure



“Nobel prize for funders”: to reward very early stage funding for work



anti-portfolio: search for and publicly report errors of omission

# The Anti-Portfolio.

## Honoring the companies we missed.

Bessemer Venture Partners is perhaps the nation's oldest venture capital firm, tracing our roots back to the Carnegie Steel empire. This long and storied history has afforded our firm an unparalleled number of opportunities to completely screw up.

Throughout our history, we did invest in a wig company, a french-fry company, and the Lahaina, Ka'anapali & Pacific Railroad. However, we chose to decline these investments, each of which we had the opportunity to invest in, and each of which later blossomed into a tremendously successful company.

Our reasons for passing on these investments varied. In some cases, we were making a conscious act of generosity to another, younger venture firm, down on their luck, who we felt could really use a billion dollars in gains. In other cases, our partners had already run out of spaces on the year's Schedule D and feared that another entry would require them to attach a separate sheet.



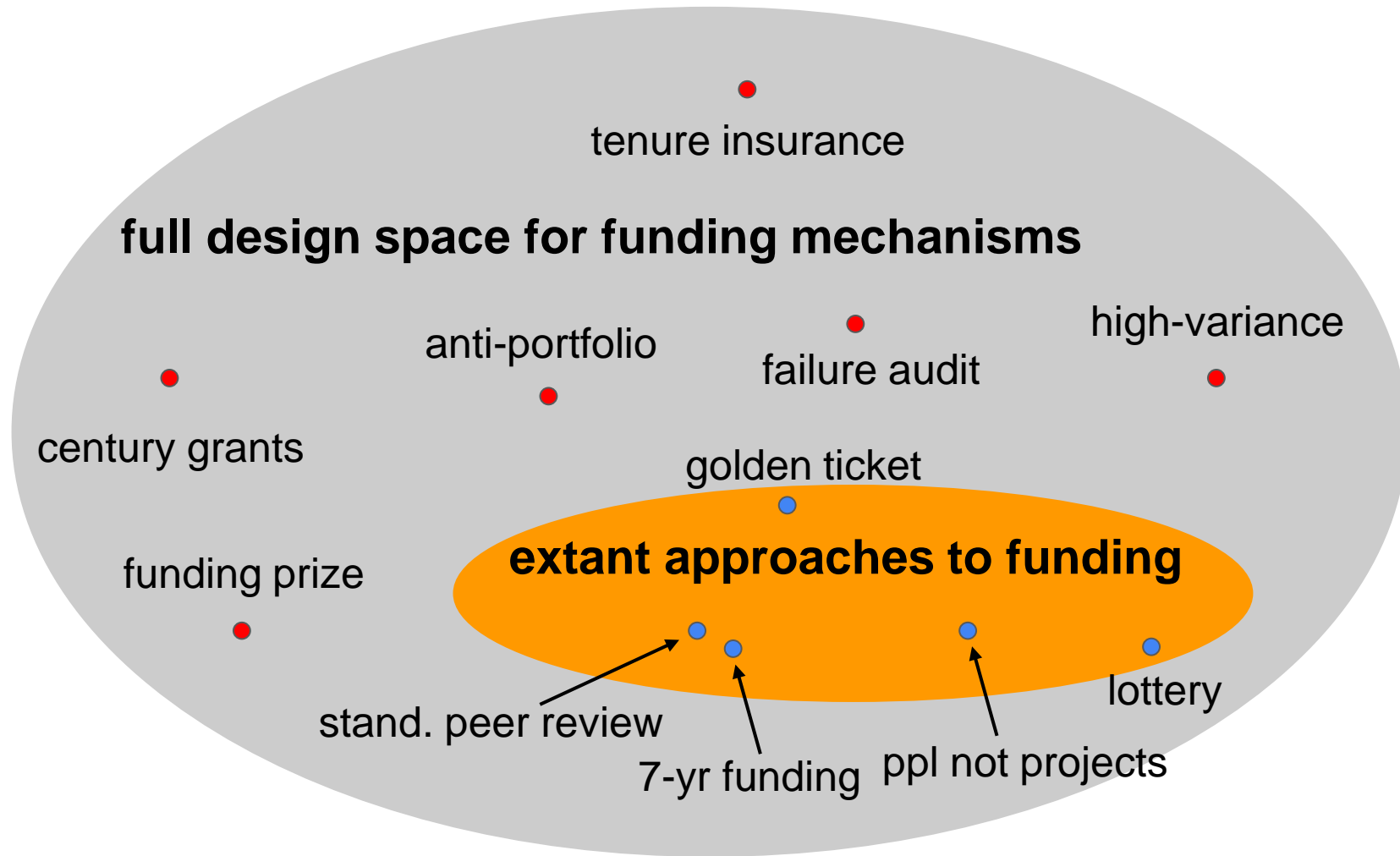


coinbase

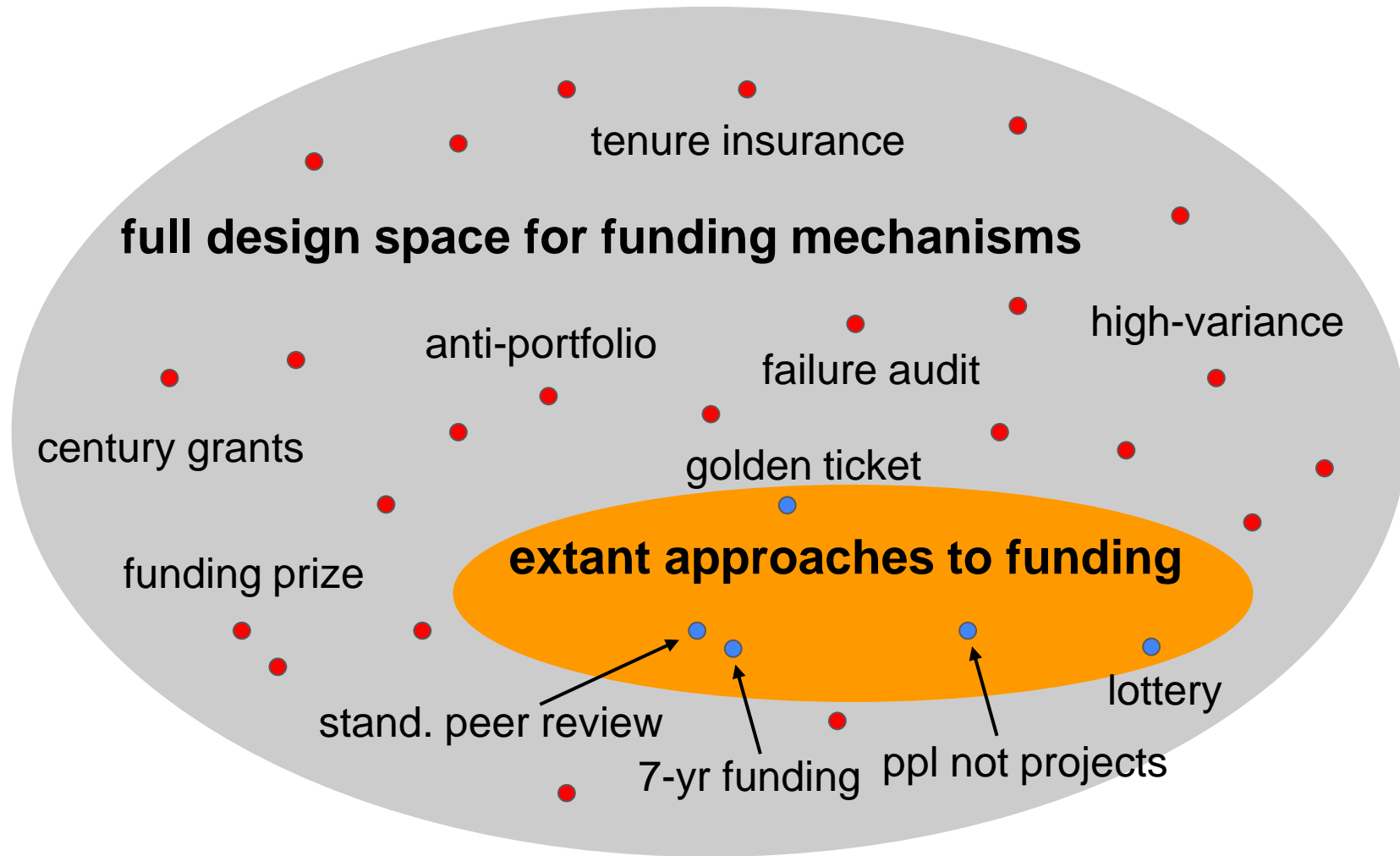


## Google

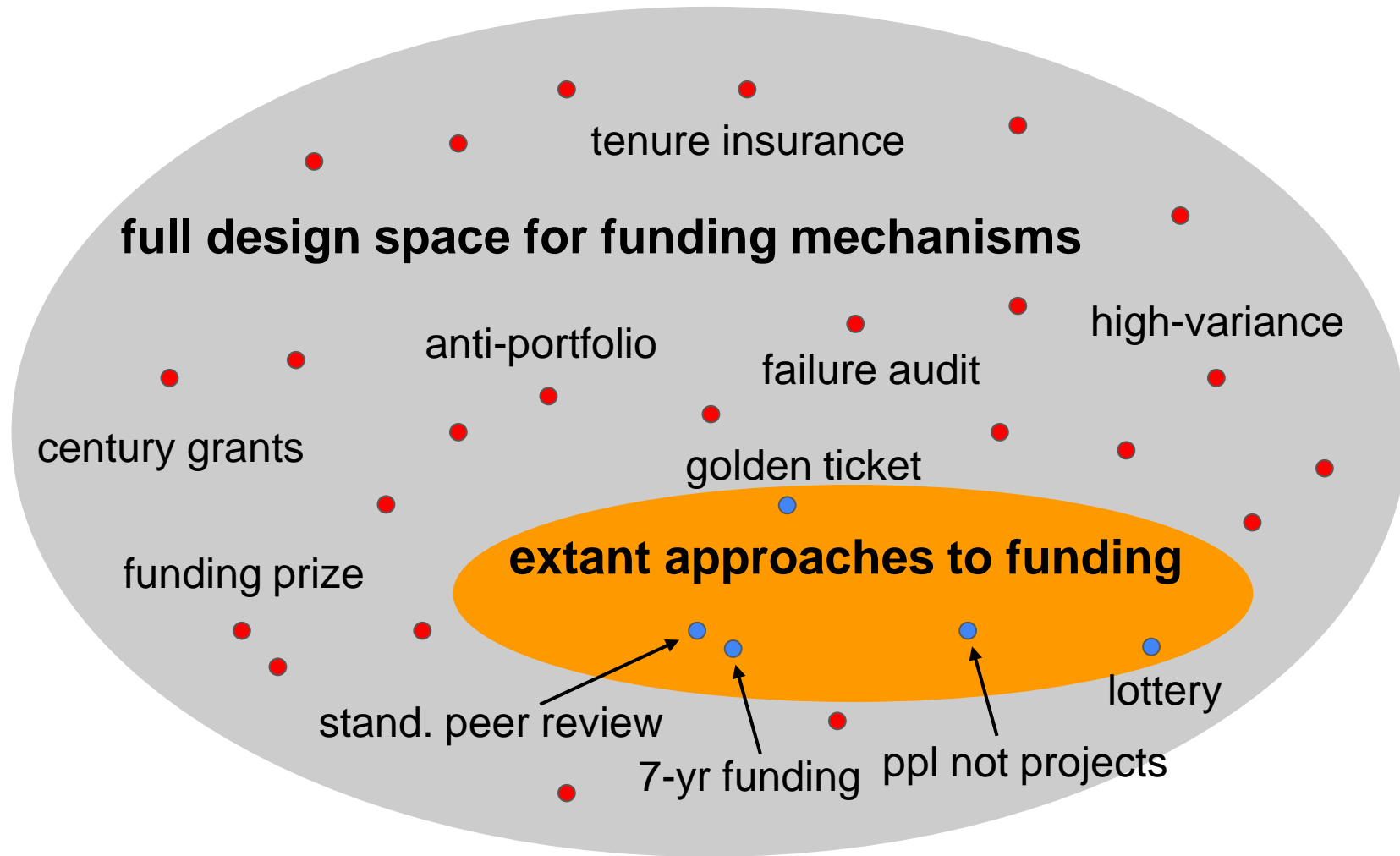
David Cowan's college friend rented her garage to Sergey and Larry for their first year. In 1999 and 2000 she tried to introduce Cowan to "these two really smart Stanford students writing a search engine." Students? A new search engine? In the most important moment ever for Bessemer's anti-portfolio, Cowan asked her, "How can I get out of this house without going anywhere near your garage?"



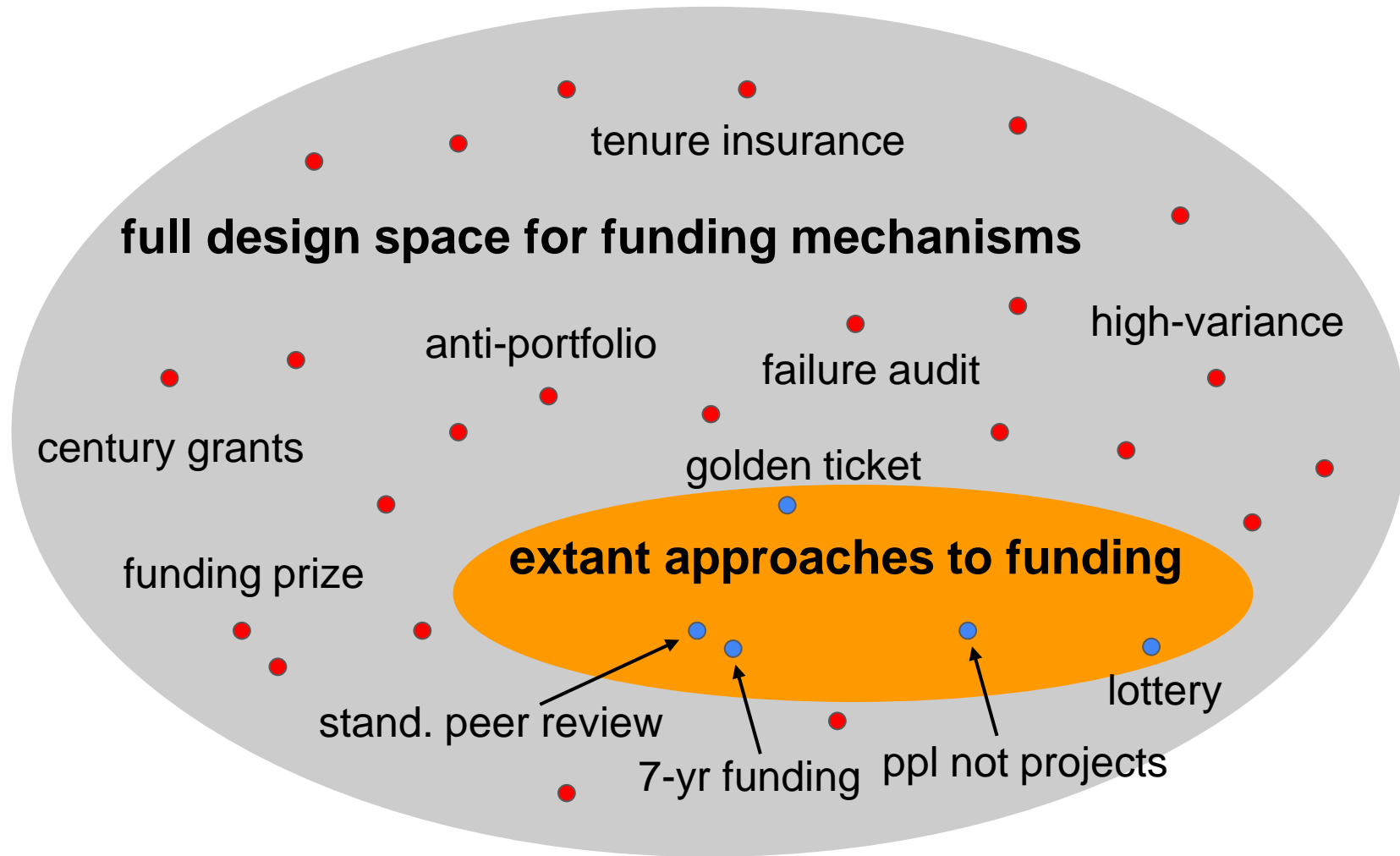
failure audit: ensure that the failure rate is above a given percentage



or an infinity of other ideas

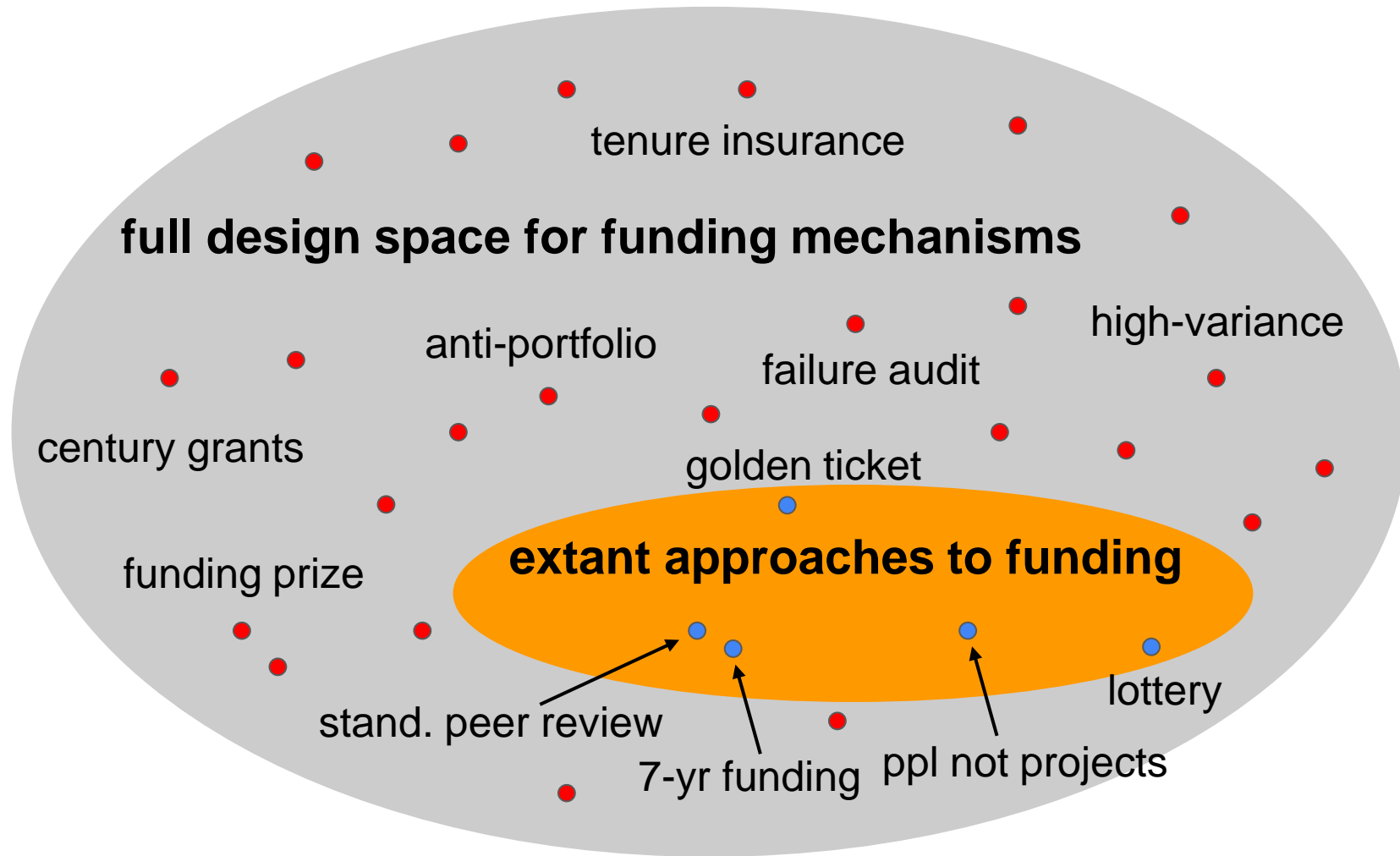


in each case, you're attempting to identify some latent *potential for discovery*, and then design and implement a mechanism (or mechanisms) to activate it

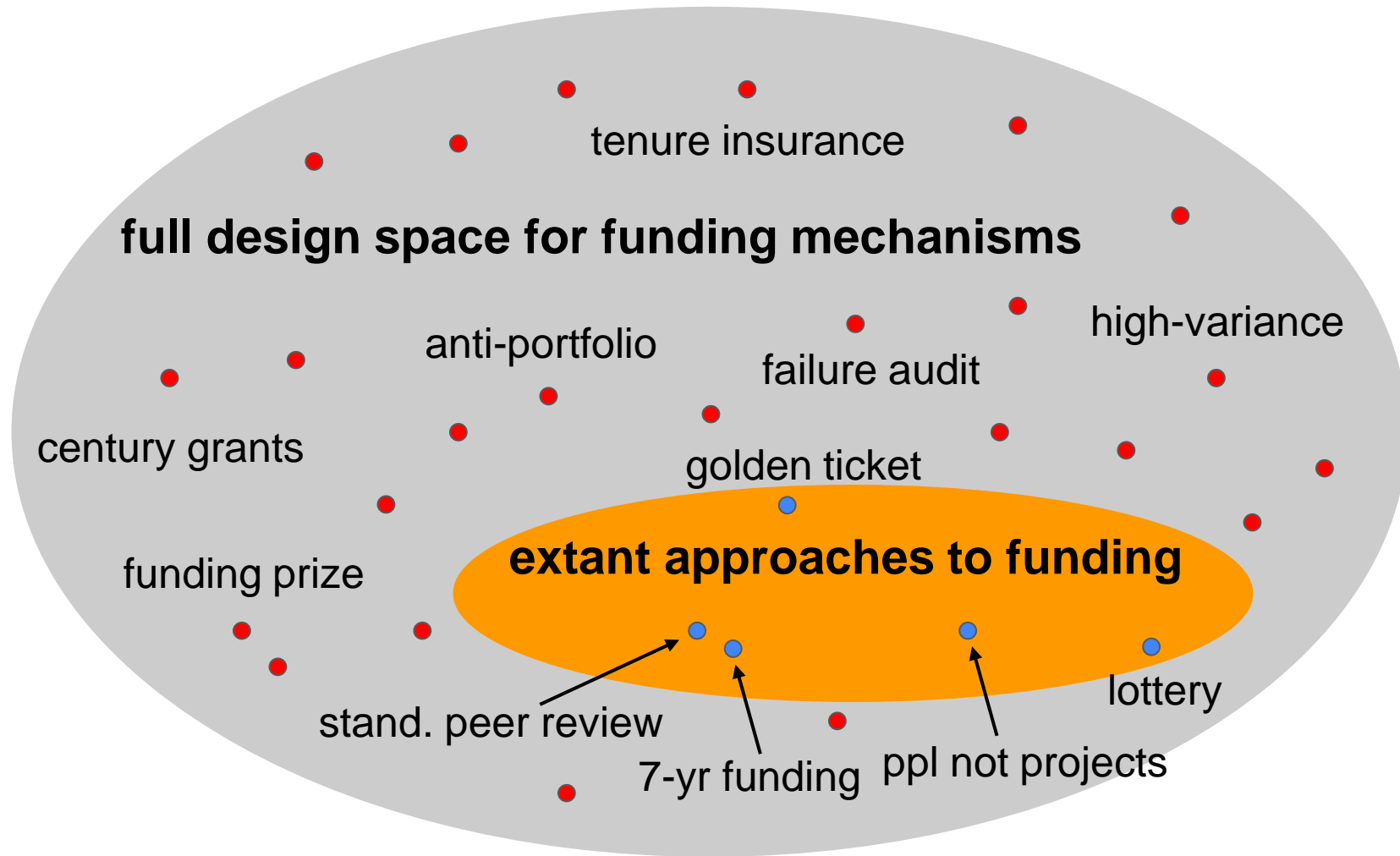


some ideas may work extremely well

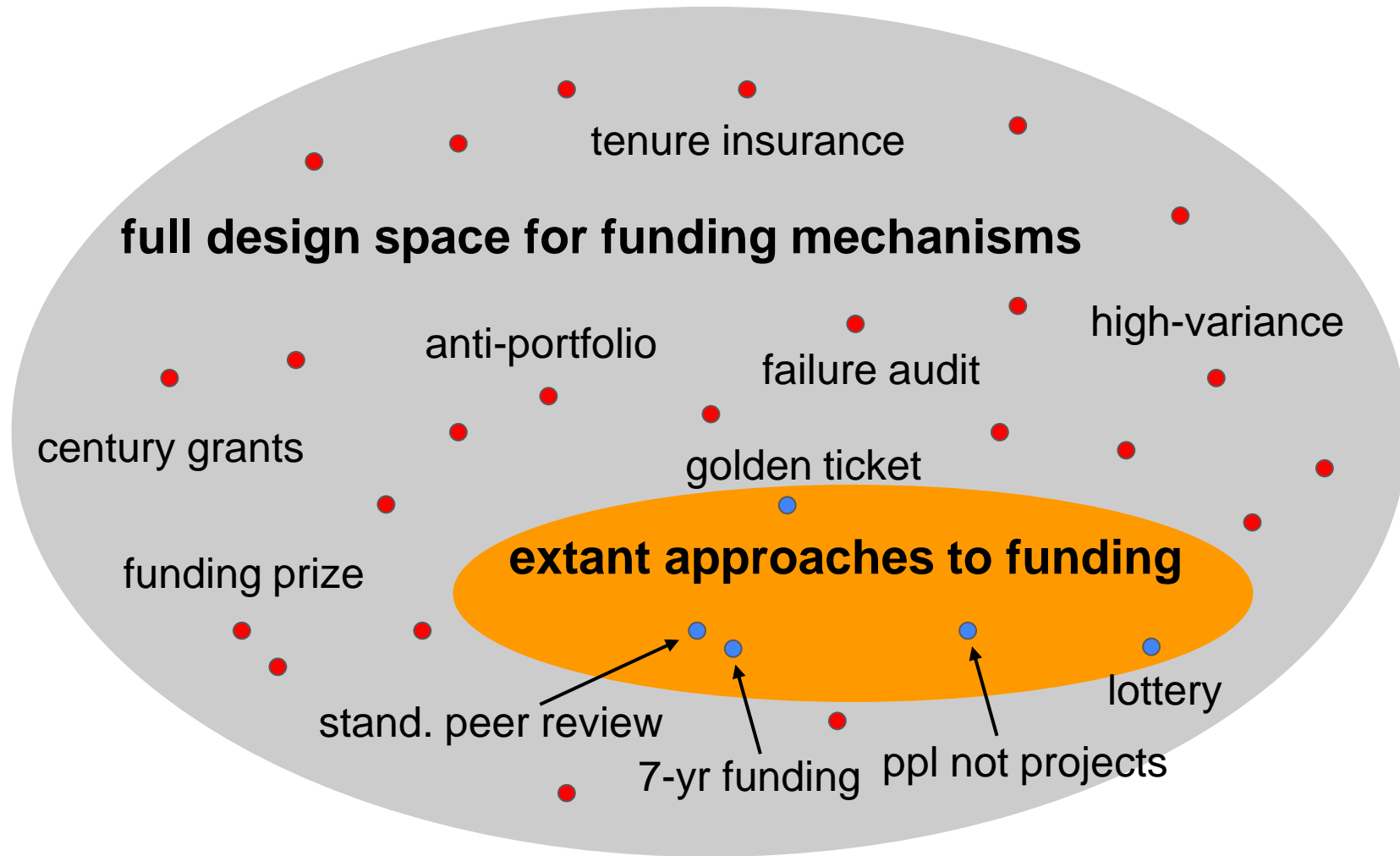




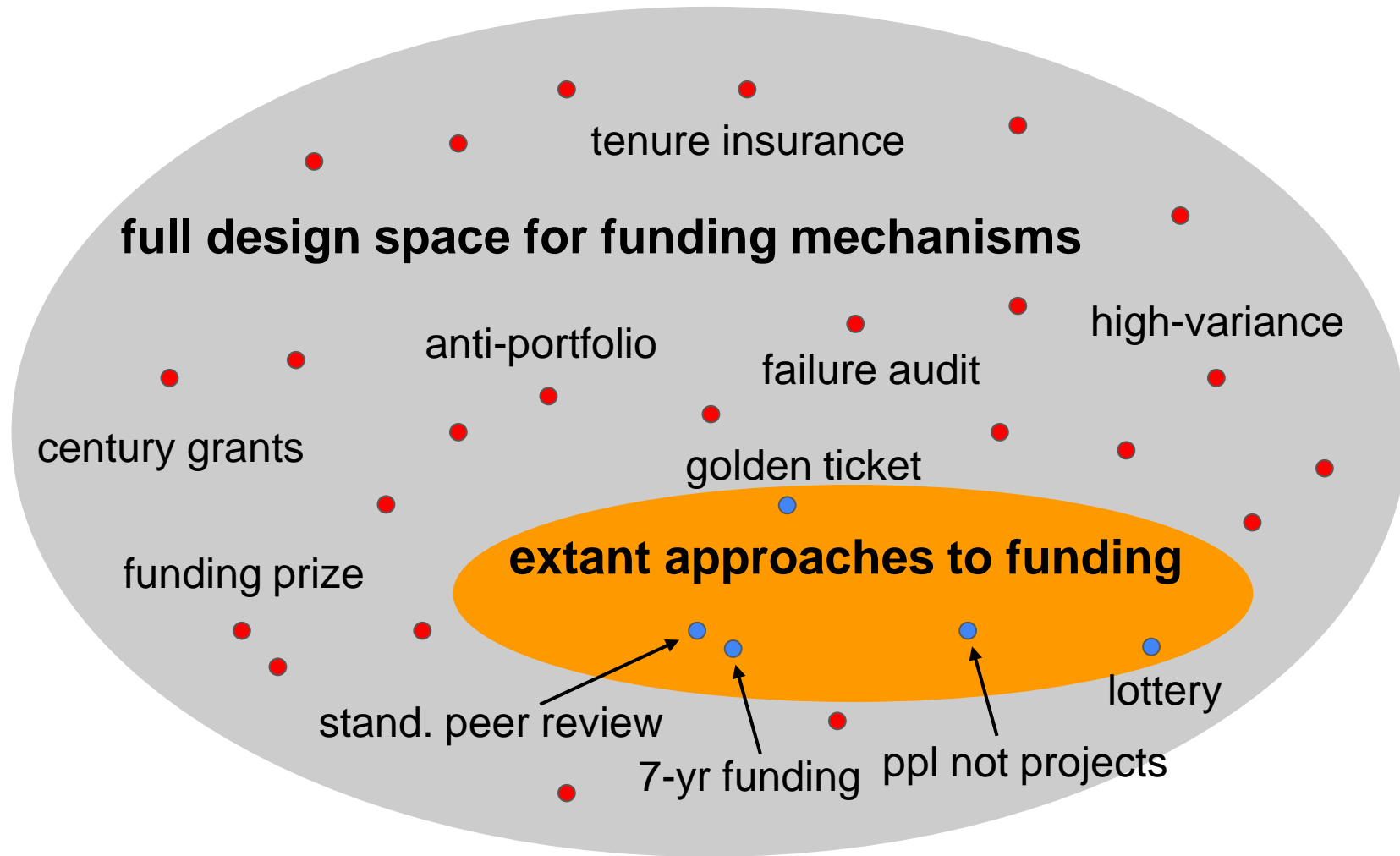
others may be worse than the status quo



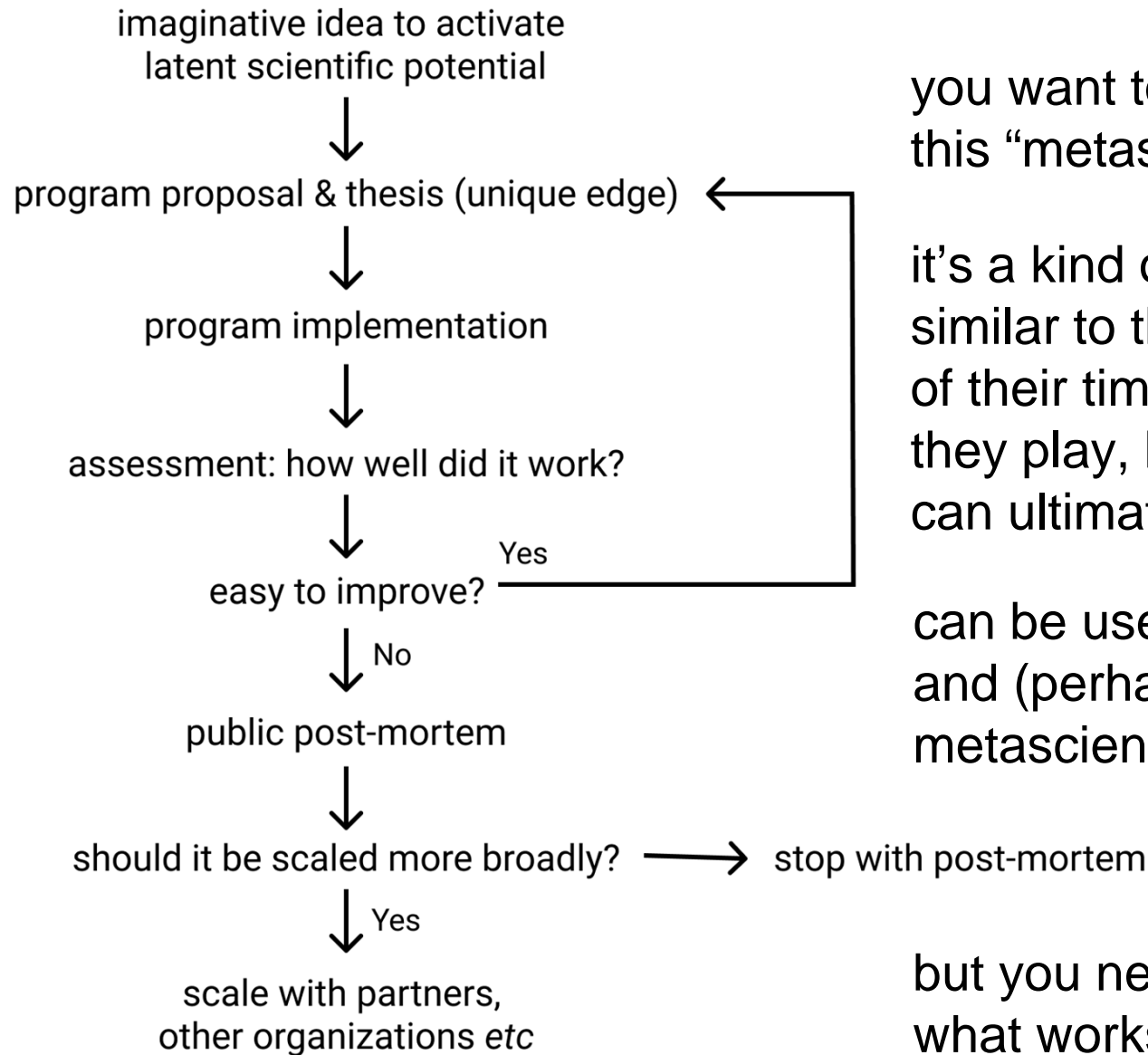
what you'd like is to trial many, many, many such ideas, and then  
to understand in detail the impact on discovery



not based on what sounds good to politicians or journalists (or even scientists), but to build up an understanding of what actually benefits humanity and science



to do that you need to be able to understand the marginal impact of different funding schemes



you want to be able to go rapidly through this “metascience loop”, for many ideas in parallel

it’s a kind of “J-PAL for science” model. Rather similar to the way top athletes spend some fraction of their time not just playing or practicing the way they play, but developing entirely new skills that can ultimately transform their game

can be used to drive improvement in science funding and (perhaps) science. I think of it as applied metascience, “putting metascience at the core of science”

but you need to honestly and reliably understand what works and what does not. How can we do that?



# Incentives and creativity: evidence from the academic life sciences

Pierre Azoulay, Joshua S. Graff Zivin, Gustavo Manso

First published: 12 September 2011 |

<https://doi.org/10.1111/j.1756-2171.2011.00140.x> | Citations: 260

an attempt to do this kind of careful study and comparison of funding schemes

compares the “people-not-projects” approach of the HHMI Investigator program to  
the more project-focused approach of the NIH

# Incentives and creativity: evidence from the academic life sciences

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not an RCT - there is (currently) no way to randomize people into NIH or HHMI  
Investigator

but it's RCT-like: they work very hard to make a fair like-to-like comparison, so HHMI can  
be considered an intervention, and NIH a control

# Incentives and creativity: evidence from the academic life sciences

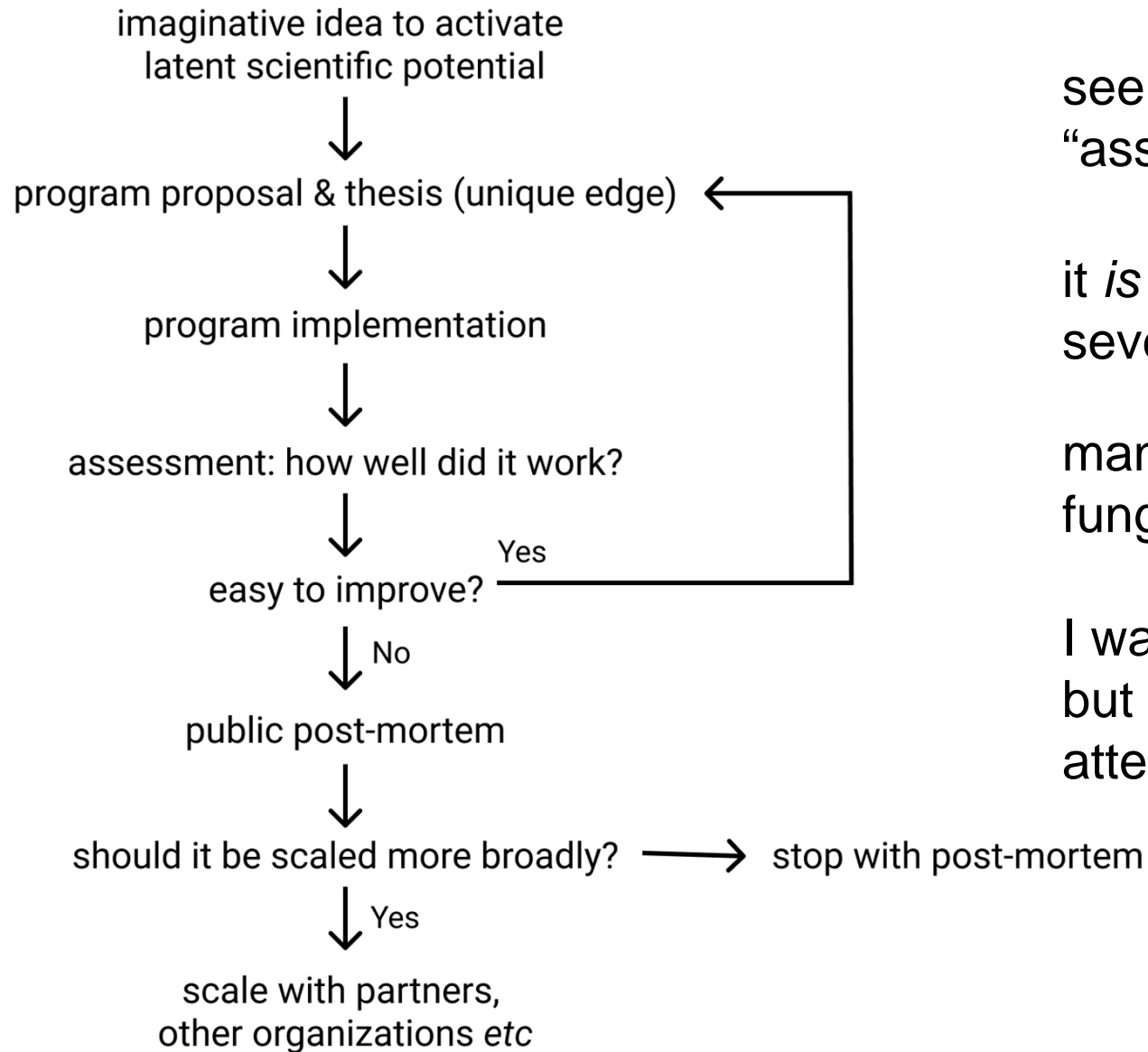
Pierre Azoulay, Joshua S. Graff Zivin, Gustavo Manso

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find a 39% increase in publication rate for HHMI

becomes 96% when focused on papers in the top 1% of the citation distribution



seems like a good prototype for the crucial “assess” step

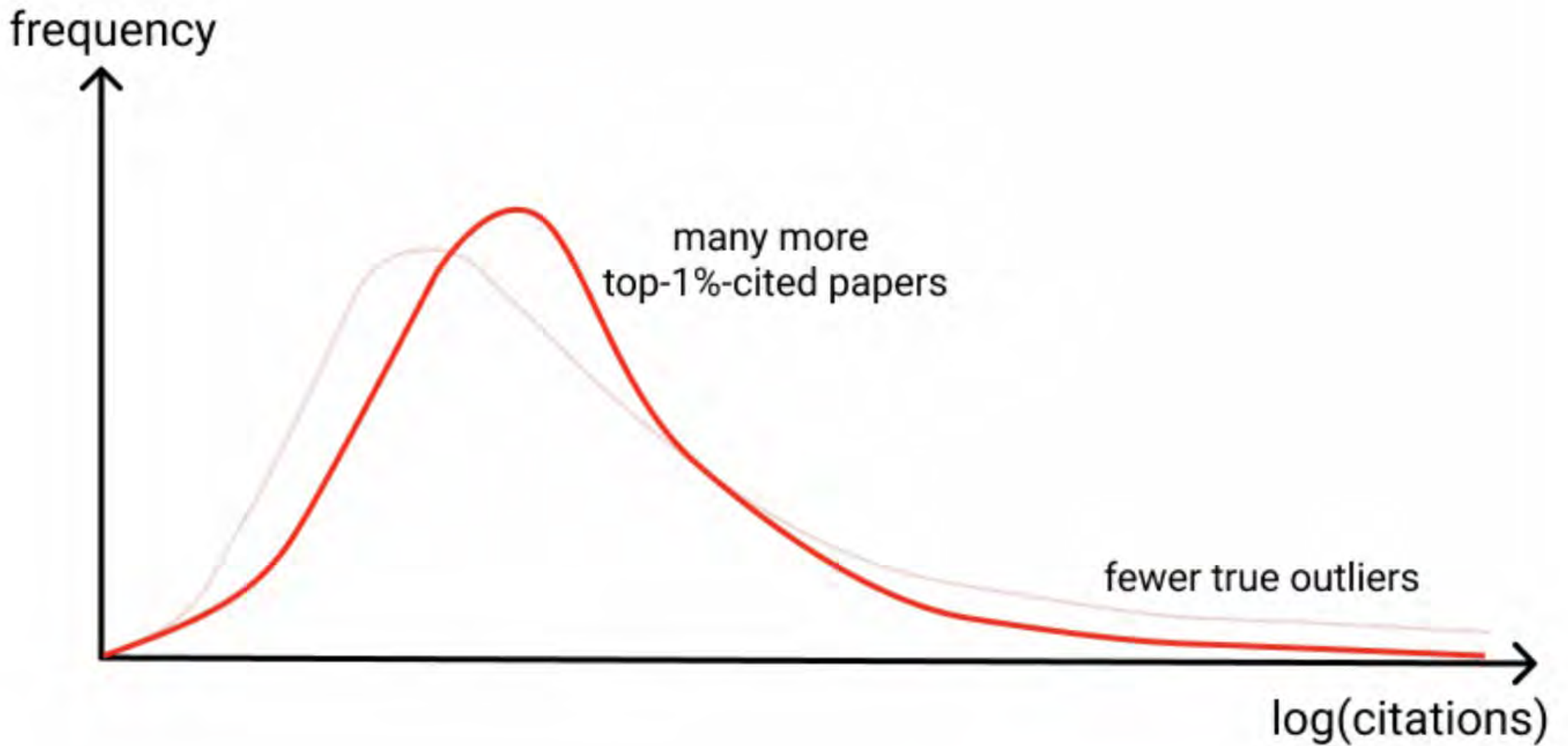
it *is* a beautiful paper... but worth subjecting to severe scrutiny

many critiques have been made (citations???, fungibility and quantification???, *etc*).

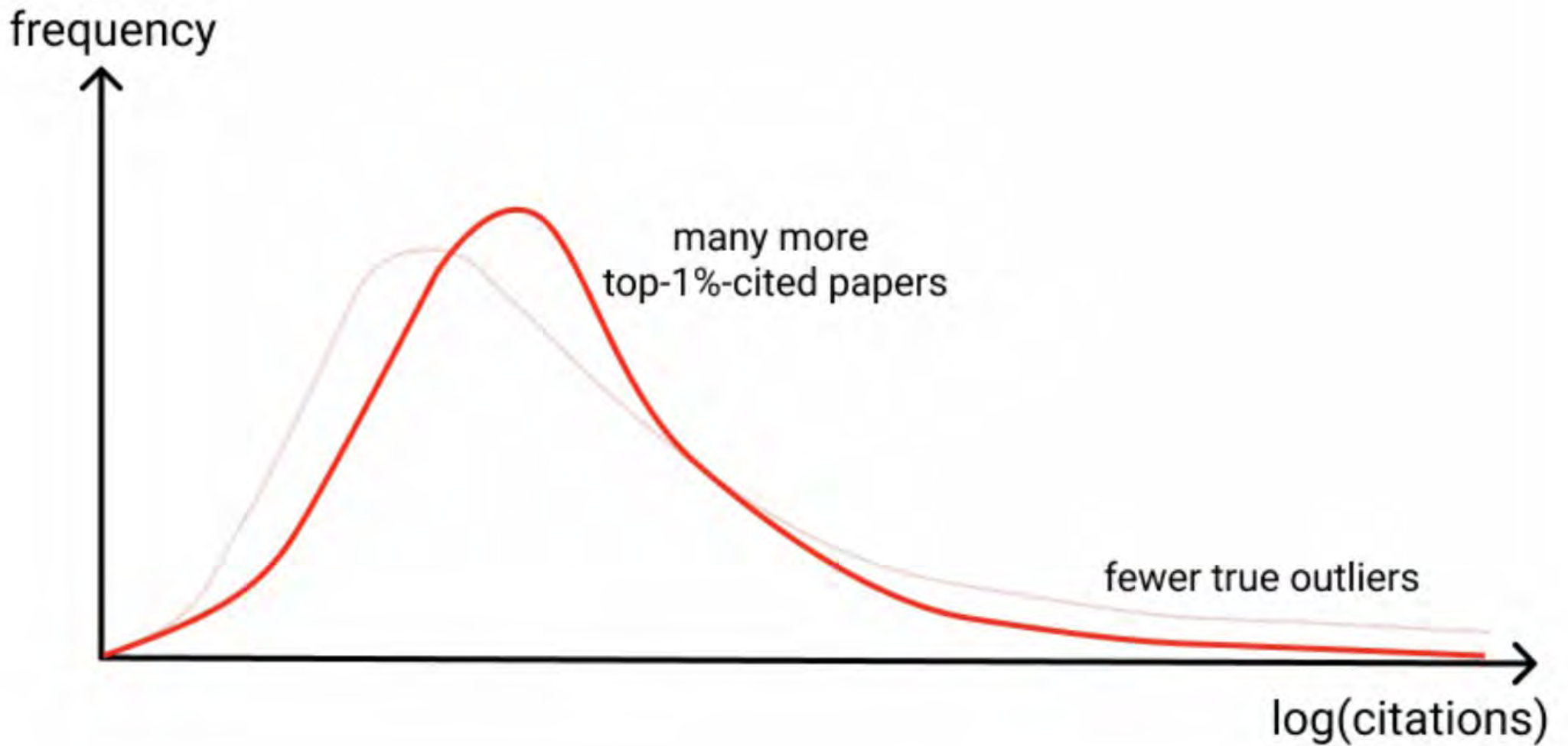
I want to focus on one that has rarely been made, but that seems fundamental to this or any other attempt to compare funding schemes

consider that 96% increase in top-1% cited papers.  
It sounds very striking, almost dispositive

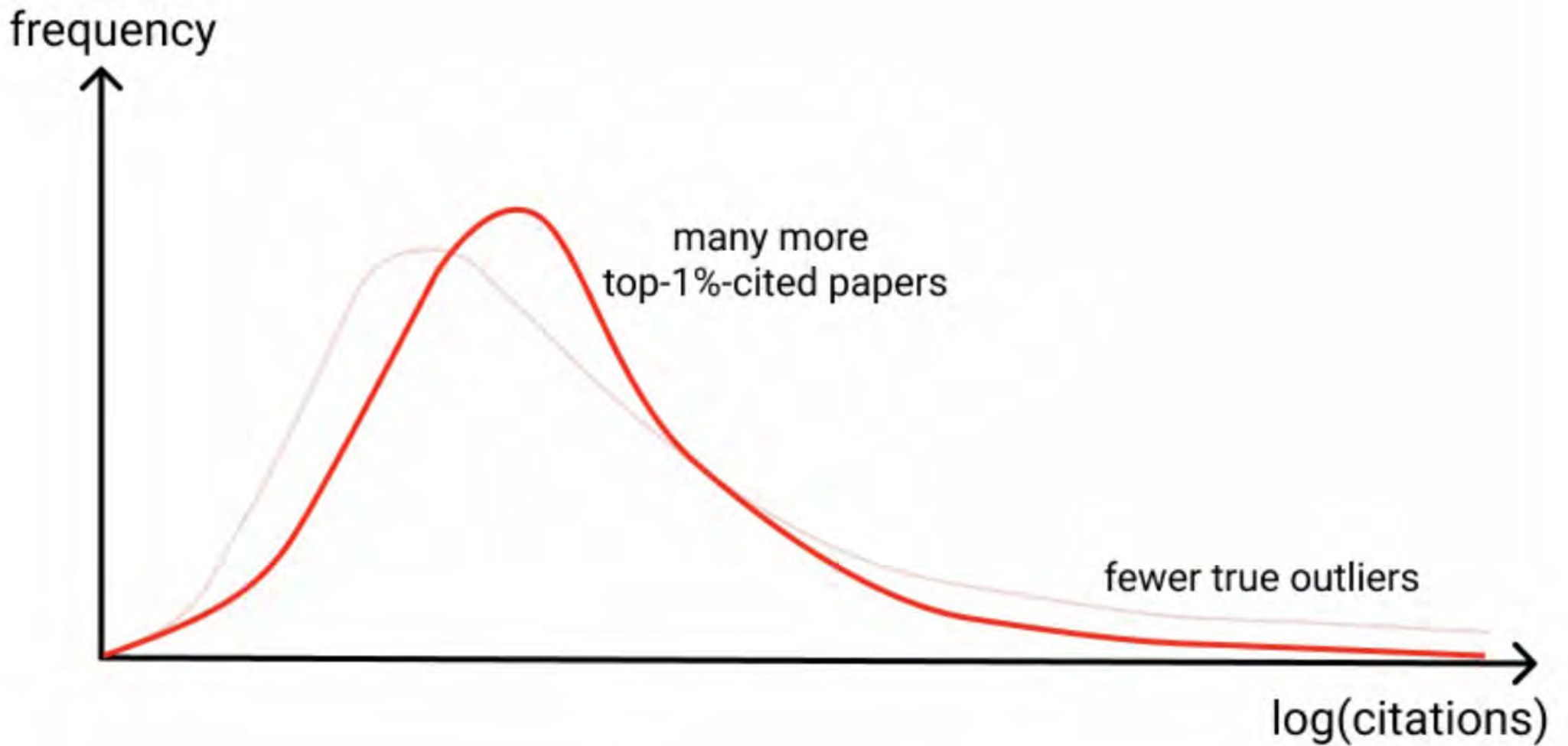




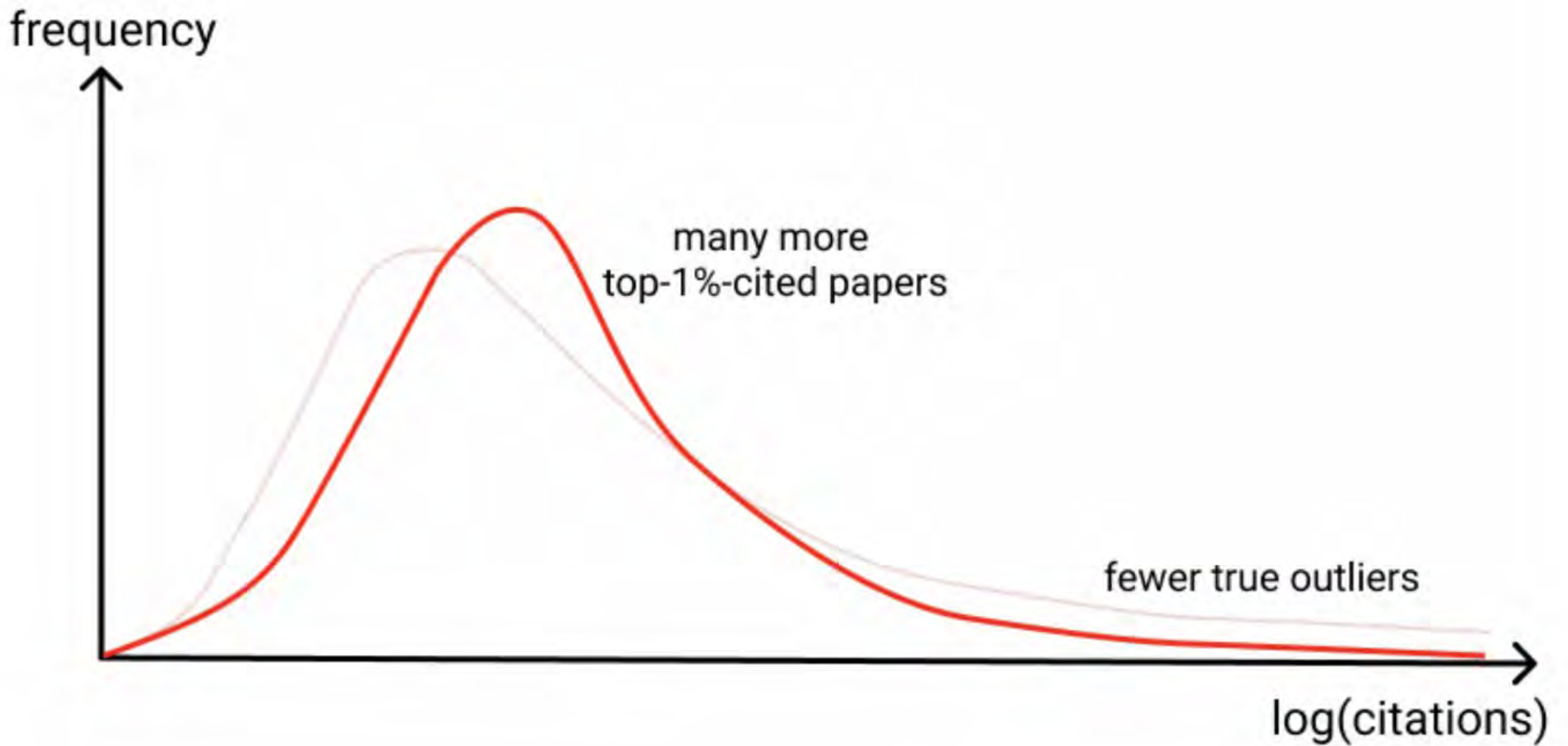
but perhaps it's due to an improvement in typical behavior, combined with more control, narrowing the curve, and reducing the impact of true outliers



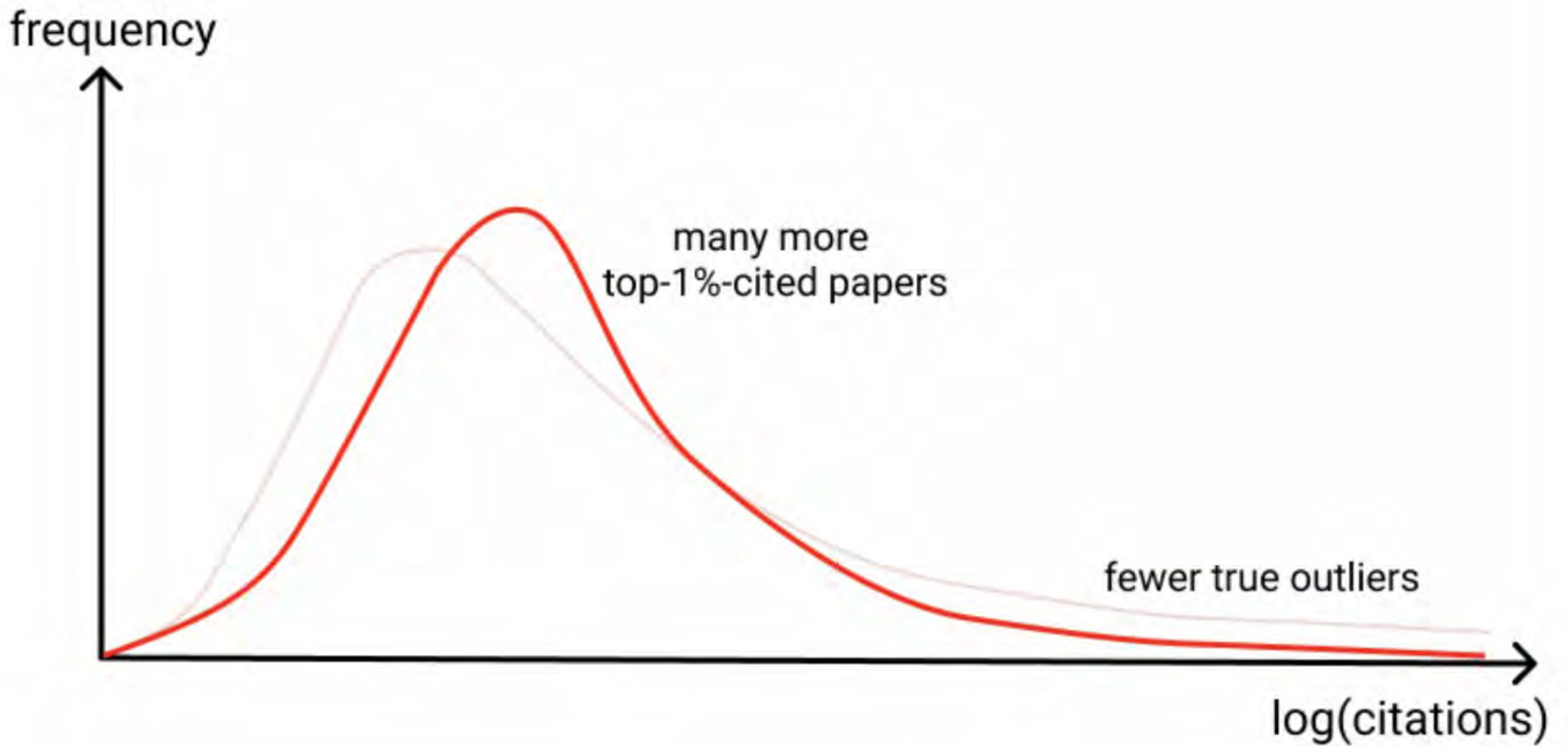
in other words, increasing quality control may improve the bulk of the curve,  
but reduce the true outliers



A crucial question: do we care more about the bulk of the curve, or about the extreme outliers?



if it's the bulk, then the Azoulay results are strong



if it's outliers, then the Azoulay results may even mislead us badly



this perhaps seems a rather abstract question

but I believe it's fundamental

investment faces the same outlier-versus-bulk issue, and there it's utterly central

(Academic scientists sometimes dislike this comparison. But (a) it's a closely-related issue; and (b) in investment it's easier, because they have more easily quantified returns. This makes it a great toy model, to illuminate thought.)

## **informal folk wisdom:**

late-stage investing is data focused, about understanding statistics in the bulk of the curve  
early-stage venture investing is all about outliers, swing-for-the-fences

Jim Simons (RenTech): “If you trade a lot, you only need to be right 51% of the time.”

Peter Thiel (VC): Venture returns don't follow a normal distribution overall. Rather, they follow a power law: a small handful of companies radically outperform all others... Our results at Founders Fund [Thiel's VC firm] illustrate this skewed pattern: Facebook, the best investment in our 2005 fund, returned more than all the others combined. Palantir, the second-best investment, is set to return more than the sum of every other investment aside from Facebook. This highly uneven pattern is not unusual: we see it in all our other funds as well. The biggest secret in venture capital is that the best investment in a successful fund equals or outperforms the entire rest of the fund combined. This implies two very strange rules for VCs. First, only invest in companies that have the potential to return the value of the entire fund. This is a scary rule, because it eliminates the vast majority of possible investments. (Even quite successful companies usually succeed on a more humble scale.) This leads to rule number two: because rule number one is so restrictive, there can't be any other rules.

it's almost an anti-inductivist approach: study the bulk of the curve in order to avoid it; you need to find non-recurring outliers that are unlike anything else, to return the value of the fund

(This is all folk wisdom. Abe Othman has used AngelList data to confirm that it's at least plausibly correct: early-stage VC is outlier-dominated, the earlier the more outlier-dominated.)

## **Which is science (outlier-dominated or bulk-dominated)?**

If you trust citations (!), it's bulk-dominated.

But: investment as a whole is bulk-dominated, too.

Crucial sub-segments are outlier-dominated, and need to be treated that way.

- (1) We don't trust citations; and (2) crucial sub-segments of science may be outlier-dominated.



## **So what to do?**

I'm not sure! Not very keynote-like! I'm reporting a fundamental problem that research on research must address, not a solution.

Provisional partial answer: you want at least: (1) careful Azoulay-style statistical comparisons of the bulk of the curve; (2) careful study of outliers; (3) to avoid over-reliance on either; (4) look for inconsistencies; (5) clear thesis on whether a funding approach is aimed at outliers or the bulk.

## Summing up

Funding is an imaginative discipline. The best ideas may yet to be discovered, and require tremendous imagination to do so. What are the most imaginative ideas we can find?

We need to radically scale up experimentation through the “metascience learning loop”. Over the long run, 10% seems a reasonable fraction of the science budget to spend on improving the way we fund.

**full design space for funding mechanisms**

But there are many fundamental theoretical questions we don't yet know how to answer. And that's what organizations like the RoRI will hopefully do in the years and decades to come.

**extant approaches to funding**

If that can be done, then we can place metascience at the core of science, driving rapid rapid improvements in all the social processes of science.



# RoRI's Operating Model: Co-producing system change

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Experiment, translate and transform:  
priorities for the next decade of research on research; 20 & 21 June 2022

*Sarah de Rijcke (CWTS & RoRI) - [s.de.rijcke@cwts.leidenuniv.nl](mailto:s.de.rijcke@cwts.leidenuniv.nl)*

# System change

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Shifting landscape, increased investments, heightened aspirations

Need to address challenges & opportunities in research system

Need to align interests and goals

# Co-production

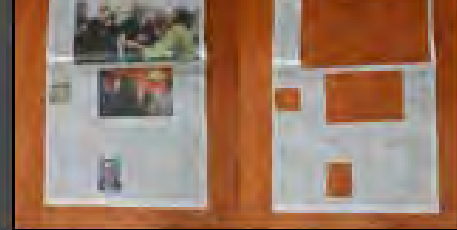
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Collaborative consortium model

Choice of topics reflect goals and interests across partnership

Practical outcomes, based on robust research





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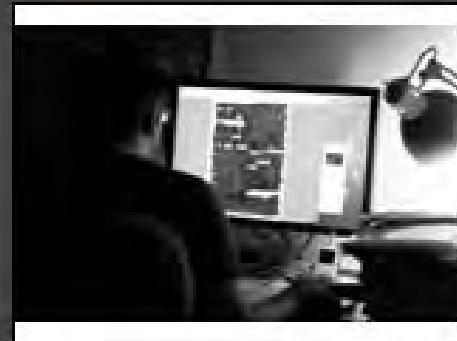
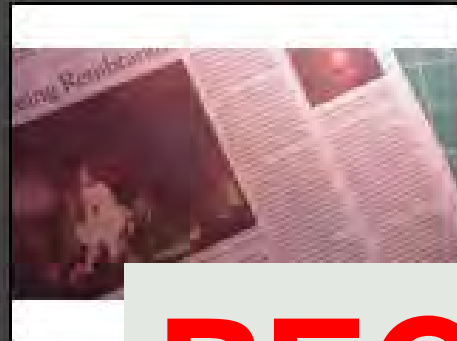
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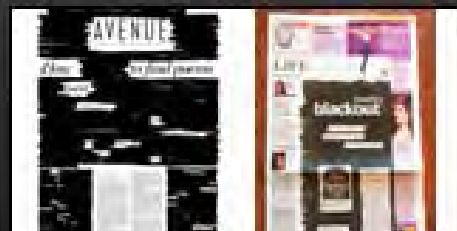
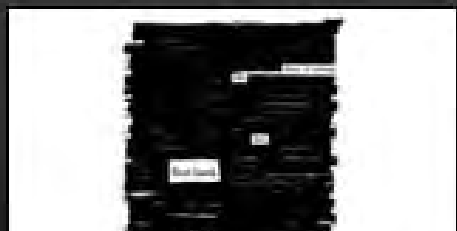
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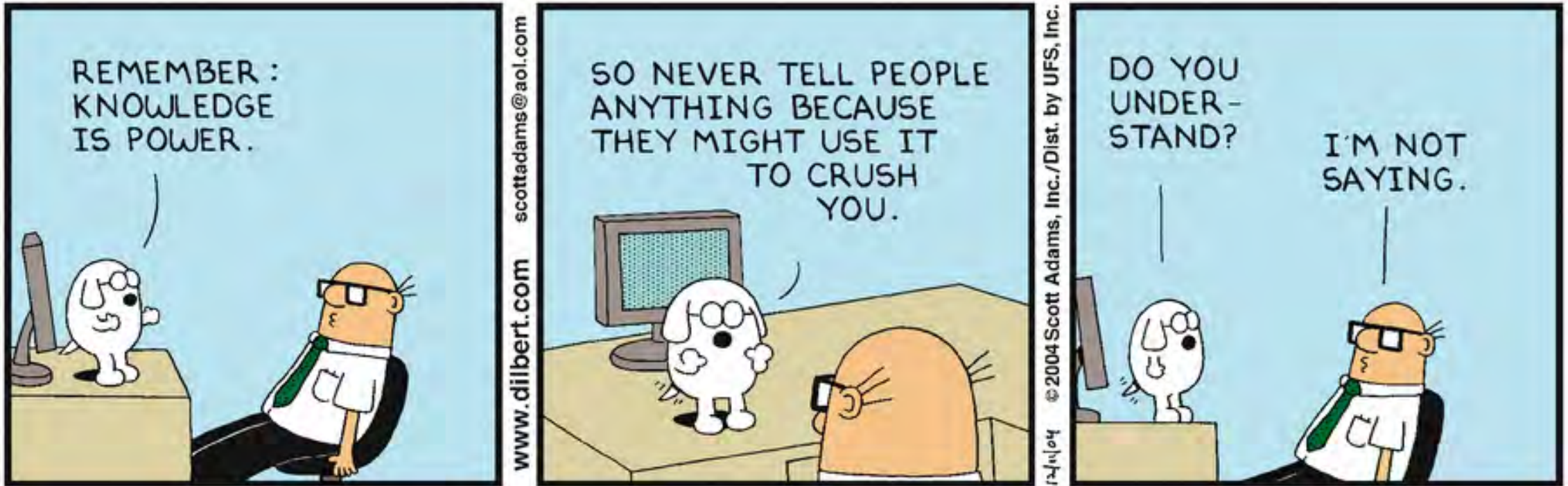
# Funder Data Platform

And the first platform project: CRITERIA

Vincent Traag (CWTS, Leiden University), and Gert V. Balling (Novo Nordisk Foundation)

June 2022

# Who needs data sharing?

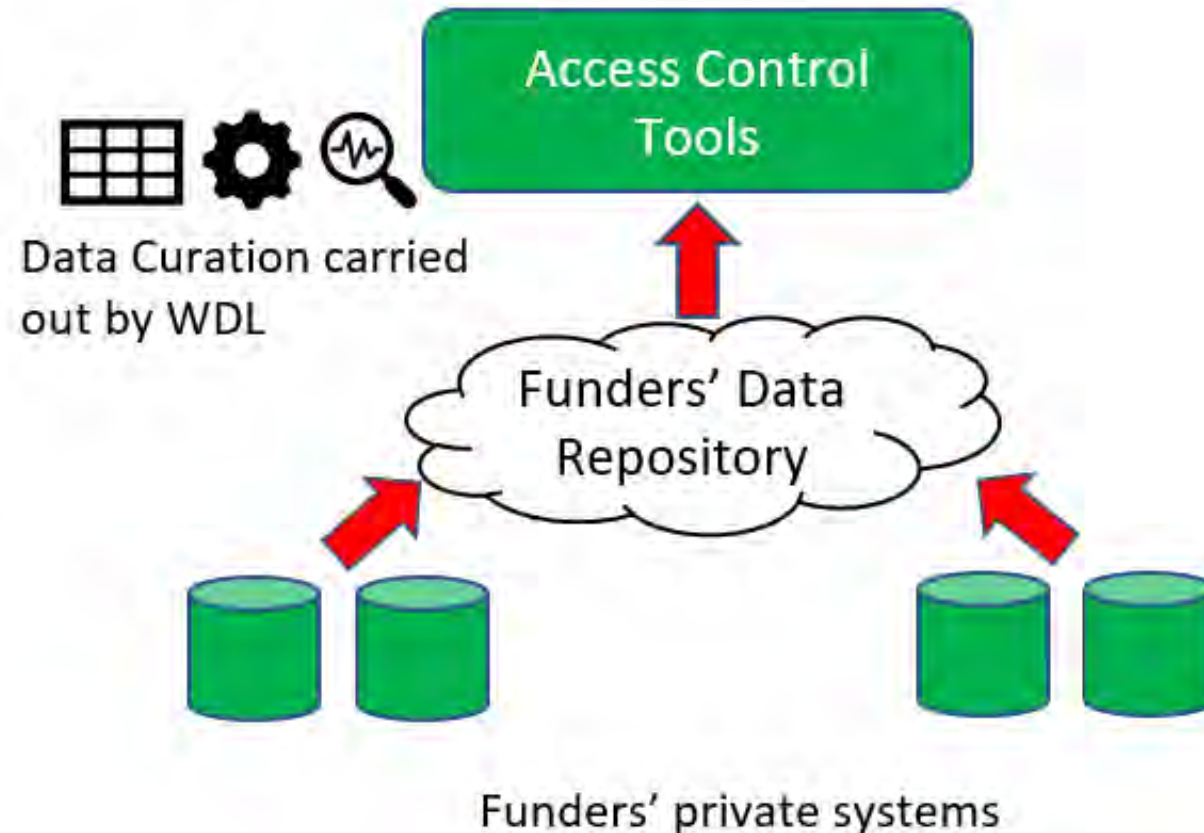


<https://dilbert.com/strips/2004-12-11>

# Data sharing based on trust will bring

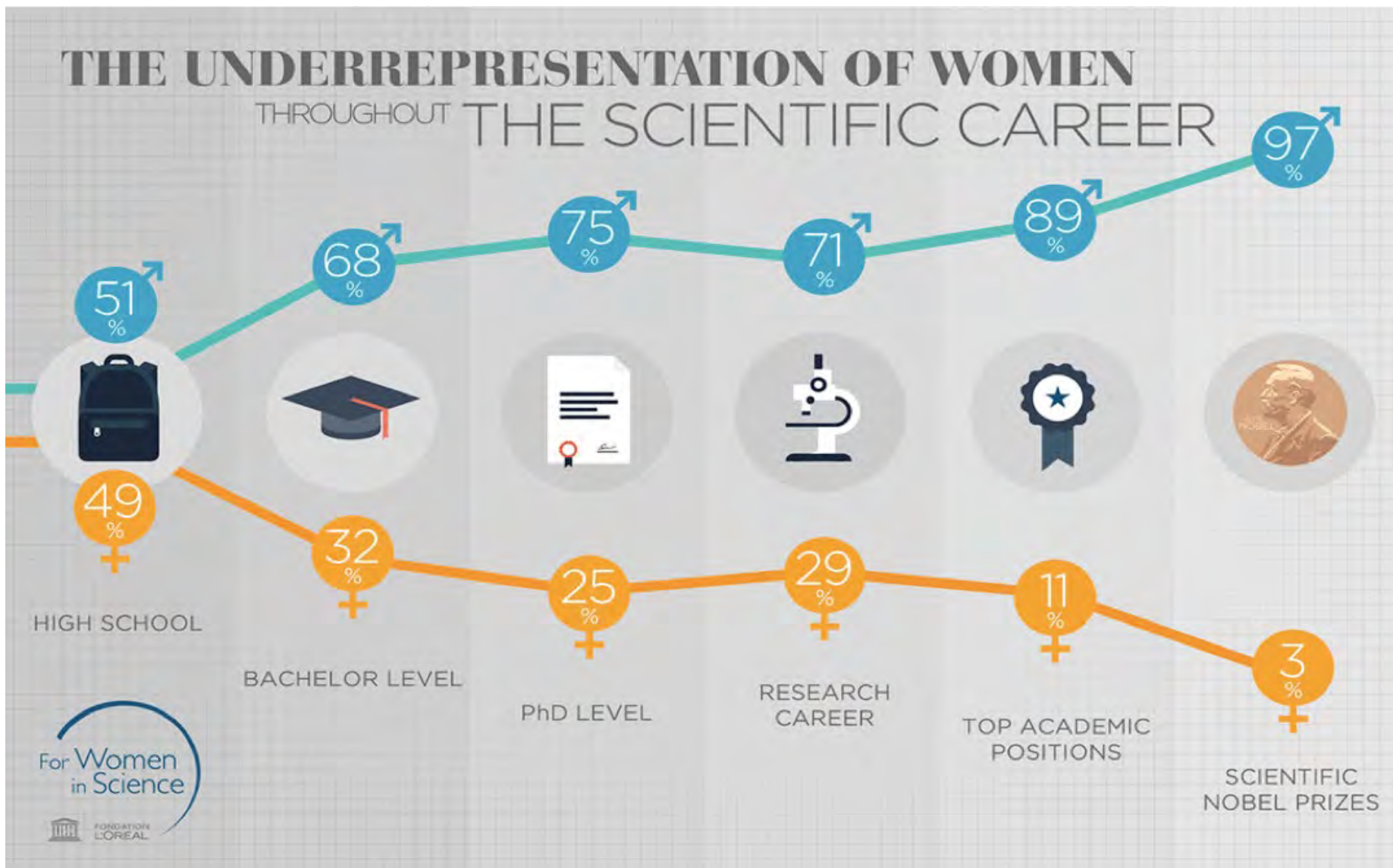
- Access to more data
- Higher productivity
- Improved validity and insights
- More transparency

# Funder Data Platform



First drawing of the Funder Data Platform,  
Wellcome Data Labs





Digital Science Spotlight - Bridging the Gender Gap #WiSTEMspotlight #ALD15 - Digital Science (digital-science.com)

# CRITERIA project

## Gender differences in research funding



**IndiaAlliance**  
DBT wellcome

novo  
nordisk  
**fonden**  
Benefiting people and society



Australian Government  
Australian Research Council



UK Research  
and Innovation



CIHR  
IRSC

Canadian Institutes of  
Health Research  
Instituts de recherche  
en santé du Canada



MICHAEL SMITH FOUNDATION  
FOR HEALTH RESEARCH

BC's health research funding agency



The Research Council  
of Norway



**IndiaAlliance**  
**DBT wellcome**



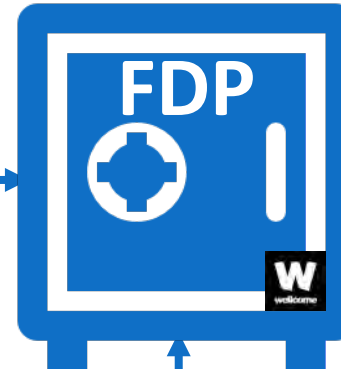
ново  
nordisk  
**fonden**  
Benefiting people and society



MICHAEL SMITH FOUNDATION  
FOR HEALTH RESEARCH  
BC's health research funding agency



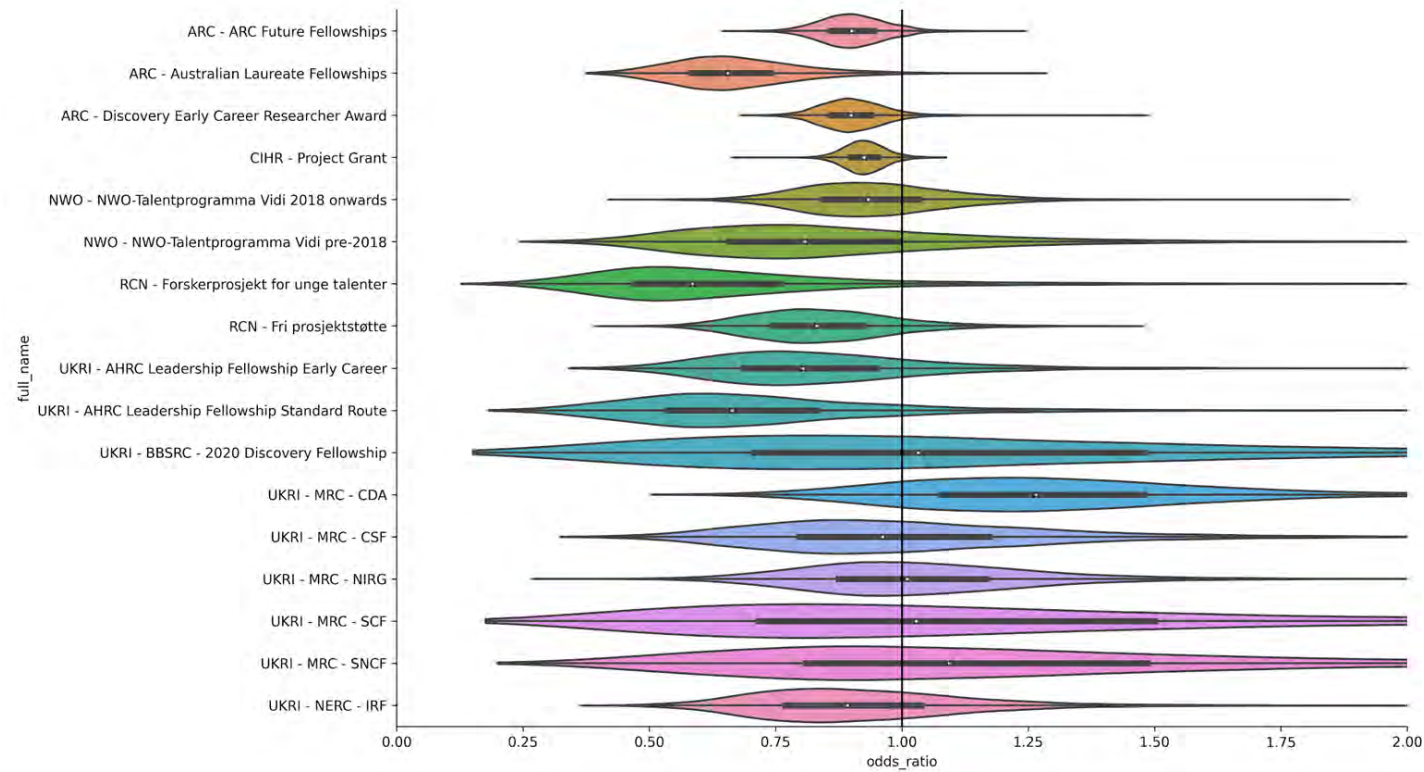
**CRITERIA**  
Research team



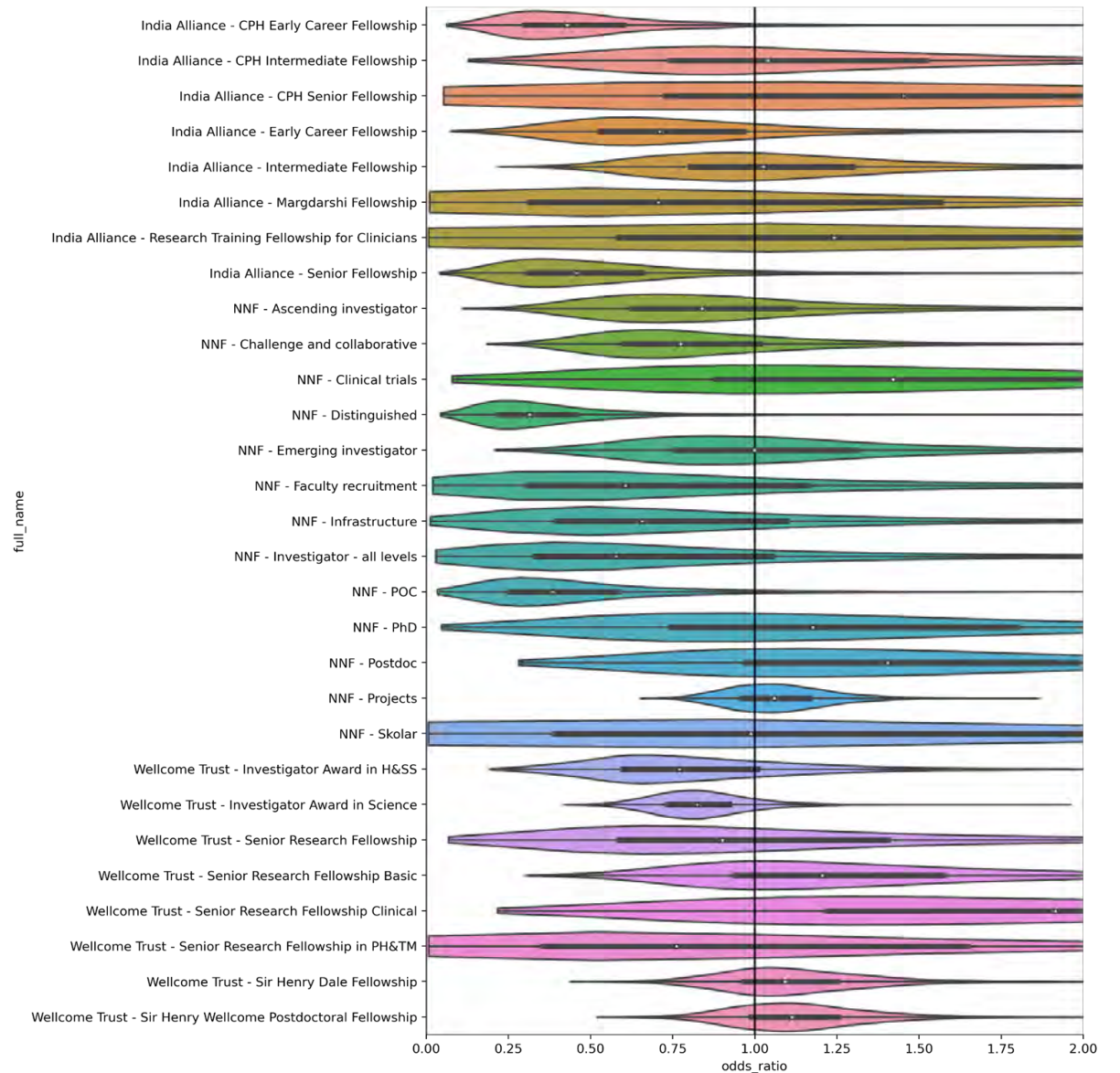
Dimensions



# Compare gender effects across funders



# Compare gender differences across funders



# Criteria that may affect gender differences



Interview stage



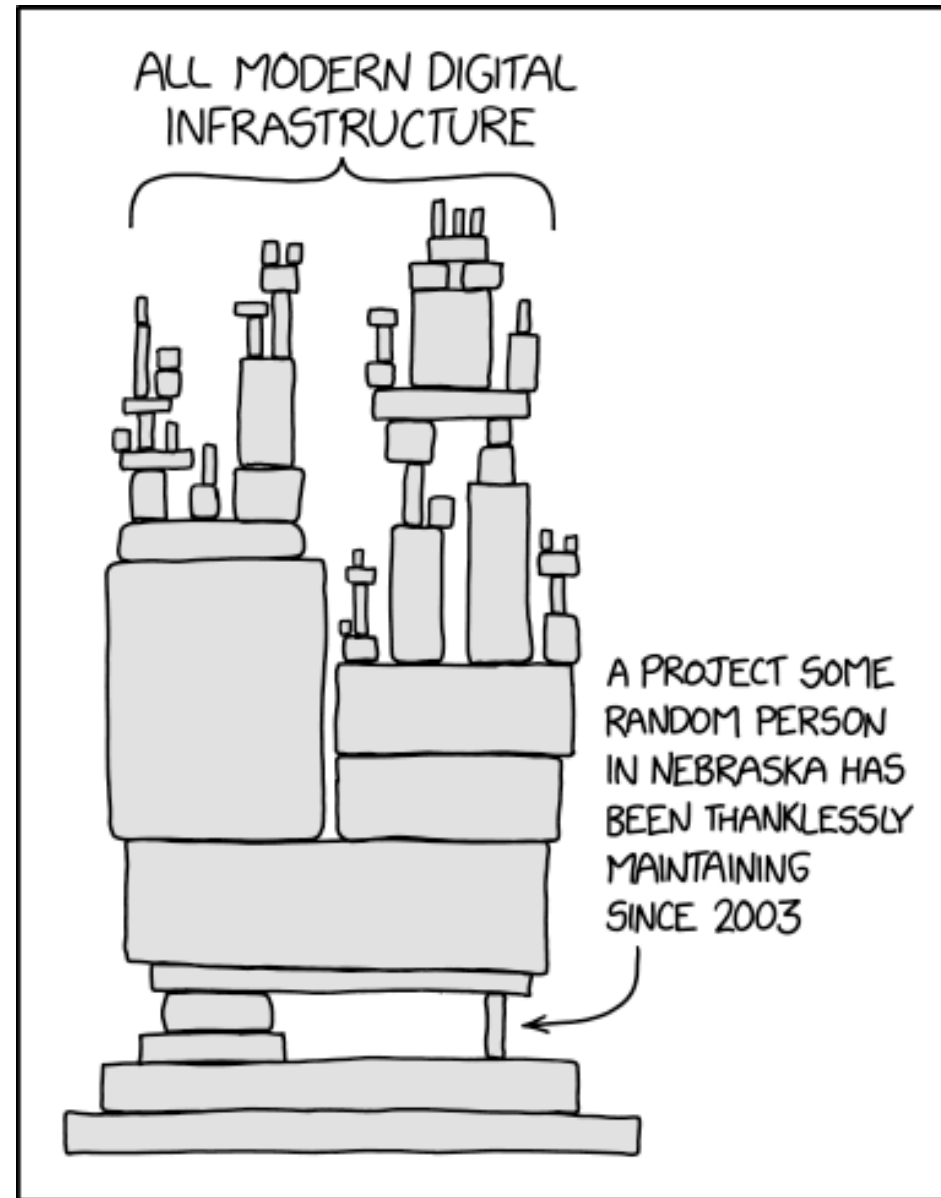
Letter of recommendation



Explicit diversity measures

# Compare field effects across funders





<https://xkcd.com/2347/>





Legal system by <http://www.nyphotographic.com/> Nick Youngson <https://creativecommons.org/licenses/by-sa/3.0/> CC BY-SA 3.0 <http://pix4free.org/> Pix4free



# RoRI's PILOT PHASE: WHAT HAVE WE LEARNED?

## Funder experiments

Michele Garfinkel ([EMBO](#)) & Tom Stafford ([University of Sheffield](#))

[2022-06-20](#)



# Topic

---

## ***RANDOMISATION***

Partial randomisation

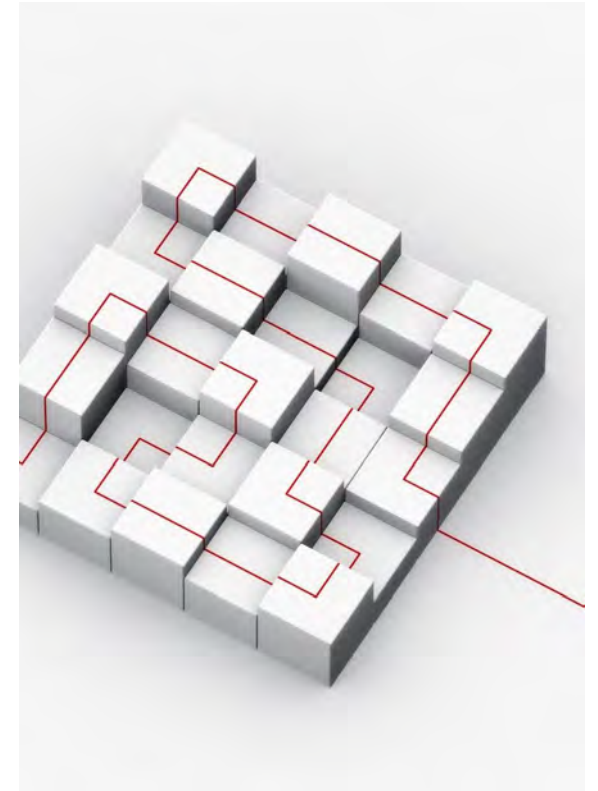
Targeted randomisation

Focal randomisation

Random selection

Lottery

Modified lottery



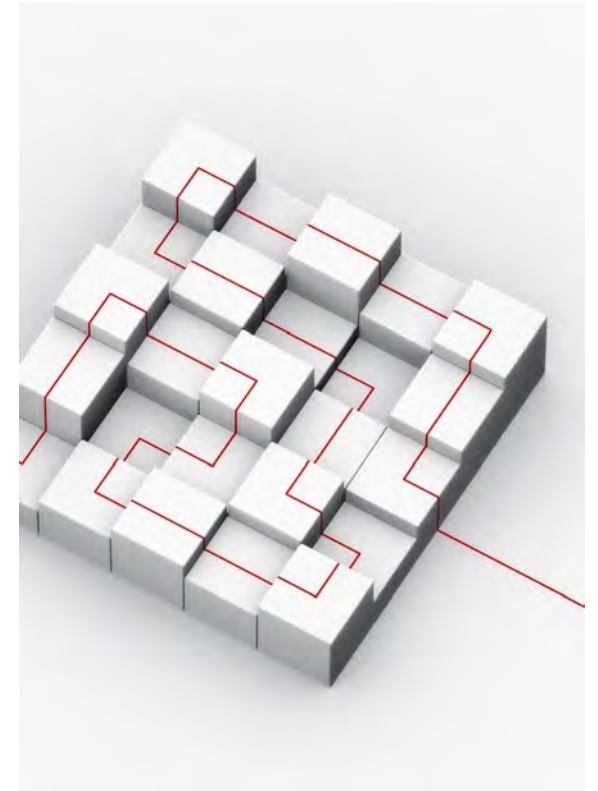
# Aim

---

Learn from and build directly upon existing or planned trials by several of the RoRI partners

Share lessons widely

Build the foundation for a wider series of funder experiments using novel approaches to decision-making and grant allocation



# Who made it possible?

---

Collaboration between 15 strategic partners, RoRI core team, EMBO, SNSF and Nesta's Innovation & Growth Lab

Steering Group: Gert Balling, Marco Bieri, Amanda Blatch-Jones, Michele Garfinkel, Jon Holm, Vincent Traag; Helen Buckley Woods, James Wilsdon

Reporting (motivations, handbook, earlier scoping paper): Sandra Bendiscioli, Albert Bravo-Biosca, Ester Czibor, Teo Firpo, Michele Garfinkel, Tom Stafford, James Wilsdon, Helen Buckley Woods

Australian Research Council  
Alfred P. Sloan Foundation  
Austrian Science Fund  
Chan Zuckerberg Initiative  
European Molecular Biology Organization  
Michael Smith Health Research BC  
National Institute for Health Research  
Innovation Growth Lab at Nesta (non-RoRI partner)  
Netherlands Organisation for Scientific Research  
Novo Nordisk Fonden  
Research Council Norway  
Swiss National Science Foundation  
UK Research and Innovation  
Volkswagen Foundation  
Wellcome Trust





# Why experiment?

---

*"If I look back on many years of involvement in political decision-making and policy-making around science, innovation and R&D, I am struck by how much of it tends to turn on gut feel of the individuals involved, than on hard evidence and analysis. This is of course ironic, since good science is all about testing hypotheses against data, empirical results and facts."*

*Sir John Kingman,*

*Reflections on his time as Chair of UK Research and Innovation, 2021*



# Funder experiments are co-produced

---



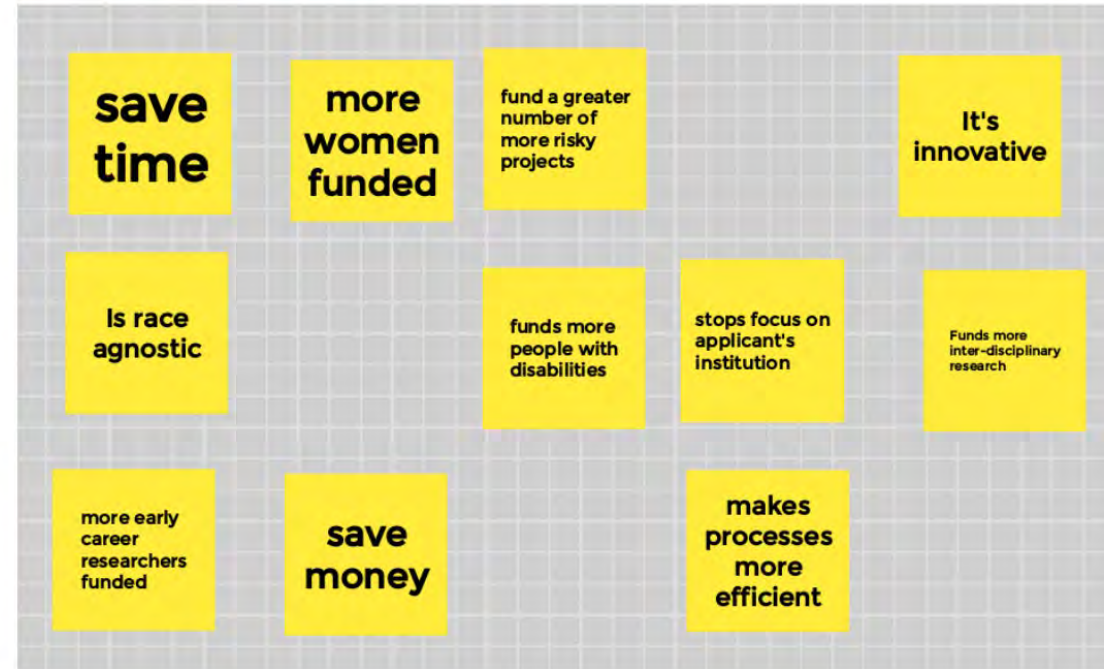
## RoRI Working Paper No. 7

# Why draw lots? Funder motivations for using partial randomisation to allocate research grants

Helen Buckley Woods and James Wilsdon

December 2021

Figure 3: Example Jamboard prepared for elicitation exercise



## Summary: organisational motivations

Fairness: decision making, diversity, perceived fairness, the law

The Grey Zone: eliminating deadlock and overcoming unhelpful group dynamics

Disciplinary spread: overcoming bias to creative research, overlooked fields and 'cold' topics

Innovation: allied to values, a 'nice to have' by-product, is it really innovative?

Efficiency: money saving or more costly? Time saving: desirable, but gains may be negligible

# Funder experiments with partial randomisation: conclusions (1)

- ✓ Well accepted by applicants, reviewers, scientific community and media
- ✓ Acceptance is conditional to an initial peer reviewed selection
- ✓ No negative effects
- ✓ PR extended to other schemes
- ✓ More data is needed to draw meaningful conclusions
- ✓ To be able to make comparisons, it is important to evaluate the same aspects or effects



*Experiment! In search of bold research ideas*



*Postdoc.Mobility Fellowships*



*1000 Ideas Programme*



*Explorer Grants*





# Part 1

## The case for experimental research funding

1.	Summary	13
2.	Why experiment?	14
3.	Tools for experimenting with research funding	19
	3.1 Tools to diagnose	20
	3.2 Tools to design	26
	3.3 Tools to evaluate	30
4.	Becoming more experimental	37
	4.1 Attracting applicants	39
	4.2 Selecting reviewers	46
	4.3 Assessing proposals	52
	4.4 Making funding decisions	61

RoRI Working Paper

# To RCT or not to RCT?

## **Where next for partial randomisation of research funding? The feasibility of RCTs and alternatives**

Tom Stafford, Ines Rombach, Dan Hind, Bilal Mateen, Helen  
Buckley Woods, Munya Dimario and James R Wilsdon

June 2022

# Future funder experiments

---

**Sequential evaluation for review debiasing**

**Navigating the grey zone: capturing reviewer uncertainty**

**Matthew: studying cumulative advantages in funding evaluation**

**A large multi-funder trial of partial randomisation**

**Experiments with the use of narrative CVs**

**Designing panel rules for smarter decision making**

**Responsible uses of AI & machine learning in research evaluation**



# Future funder experiments

---

Sequential evaluation for review debiasing

**BIAS & BIAS MITIGATION**

Navigating the grey zone: capturing reviewer uncertainty

**JUDGEMENT AND EVALUATION**

Matthew: studying cumulative advantages in funding evaluation

**EXPERIMENT / TRIAL DESIGN**

A large multi-funder trial of partial randomisation

**GROUP DECISION MAKING**

Experiments with the use of narrative CVs

**TRUST & TRANSPARENCY IN DECISION PROCESSES**

Designing panel rules for smarter decision making

Responsible uses of AI & machine learning in research evaluation



Bendiscioli, Sandra; Firpo, Teo;  
Bravo-Biosca, Albert; Czibor,  
Eszter; Garfinkel, Michele; Stafford,  
Tom; et al. (2022):

The experimental research funder's  
handbook (Revised edition, June  
2022, ISBN 978-1-7397102-0-0).

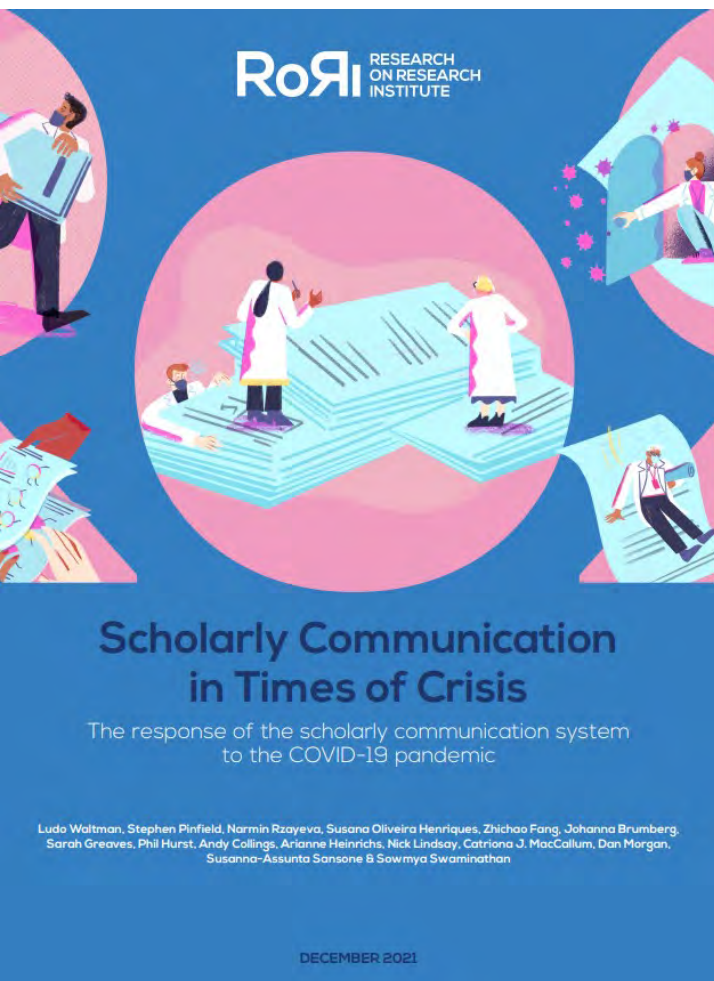
Research on Research Institute.  
Report.  
[https://doi.org/10.6084/m9.figshare.  
19459328.v2](https://doi.org/10.6084/m9.figshare.19459328.v2)



# RoRI's PILOT PHASE: WHAT HAVE WE LEARNED?

## Funder experiments

Michele Garfinkel ([EMBO](#)) & Tom Stafford ([University of Sheffield](#))  
[michele.garfinkel@embo.org](mailto:michele.garfinkel@embo.org) & [t.stafford@sheffield.ac.uk](mailto:t.stafford@sheffield.ac.uk)



# Peer review in times of crisis



## *Lessons Hindawi learned from its collaboration with RoRI*

Catriona J. MacCallum & Ludo Waltman

*An SNSF and RoRI meeting to launch RoRI's second phase  
20<sup>th</sup> June 2022*

 0000-0001-9623-2225



# Covid Rapid Review Initiative: Aims



Encourage  
manuscript transfer

Ensure preprinting

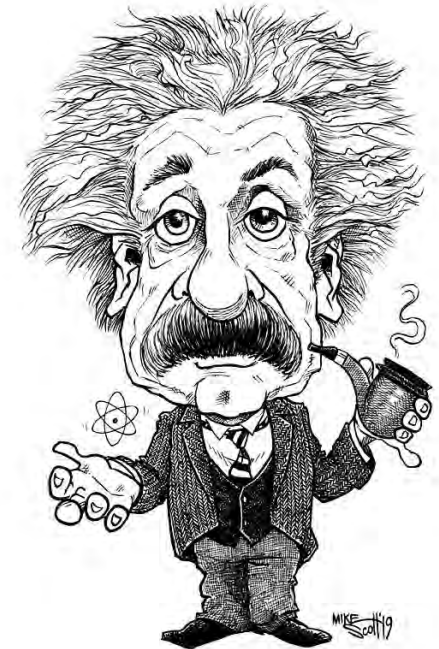
Ensure data sharing

Expand reviewer pool



Were we helping and how would we know??

we invited RoRI to  
help us...



**RoRI**  
RESEARCH  
ON RESEARCH  
INSTITUTE

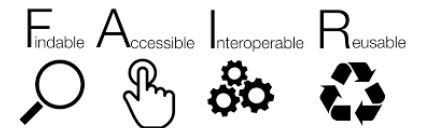
What were the right questions?

Where was the data...?

How do we do this?



We took an evidence-  
informed approach





We shared data on ***all*** our journals



***on rejected articles too!***

*what if it makes us look bad...?*


# Sharing data is hard

Multiple sources

Gaps and bugs

Inconsistencies

Reproducibility

 covid\_initiative\_report\_RORI

Refresh options

Schedule refresh

Chart

Pivot table

Function

Extract

Calculated column

Column stats

PREVIEW ⓘ								
manuscript	DOI	title	publisher	abstract	journal_name	journal_issue	submission_date	first_decision_date
6667614	https://doi.org/10.1155/2020/6667614	Design of Real-Time Monitoring System for COVID-19	Hindawi	A real-time control system for COVID-19	Mathematical Problems in Engineering	1563-5147	03/11/2020 06:30	11/11/2020 14:30
6631614	https://doi.org/10.1155/2020/6631614	A Novel Method for COVID-19 Diagnosis	Hindawi	Achieving accurate diagnosis of COVID-19	Computational Intelligence	1687-5273	13/12/2020 05:40	04/02/2021 09:00

With thanks to Alessandra Auddino  
Hindawi Solutions Analyst, Open Science

# We learned a lot

Collaboration is key

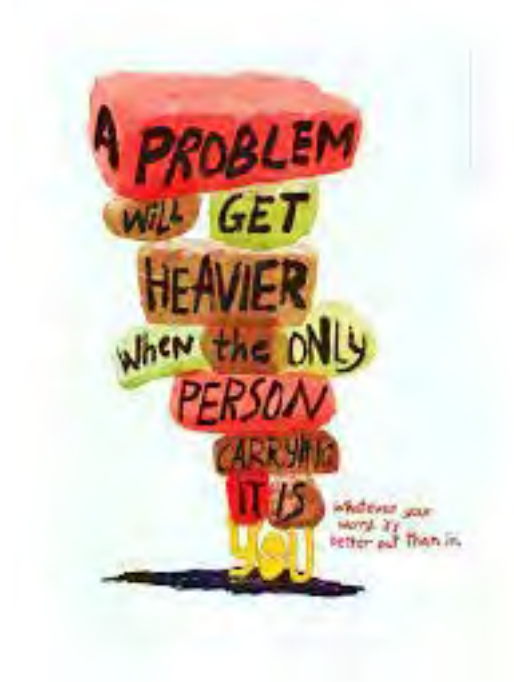
being open about problems

getting our act together

Expert scrutiny helps!

Better data management

you can share data



# We benefited lots

insights into our services

where we could improve



insights into open science

insights into other publishers

innovation in publishing

challenging and rewarding and fun

Sharing data is political (can't versus won't)

Inconsistent standards across the industry

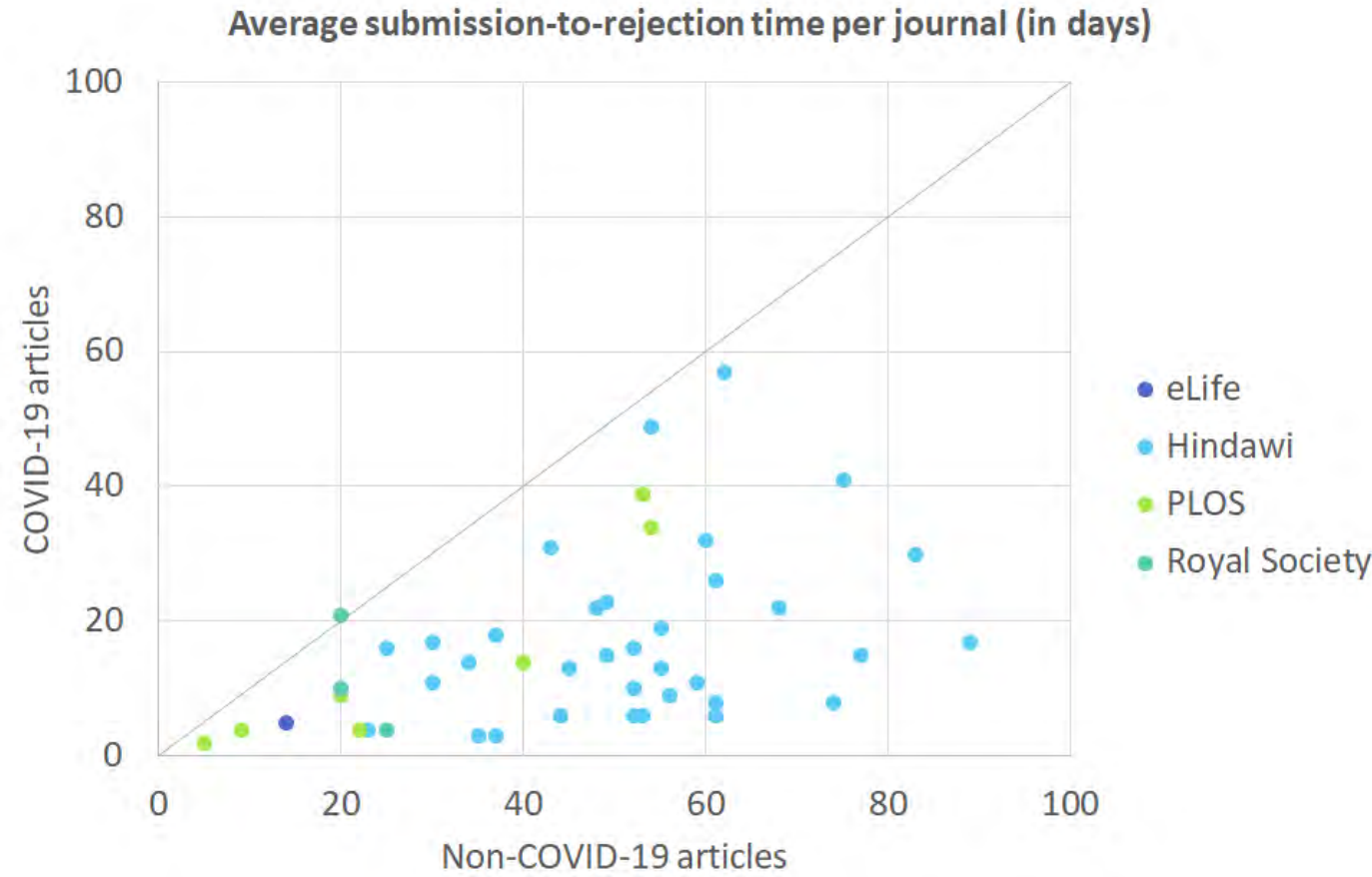
What is 'First Decision' ...?

How do you define time  
of acceptance...?



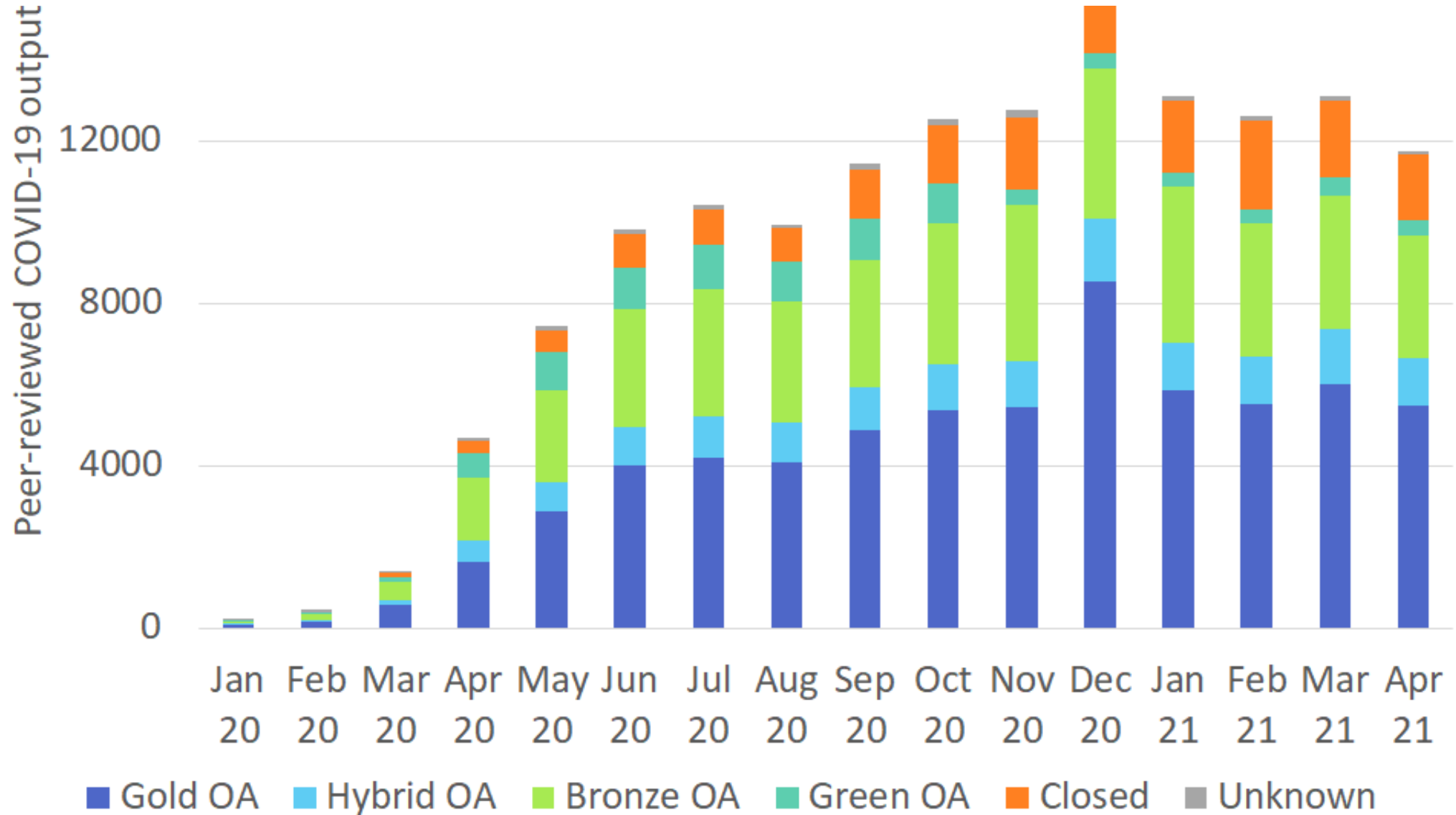
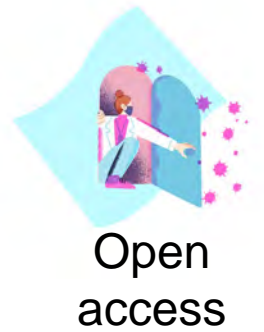
*Standards are  
like  
toothbrushes...*

## Covid articles were rejected more and more quickly

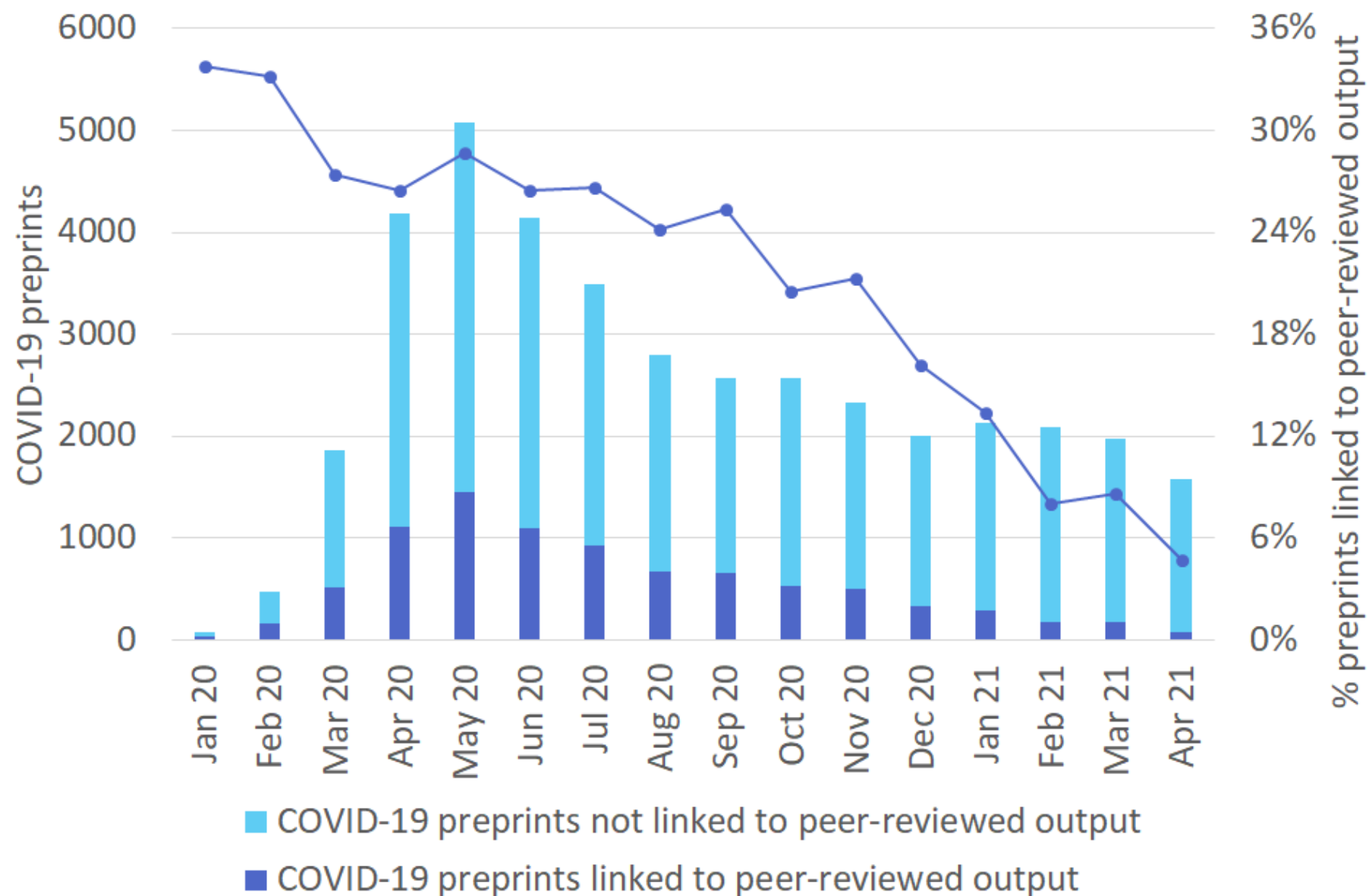




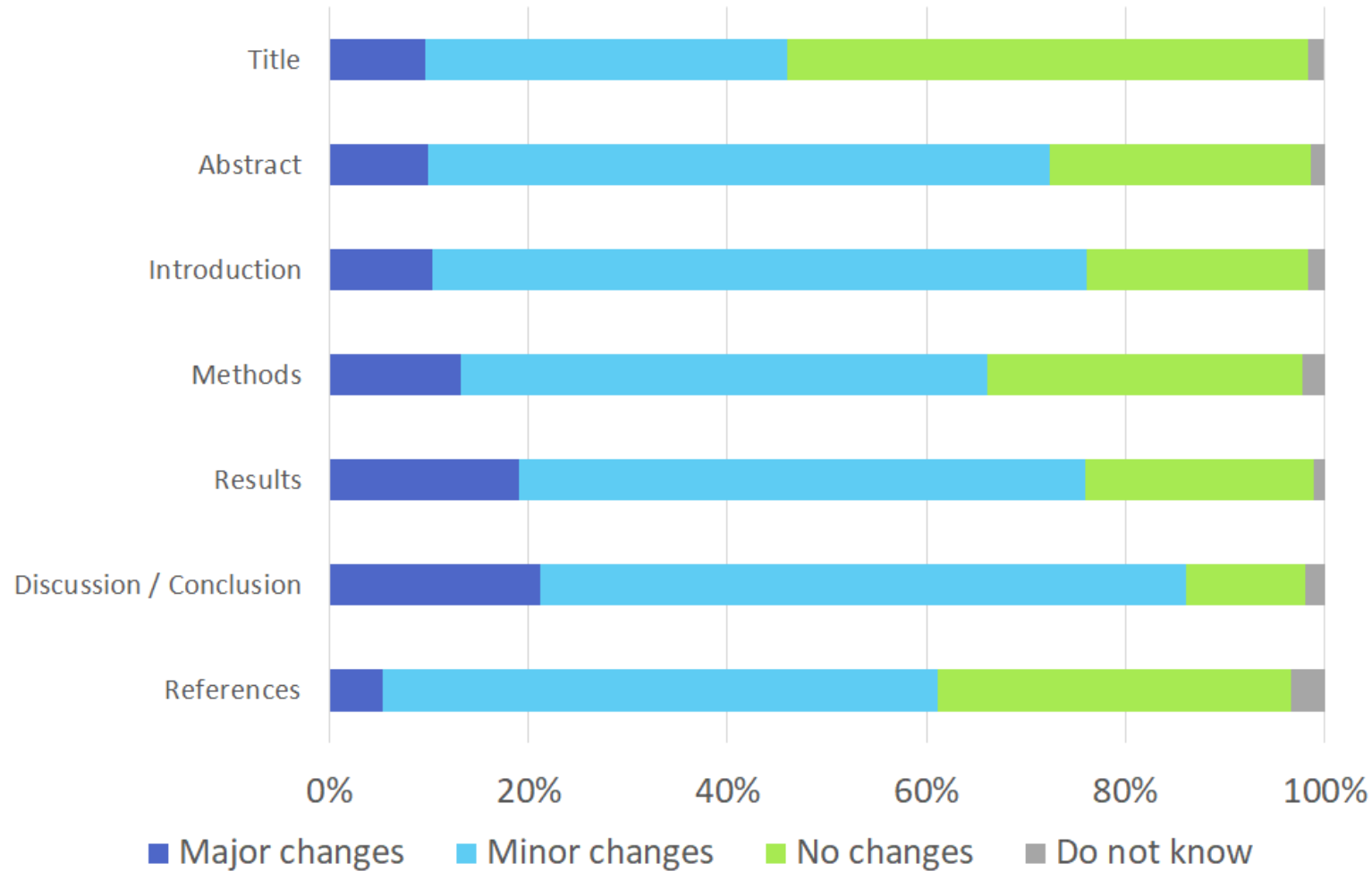
Some signed the pledge  
but didn't make COVID articles freely accessible.



## Most Covid articles weren't linked to preprints

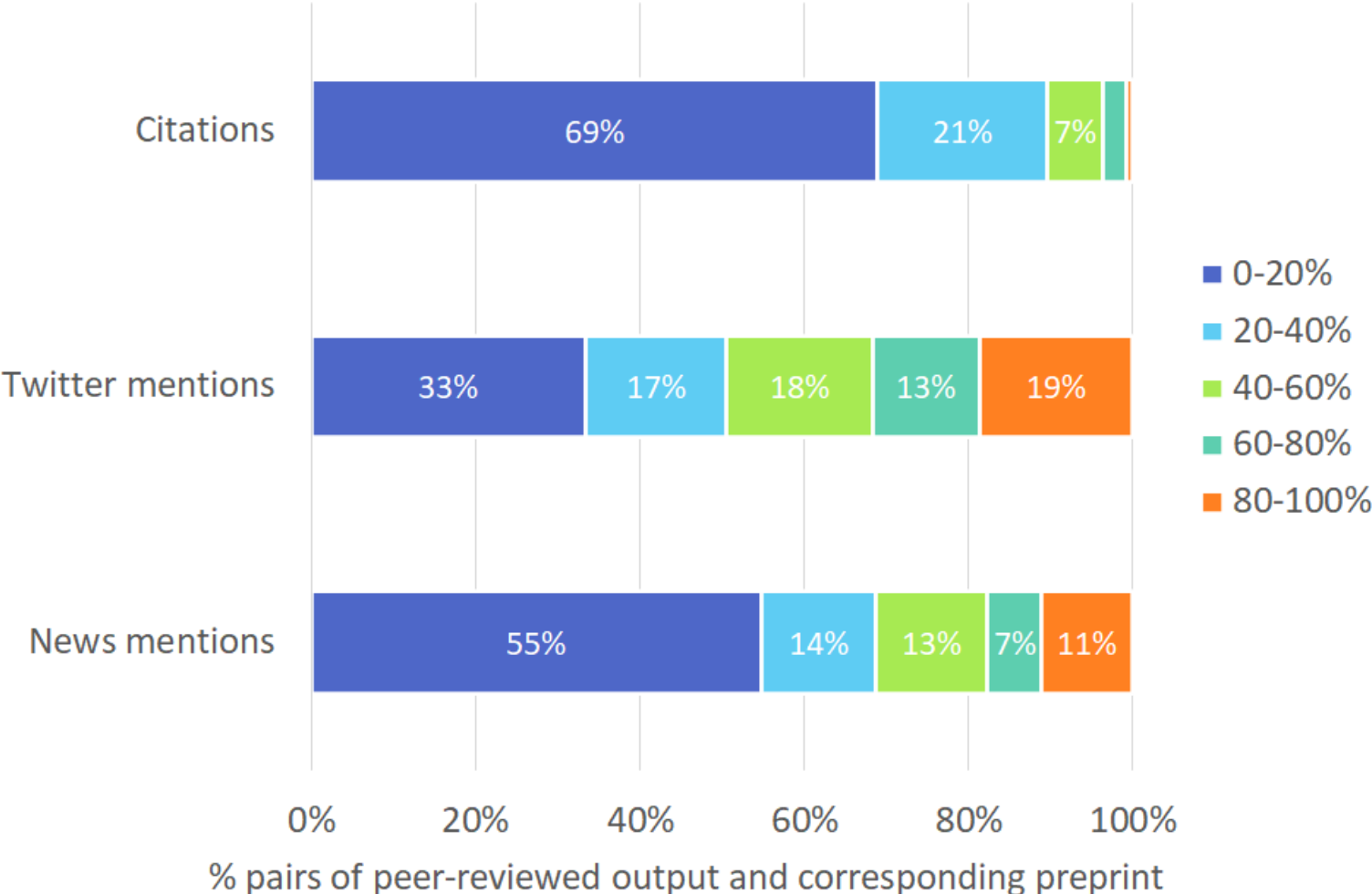


# Journal peer review doesn't make substantial differences



Bypassing traditional slow  
peer review

# Peer-reviewed articles with preprints get more attention





*Let's take an open-science approach to scholarly publishing*

Data sharing is essential for innovation



Innovation

What about a publisher data platform?

Collaboration, openness and sharing data  
benefits everyone

**RoRI** RESEARCH  
ON RESEARCH  
INSTITUTE

 Hindawi



# What Have We Learned?

Mark A. Musen, M.D., Ph.D.

Stanford University

[musen@Stanford.edu](mailto:musen@Stanford.edu)

Michelle Barker, Ph.D., M.B.A.

Open Science Consultant

[michelle@researchsoft.org](mailto:michelle@researchsoft.org)

# SCIENTIFIC DATA



Amended: Addendum

OPEN

SUBJECT CATEGORIES

» Research data

» Publication

characteristics

## Comment: The FAIR Guiding Principles for scientific data management and stewardship

Mark D. Wilkinson *et al.*<sup>#</sup>

There is an urgent need to improve the infrastructure supporting the reuse of scholarly data. A diverse set of stakeholders—representing academia, industry, funding agencies, and scholarly publishers—have come together to design and jointly endorse a concise and measureable set of principles that we refer to as the FAIR Data Principles. The intent is that these may act as a guideline for those wishing to enhance the reusability of their data holdings. Distinct from peer initiatives that focus on the human scholar, the FAIR Principles put specific emphasis on enhancing the ability of machines to automatically find and use the data, in addition to supporting its reuse by individuals. This Comment is the first formal publication of the FAIR Principles, and includes the rationale behind them, and some exemplar implementations in the community.

Received: 10 December 2015

Accepted: 12 February 2016

Published: 15 March 2016



# FAIR principles depend on community standards for metadata that are not objectively computable

F1: ~~(Meta) data are assigned globally unique and persistent identifiers~~

F2: Data are described with rich metadata

F3: ~~Metadata clearly and explicitly include the identifier of the data they describe~~

F4: ~~(Meta) data are registered or indexed in a searchable resource~~

A1: ~~(Meta) data are retrievable by their identifier using a standardised communication protocol~~

A1.1: ~~The protocol is open, free and universally implementable~~

A1.2: ~~The protocol allows for an authentication and authorisation where necessary~~

A2: ~~Metadata should be accessible even when the data is no longer available~~

I1: (Meta) data use a formal, accessible, shared, and broadly applicable language for knowledge representation

I2: (Meta) data use vocabularies that follow the FAIR principles

I3: (Meta) data include qualified references to other (meta) data

R1: (Meta) data are richly described with a plurality of accurate and relevant attributes

R1.1: (Meta) data are released with a clear and accessible data usage license

R1.2: (Meta) data are associated with detailed provenance

R1.3: (Meta) data meet domain-relevant community standards

Human sample from Homo sapiens

Identifiers	BioSample: SAMN15811762; Sample name: CST3-M15545		
Organism	<u>Homo sapiens</u> (human) cellular organisms; Eukaryota; Opisthokonta; Metazoa; Eumetazoa; Bilateria; Deuterostomia; Chordata; Craniata; Vertebrata; Gnathostomata; Teleostomi; Euteleostomi; Sarcopterygii; Dipnotetrapodomorpha; Tetrapoda; Amniota; Mammalia; Theria; Eutheria; Boreoeutheria; Euarchontoglires; Primates; Haplorrhini; Simiiformes; Catarrhini; Hominoidea; Hominidae; Homininae; Homo		
Package	<u>Human; version 1.0</u>		
disease name	1.脑淀粉样血管病		
Hereditary way	1.AD		
...	...		
altitude	C		
Chr	chr20		
Start	23618395		
End	23618395		
...	...		
GO_cellular_component	extracellular region;basement membrane;extracellular space;lysosome;multi cytoplasm;extracellular exosome;tertiary granule lumen;ficolin-1-rich granule		
GO_molecular_function	amyloid-beta binding;protease binding;endopeptidase inhibitor activity;cystein		

Full metadata record available at: <https://www.ncbi.nlm.nih.gov/biosample/15811762>

# Good metadata need ontologies!

*age*  
*Age*  
*AGE*  
*`Age*  
*age (after birth)*  
*age (in years)*  
*age (y)*  
*age (year)*  
*age (years)*  
*Age (years)*  
*Age (Years)*  
*age (yr)*  
*age (yr-old)*  
*age (yrs)*  
*Age (yrs)*

*age [y]*  
*age [year]*  
*age [years]*  
*age in years*  
*age of patient*  
*Age of patient*  
*age of subjects*  
*age(years)*  
*Age(years)*  
*Age(yrs.)*  
*Age, year*  
*age, years*  
*age, yrs*  
*age.year*  
*age\_years*

## Minimum Information About a Microarray Experiment - MIAME

---

**MIAME** describes the **Minimum Information About a Microarray Experiment** that is needed to enable the interpretation of the results of the experiment unambiguously and potentially to reproduce the experiment. [[Brazma et al., Nature Genetics](#)]

The six most critical elements contributing towards MIAME are:

1. The raw data for each hybridisation (e.g., CEL or GPR files)
2. The final processed (normalised) data for the set of hybridisations in the experiment (study) (e.g., the gene expression data matrix used to draw the conclusions from the study)
3. The essential sample annotation including experimental factors and their values (e.g., compound and dose in a dose response experiment)
4. The experimental design including sample data relationships (e.g., which raw data file relates to which sample, which hybridisations are technical, which are biological replicates)
5. Sufficient annotation of the array (e.g., gene identifiers, genomic coordinates, probe oligonucleotide sequences or reference commercial array catalog number)
6. The essential laboratory and data processing protocols (e.g., what normalisation method has been used to obtain the final processed data)

For more details, see [MIAME 2.0](#).

## ▼ BioSample Human

\* Sample Name

\* Organism

\* Tissue

\* Sex

\* Isolate

\* Age

\* Biomaterial Provider

### ▼ Attribute

Name

Value

<< < 1 > >>



CANCEL

VALIDATE

SAVE

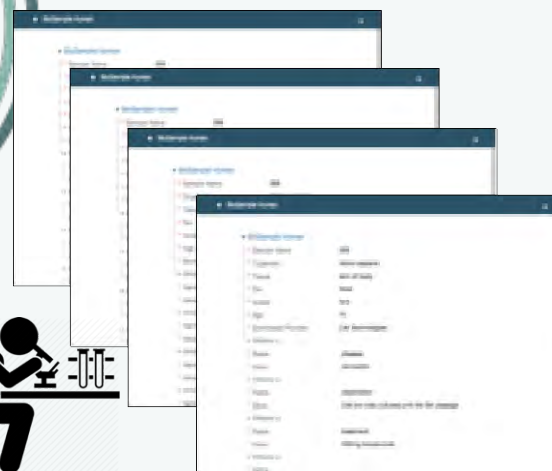




## (1) M4M Workshops

*Powered by CEDAR*

*Building community-specific  
metadata standards*



## (2) CEDAR Workbench

*Creating  
community-specific metadata*



## (3) FAIRware Workbench

*Automating evaluation of  
community-specific metadata*

▼ BioSample Human

\* Sample Name 056

\* Organism Homo sapiens

\* Tissue

\* Sex

\* Isolate

\* Age

\* Biomaterial Provider

▼ Attribute

Name

Value

- ?
- blood (UBERON) (50%)
  - liver (UBERON) (9%)
  - bone marrow (UBERON) (6%)
  - breast (UBERON) (6%)
  - lymph node (UBERON) (6%)
  - lung (UBERON) (6%)
  - colon (UBERON) (6%)

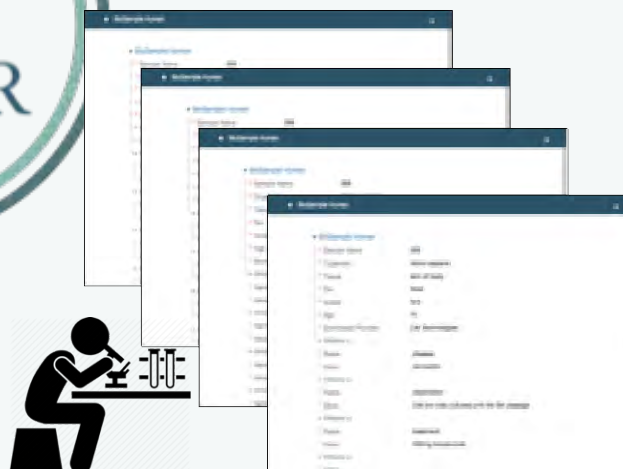




### (1) M4M Workshops

*Powered by CEDAR*

*Building community-specific  
metadata standards*



### (2) CEDAR Workbench

*Creating  
community-specific metadata*



### (3) FAIRware Workbench

*Automating evaluation of  
community-specific metadata*

Q METADATA SEARCH

☰ MY RECORDS

📄 SUMMARY REPORT

🌐 10.15468/9vuieb

1 Select Template

2 Align Fields

3 Repair Metadata

LIST VIEW

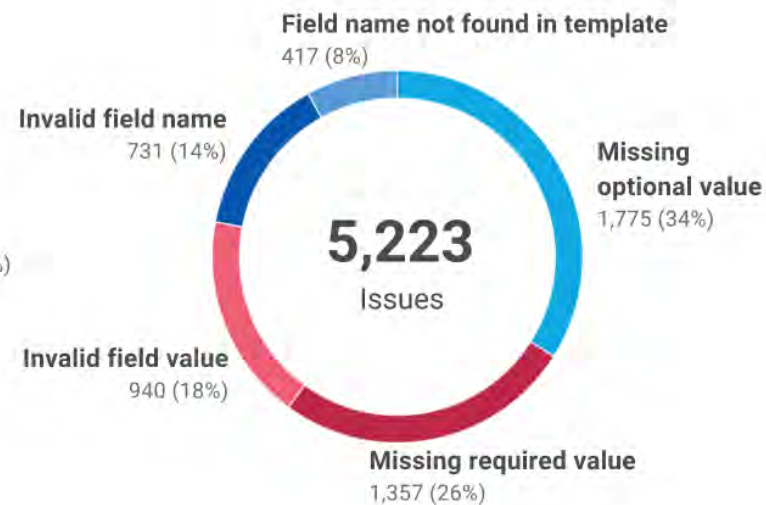
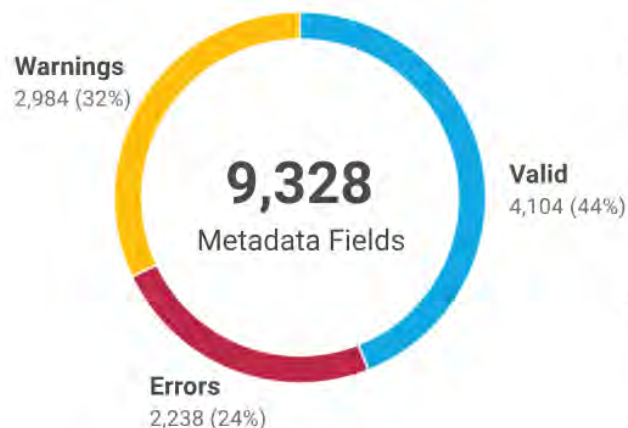
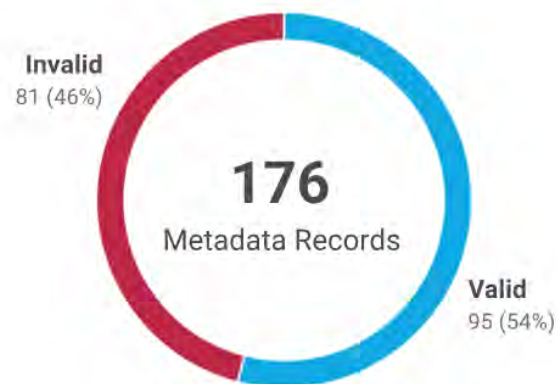
METADATA VIEW

METADATA	ISSUE	SUGGESTED REPAIR	ACTION
<b>titles</b>			
title (1)			
DataCite Example			
title (2)			
Demonstration of DataCite Metadata			
language			
eng	! Invalid field value	Replace by EN-US	✓ Accept ✕ Decline
publicationYear			
January 2014	! Invalid field value	Replace by 2014	✓ Accept ✕ Decline
main topic	⚠ Field name not found in template	Replace by Topic (BIBFRAME)	✓ Accept ✕ Decline
Documentation			
<b>identifier</b>			
identifier			
10.1234/example-full			
identifierType			
DOI			

## Summary report

176 metadata records

Template: DataCite Metadata Schema 4.4

[↓ DOWNLOAD \(PDF\)](#)[↓ DOWNLOAD \(JSON\)](#)

### Report per field

FIELD NAME

# RECORDS

SUMMARY REPORT  
(Errors / Warnings / Valid)

TOP ISSUES

creatorName

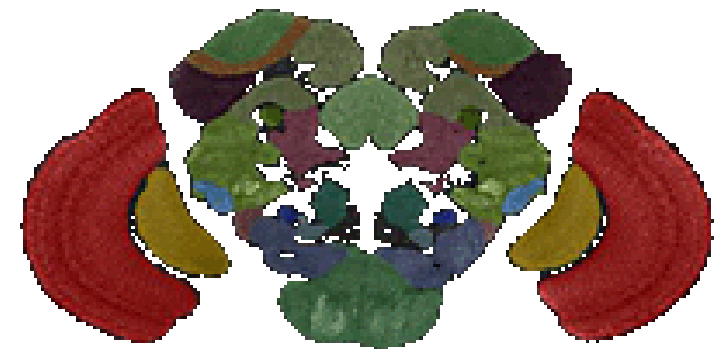
176 (100%)

[Repair](#)



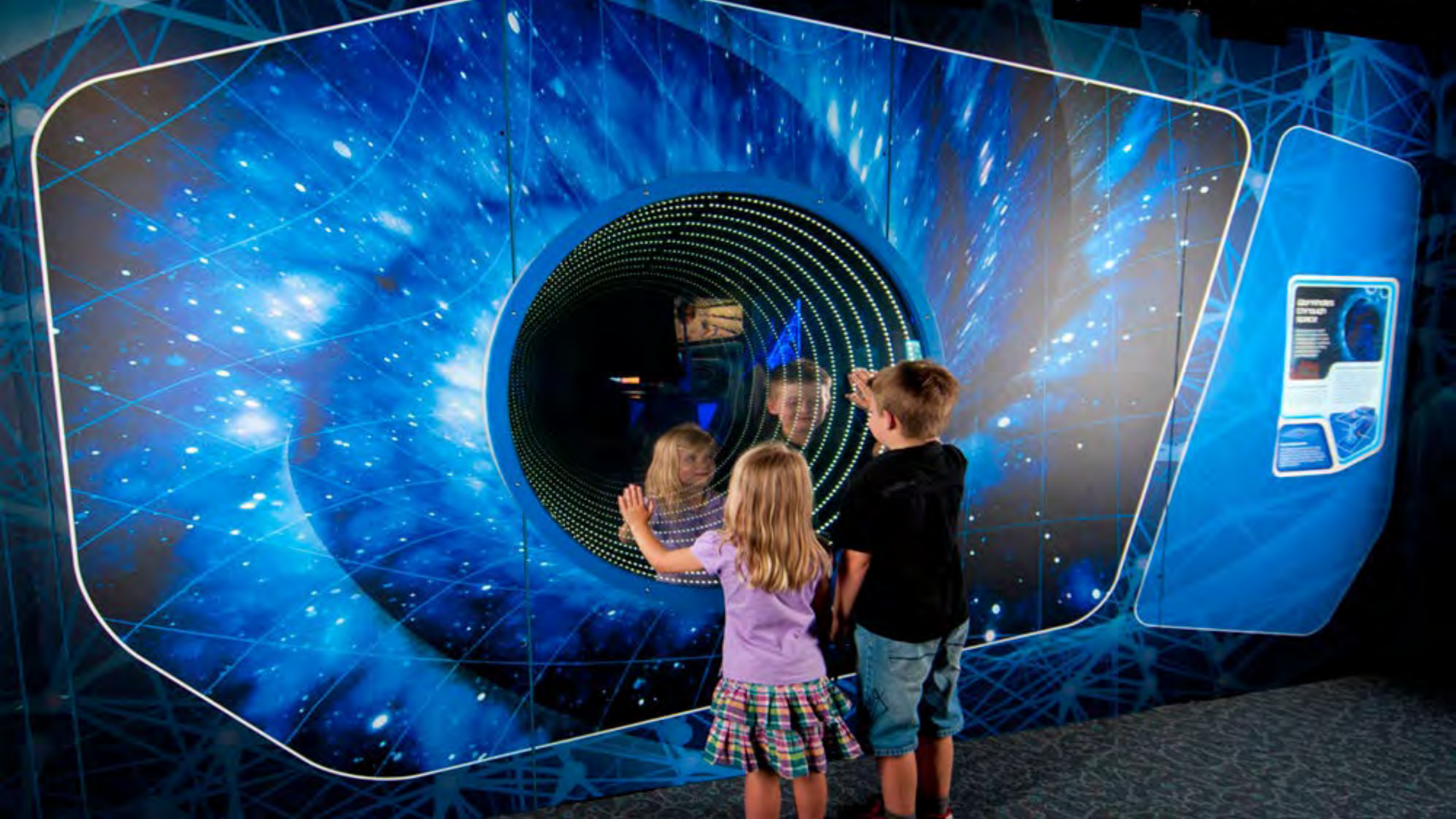
# Metadata for Machines Workshops





Virtual Fly Brain







Transforming excellence? From 'matter of fact' to 'matter of concern' in research funding organizations

AUTHORS

Lisette Jong, Thomas Franssen, Stephen Pinfield

RoRI  
RESEARCH  
ON RESEARCH  
INSTITUTE

## RoRI Working Paper No.5 'Excellence' in the research ecosystem: a literature review

Lisette Jong, Thomas Franssen and Stephen Pinfield  
September, 2021

# The 'Transforming Excellence' Project

Stephen Pinfield & Diego Baptista

Research team: Lisette Jong, Thomas Franssen,  
& Stephen Pinfield

THE  
RESEARCH  
INSTITUTE

PROFESSIONAL CAMPUS JOBS EVENTS RANKINGS STUDENT 5

### The concept of research excellence must be broadened


Lotteries for viable funding applications may be one way forward, say Lisette Jong, Thomas Franssen, Stephen Pinfield and James Wilsdon

October 7, 2021

Lisette Jong, Thomas Franssen, Stephen Pinfield, James Wilsdon  
Twitter: @ThomasFranssen @jameswilsdon

The notion of "excellence" is omnipresent in the modern research ecosystem, but how do we identify this elusive quality? What defines "excellent" work or makes an "excellent" researcher?

Too often, excellence is portrayed as a universal, objective quality that can be consistently measured and neutrally applied, but recent research by the Research on Research Institute's



Source: iStock

# The 'excellence regime'

---

**Exzellenzinitiative**



# Critiques of excellence

## CHAPTER 6

Research excellence is a neo-colonial  
agenda (and what might be done about it)

*Cameron Neylon*



**Swiss National  
Science Foundation**



**Australian Government**  
**Australian Research Council**

# The challenge for funders



Der Wissenschaftsfonds.

FONDAZIONE



---

Case study partners

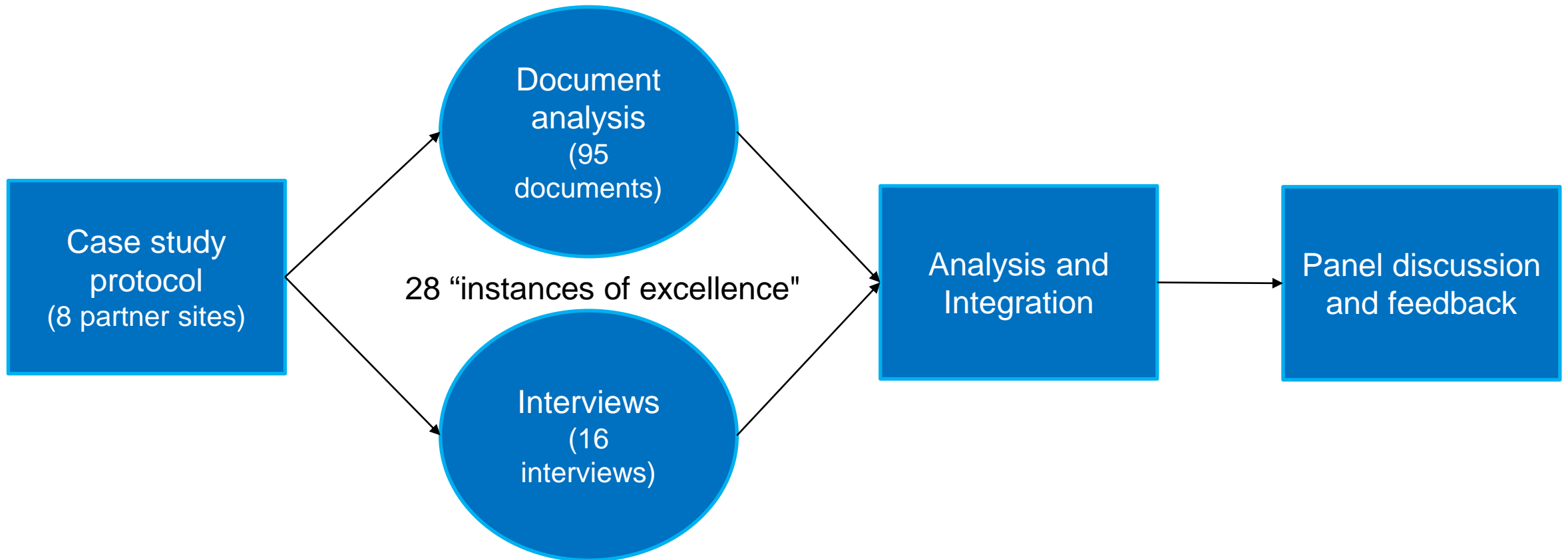


Michael Smith  
**Health  
Research BC**



# Empirical qualitative co-produced research: Case studies of funders

---



# Varieties of 'excellence'

	Statutes or legal act	Mission & strategic statements	Grant programs, guidelines & scoring systems	Research evaluation	Knowledge transfer	New excellence related frameworks	Other
Australian Research Council			✓	✓			
Austrian Science Fund (FWF)			✓			✓	✓
Canadian Institutes of Health Research	✓	✓	✓				✓
Fondazione Telethon	✓	✓	✓	✓	✓		
EMBO	✓		✓				
Michael Smith Health Research BC		✓	✓	✓	✓		✓
Swiss National Science Foundation	✓		✓			✓	✓
Wellcome Trust						✓	✓



From 'matter of fact'  
to  
'matter of concern'

---

# Cumulative advantage and homogeneity

---

# Equity, diversity and inclusion

---

# Expertise and mission

---

# Patching

---

# Pluralizing

---



# Transforming

---



# Patching



# DORA

---

long lists of publications





# Pluralizing

Narrative-style format:

- Generation of knowledge
  - Development of others
  - Contributions to field
-



# Experiment, translate & transform: RoRI Phase 2 prospectus

James Wilsdon, RoRI Phase 2 launch, 20 June 2022



@RoRIInstitute @jameswilsdon



# NEW FRONTIERS FOR RESEARCH ON RESEARCH

WIFI: 'WELLCOME-WIFI'  
SLIDO: #RORILAUNCH  
TWITTER: #RORILAUNCH

RoRI

## RoRI launches to enable more strategic, open, diverse, and inclusive research

### RoRI is a partnership initiative

The Wellcome Trust, Digital Science and the  
Universities of Sheffield and Leiden have joined  
forces to create RoRI

We're thrilled to announce the launch of the Research on Research Institute (RoRI) – an international consortium of research funders, academic institutions, and technologists working to champion the latest approaches to research on research.

Co-founded by the Wellcome Trust, the universities of Sheffield and Leiden, and Digital Science, the RoRI consortium will undertake transformative and translational research on research (also known as meta-research, science of science or meta-science). By analysing research systems and experimenting with decision and evaluation data, tools



## A kinder research culture is possible

Wellcome is right to call out hyper-competitiveness in research and question the focus on excellence. But other funders must follow its move.



The focus on excellence in research can contribute to a negative working culture. Credit: James Bettam/View Pictures/UGC/Getty

Wellcome's director Jeremy Farrar didn't hold back. "The emphasis on excellence in the research system is stifling diverse thinking and positive behaviours," he wrote in a blog post last month. "The relentless drive for research excellence has created a culture in modern science that cares exclusively about what is achieved and not about how it is achieved." These are strong words, not least because Farrar acknowledges that the UK biomedical funding charity that he leads helped to create such a focus on excellence.

Wellcome is not alone — excellence is everywhere. Germany plans to spend €533 million (US\$581 million) a year on its Excellence Strategy. In the United Kingdom, £2 billion (US\$2.5 billion) of public funding is allocated annually to universities through a suite of funds that support "excellence wherever it is found". Australia's research-evaluation system is called Excellence in Research for Australia. Worldwide, research facilities are being named centres of excellence, and excellence is scattered generously in the pages of universities' strategic plans.

PDF version

### RELATED ARTICLES

Some hard numbers on science's leadership problems



Science needs to redefine excellence



"Excellence R Us": university research and the fetishisation of excellence

### SUBJECTS

Culture Funding Research data

Research management

Adobe Acrobat DC  
PDFの数値を手打ちでエクセルに入力している。  
PDFを書き換えよう!  
今すぐ無料で試す

*“Wellcome and its partners in RoRI should be commended for taking an important first step. They have recognized that there are problems in research culture and that these need to be fixed. RoRI will help to probe some of the causes of distress, and suggest solutions. Now, other funders and research-management societies must join the mission...”*

**Nature editorial, 1 October 2019**





FONDAZIONE



ALFRED P. SLOAN  
FOUNDATION



Chan  
Zuckerberg  
Initiative



Howard Hughes  
Medical Institute

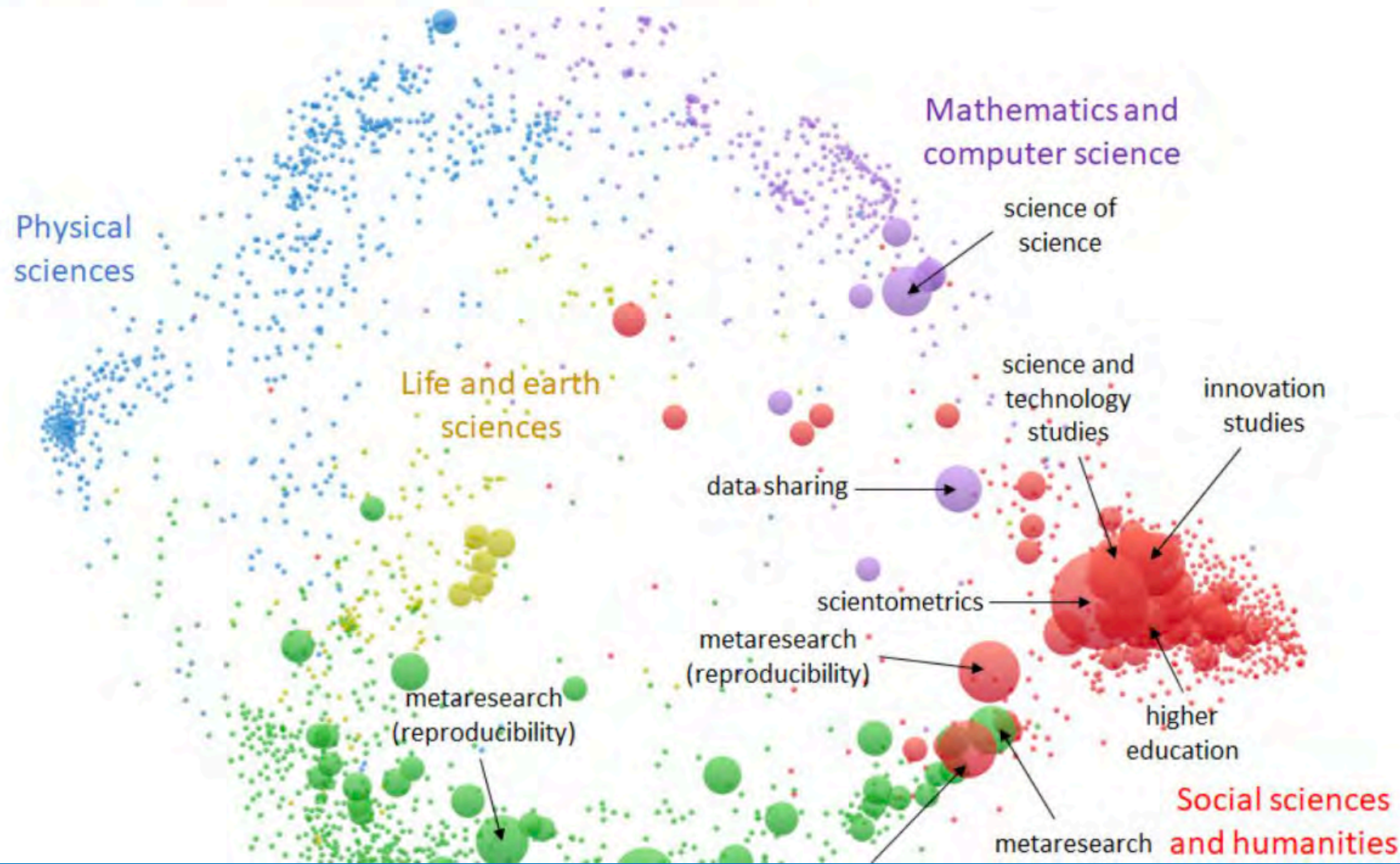


IndiaAlliance  
DBT wellcome

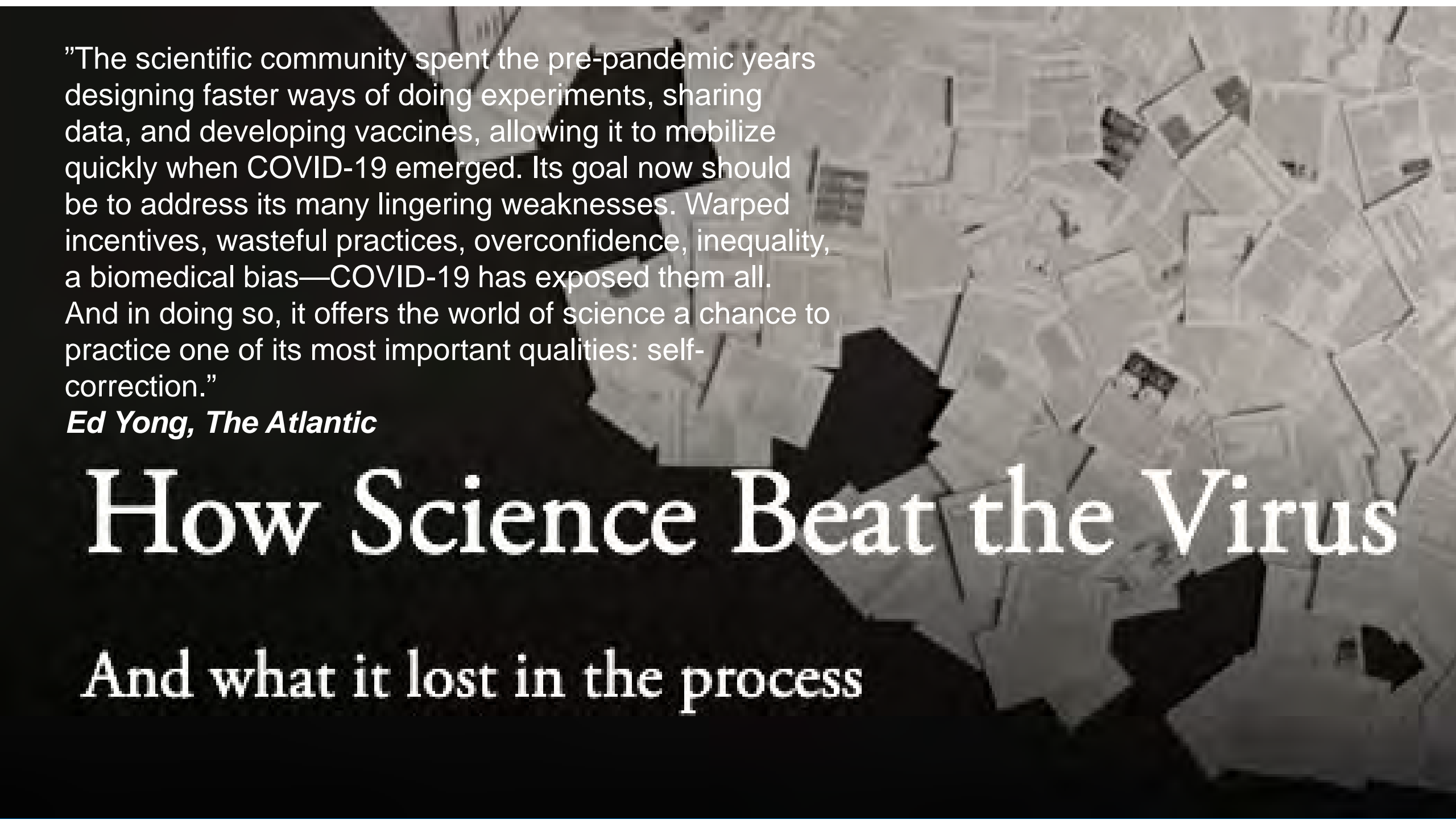


UK Research  
and Innovation

**At its heart, research on research is about ensuring that we have the evidence we need to realise the full potential of research. It's about using robust methods to test interventions, and to generate and analyse data about the inner workings of the research system, and the impacts that research has in and on society.**



Analysis by RoRI of academic publications related to research on research highlight how these fields have grown and diversified over the past decade.<sup>1</sup>



"The scientific community spent the pre-pandemic years designing faster ways of doing experiments, sharing data, and developing vaccines, allowing it to mobilize quickly when COVID-19 emerged. Its goal now should be to address its many lingering weaknesses. Warped incentives, wasteful practices, overconfidence, inequality, a biomedical bias—COVID-19 has exposed them all. And in doing so, it offers the world of science a chance to practice one of its most important qualities: self-correction."

*Ed Yong, The Atlantic*

# How Science Beat the Virus

## And what it lost in the process



# Our five aims for the pilot phase (2020-2021)

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Carter  
Research  
Navigation



To support and build capacity for interdisciplinary, mixed-method and translational RoR in and across research systems worldwide (*research role*)

To connect academic RoR capabilities to the data and analytical resources of our founding and strategic partners (*translation role*)

With these partners, to experiment, coproduce and test new tools, indicators, funding modes, decision and evaluation frameworks (*innovation role*)

To critically evaluate RoR methods and support engagement with RoR data and evidence by decision makers and wider society (*brokerage role*)

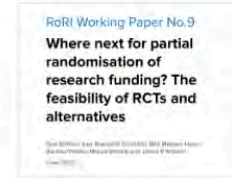
To create an independent space for RoR learning, networking and collaboration between researchers, policymakers, funders and technologists (*facilitator role*)

## Research on Research Institute: Independent Review of Pilot Phase (2019-2021)

Dr Ian Carter  
Director, Carter Research Navigation Ltd  
June 2022



**RoRI Funder Data Platform & CRITERIA project overview**  
Presentation posted on 20.06.2022  
Vincent Traag



**Where next for partial randomisation of research funding? T...**  
Preprint posted on 20.06.2022  
Tom Stafford



**Research on Research Institute: Independent Review of Pilot Phas...**  
Report posted on 20.06.2022  
Ian Carter



**The experimental research funder's handbook (Revised ...**  
Report posted on 20.06.2022  
Sandra Bendiscioli



**A checklist for funder experiments with partial randomisation**  
Online resource posted on 20.06.2022  
Research on Research Insti...



**Can we fix it? Are incremental tweaks to research practices, ...**  
Presentation posted on 25.05.2022  
James Wilsdon



**The pandemic veneer: COVID-19 research as a mobilisation of ...**  
Preprint posted on 07.05.2022  
Daniel Hook



**Career pathways in research: the current data landscape (Ro...**  
Report posted on 18.04.2022  
Zeynep Anli



**RoRI Working Paper No. 8. Career pathways in researc...**  
Dataset posted on 18.04.2022  
Zeynep Anli



**Experiments with randomisation in research funding: ...**  
Report posted on 18.04.2022  
Helen Buckle-Woods



**21st Century PhDs: Why we need better methods of tracking...**  
Report posted on 18.04.2022  
RoRI Institute



**The changing role of funders in responsible research assessme...**  
Report posted on 18.04.2022  
Stephen Curry

## Responsible Research Assessment – a virtual conference from the Global Research Council

November 23 - 27, 2020

Register Now →

### the GRC

ited to promoting the sharing of ctices for high-quality collaboration encies worldwide. It recognises the s previous work, such as the 'merit review, for developing a dling of the topic of responsible nt amongst funders. With the ic putting a spotlight on the rnational collaboration in scientific ocial impact of research becoming e is now renewed urgency for igher and reconsider how research aluated. This conference presents a for research funders to come ether, learn and look to the future. o engaged discussions over the



**Professor Andrew Thompson**

UKRI Champion for International and GRC Governing Board member



**Dr. Molapo Qhobela**

CEO of NRF South Africa and Chair of the GRC Governing Board

## RoRI Working Paper No.3 The changing role of funders in responsible research assessment:

### progress, obstacles and the way ahead

Stephen Curry, Sarah de Rijcke, Anna Hatch, Dorsamy (Gansen) Pillay, Inge van der Weijden and James Wilsdon

November 2020

Produced in partnership with:



**DORA**



UK Research and Innovation



National Research Foundation



## Phase 2 structure

### Core partners

12-15 research funders, universities and technology providers. Together these partners govern and sustain the core functions of RoRI.



#### Partnership board

Core partners (including those who are CIC members)  
Strategic direction, priorities, management of funds



#### Sub-committees of Partnership Board

Including Audit & Finance



#### Executive team

Day-to-day operations and oversight of projects



#### RoRI research fellows

Lead individuals from within Core Partners  
Dedicated time on RoRI projects



#### RoRI nodes / labs

Smaller nodes or labs hosted by core partners  
Operating at national or regional system level



#### RoRI Ltd

A Community Interest Company (CIC) under UK law. Brings legal and bureaucratic simplification  
Holds funds. Owns, manages and preserves infrastructure and other IP. Devolves all other responsibilities to the Partnership Board.

#### Board of directors

Nominated from CIC members.  
Light touch governance: audit, accounts



#### Infrastructure

Funder Data Platform, FAIRware etc



#### Project partners

Funders, scholarly communication platforms & publishers; researchers; tech providers.  
Ad hoc project participation & support.



#### International advisory group

Academic, policy, funder & scholarly communication leaders. Source of informal high-level guidance and advice



#### Associate faculty

Leading researchers from universities and institutions worldwide who collaborate on specific RoRI projects





# THE BENEFITS OF A COMMUNITY INTEREST COMPANY (CIC)

## 1. The CIC brand provides:

- reassurance to stakeholders, as the asset lock and community purpose are regulated
- a higher profile for social enterprises and not-for-profit companies
- a growing network and voice within the social enterprise and third sector.

## 2. The CIC has transparency of operation.

- An annual CIC report is placed on the public record for public scrutiny.

The CIC report describes:

- the CIC's activities and the benefit provided to the community



**Gert V Balling, Katrin Milzow and Sarah de Rijcke (Co-Chairs of RoRI)**



## Experiments with evaluation

wkaltenbrunner 18d

**Inventory of challenges with the implementation of narrative CVs**



**Key ideas:** Create an **inventory of challenges related to the implementation of narrative CVs across different funders, and develop strategies to tackle them** – e.g. inertia of established indicator-centric review practices, resistance to the narrative format by (some) reviewers, inertia of organizational culture, technical difficulties, effects of disciplinary culture on use etc.

## Infrastructures & Data Sharing

Helen Buckley Woods 7d

**Research on Research on Research: a meta RoRI case study**



**Key idea(s):** What can we learn from our uncommon modes of working as a large scale multi-stakeholder research consortium that will add to knowledge on practice/research co-produced projects? Considering different vectors of engagement, what lessons have we learned about bringing different knowledge types together, conducting co-produced

## Research Priorities & Portfolios

Jon Griffiths 2mo

**Engaging the citizen. The impact of crowd knowledge on science**



**Key idea(s):** A research study funded by a Marie Curie grant, led by Cindy Lopez-Bento (Head of Science of Science at FNR and Professor at the University of Leuven). 'The project...aims to increase the understanding we have of crowd science. [...an approach that allows a wide base of (non-scientific) volunteers to participate in research projects.] The project will, for example, use

## Impacts, Indicators & Culture Change

Jon Griffiths 2mo

**The productivity and public value of research**



**Key idea(s):** Over the last decade we have seen a tendency to connect more directly the setting of research agendas with the attainment of socio-economic goals through devices such as "grand challenges" and "mission driven research". At the same time, there are some indications that

## About

Jon Griffiths 2mo

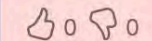
**About this board**



Please comment and vote on the cards, as well as adding your own ideas.

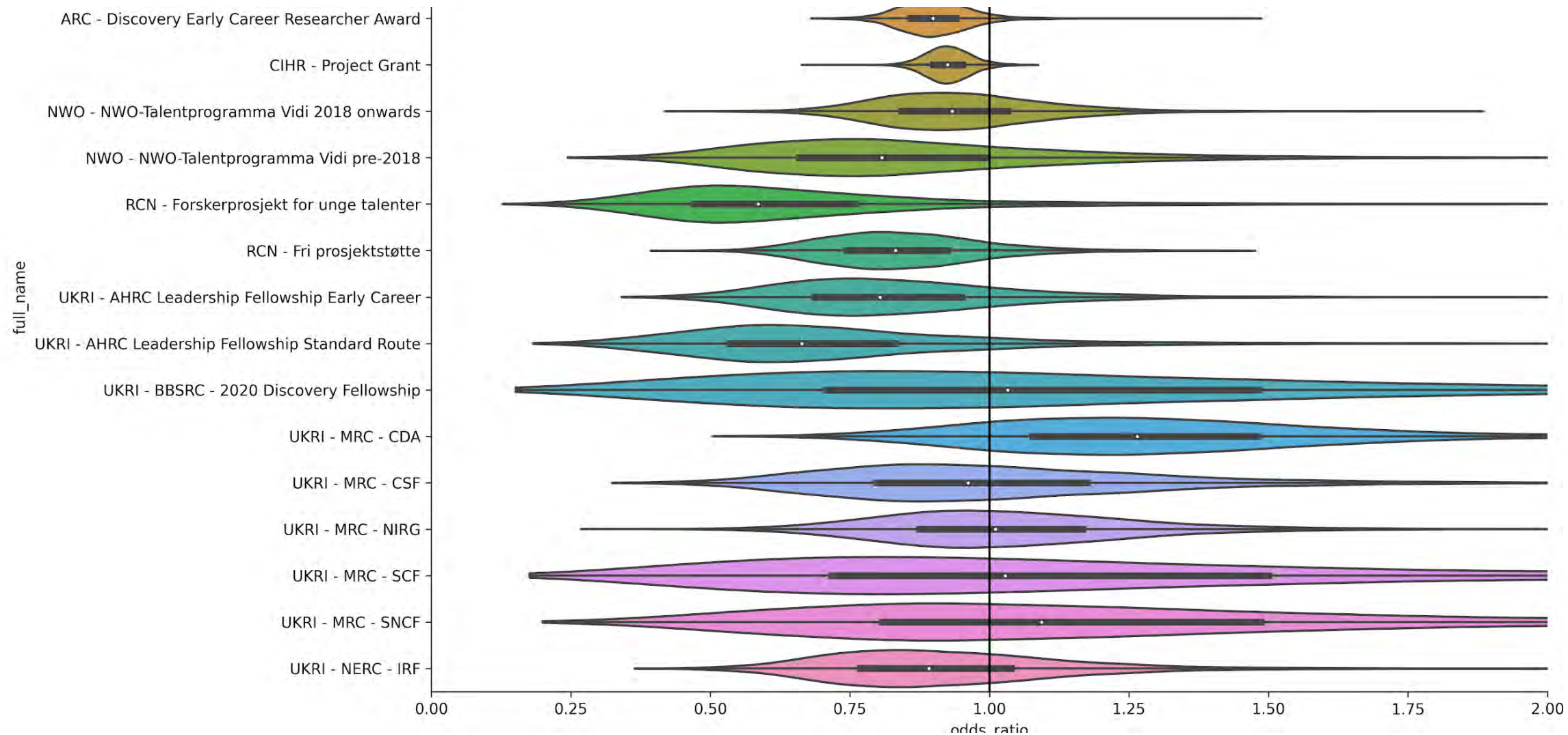
**Colour coding:**

Orange: Continuation and development of phase 1 projects  
Purple: Ideas from pilot phase long-list  
White: New ideas  
Blue: Infrastructure, networks and capacity-building

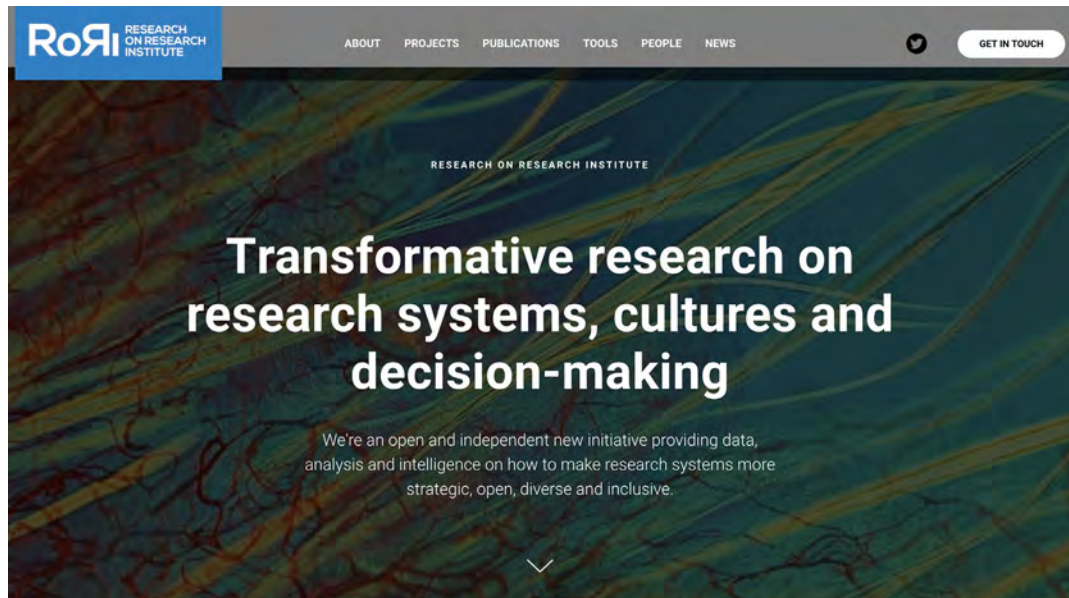


Add comment





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<http://researchonresearch.org>

## @RoRIInstitute

