Tech Mining with TDA (Thomson Data Analyzer)

> Alan Porter Director, R&D Search Technology

> > &

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ISTIC, December, 2010

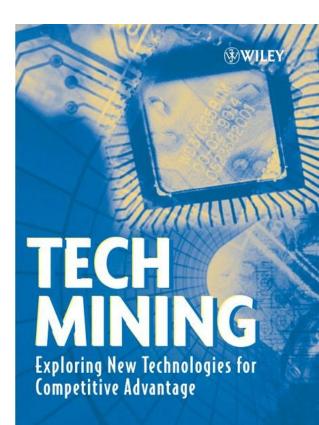


- Tech Mining to generate "innovation indicators" from Science, Technology & Innovation ("ST&I") information resources
  - Indicators of interdisciplinarity
  - Science overlay maps to locate research activity
- 2. Illustrating Web of Science analyses:
  - Research assessments for US NSF
  - CAS nano research profiling [thanks to Ruimin Pei, CAS]
- 3. Illustrating Patent analyses
  - Biomaterials Technology Opportunities Analysis
  - Patent Life Cycle Analysis
- 4. TDA -- Dye Sensitized Solar Cells [thanks to Ying Guo, BIT]

# How do you extract effective intelligence from all that Science, Technology & Innovation ("ST&I")information?

# **Tech Mining**

Alan L. Porter and Scott W. Cunningham John Wiley & Sons Inc., 2005



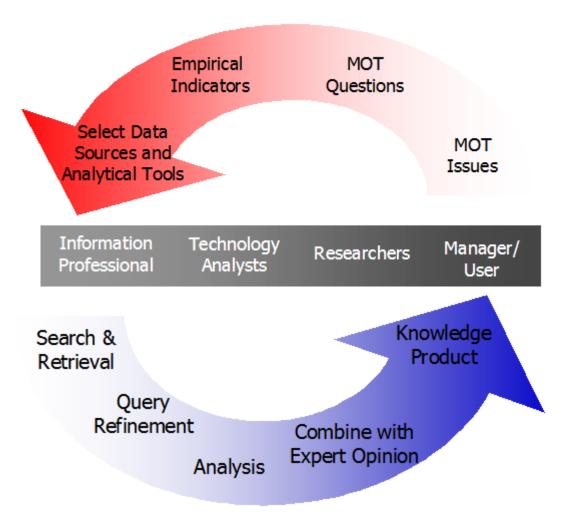
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ALAN L. PORTER SCOTT W. CUNNINGHAM

Wiley Series in System Engineering and Management

# **The Tech Mining Process**

Tech Mining



# How to do Tech Mining: 8-steps

- 1. Spell out the questions and how to answer them
- 2. Get suitable data
- 3. Search (iterate)
- 4. Import into text mining software (e.g., Thomson Data Analyzer)
- 5. Clean the data
- 6. Analyze & interpret
- 7. Represent the information well communicate!
- 8. Standardize and semi-automate where possible

#### 13 MOT Issues

- R&D Portfolio Mgt
- R&D Project
   Initiation
- Engr Project
   Initiation
- New Product
   Development
- Strategic
   Planning
- Track/forecast emerging or breakthrough technologies

#### 39 MOT Questions

What?

- What's hot?
- Fit into tech landscape?
  - New frontiers at fringe?
  - Drivers?
  - Competing technologies?
  - Likely development paths?Who?
  - Who are available experts?
- Which universities or labs lead?

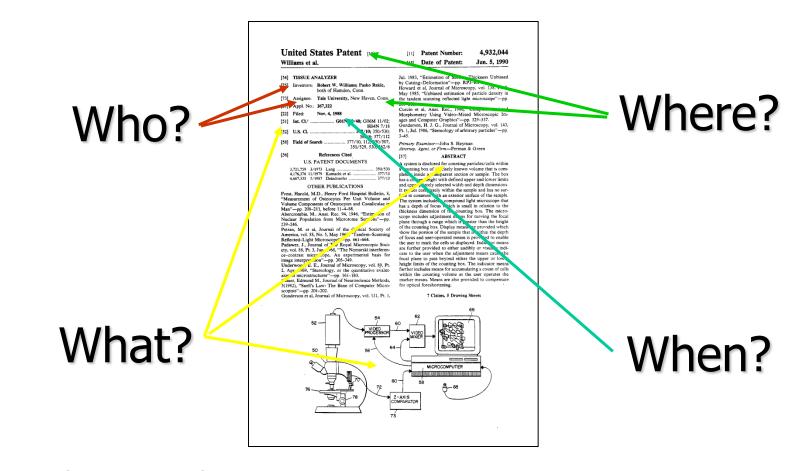
#### ~200 Innovation Indicators

- Mapping of topic clusters within the technology
- 3-D trend charts for topic clusters
- Ratio of conference to journal papers (benchmarked)
- Scorecard rate-of-change metrics for topic clusters
- Time slices to show evolution of topical emphases
- Topic growth modeling (S-curve) fit & extrapolation
- Profile table of main players
- Pie chart: Company vs. Academic vs. Government publishing
- Spreading (or constricting) # of players by topic

• etc.

## MOT Issues, Questions, and Indicators

# What kind of questions can we answer by Tech Mining?



How? & Why? – Need human analyst to interpret the data

## Some Web of Science based Innovation Indicators

- ~200+ Innovation Indicators ("Tech Mining")
- % of R&D publications by industry vs. academia vs. government
- Research network maps
- Interdisciplinarity indicators
- Science overlay maps

## **Some Patent-based Innovation Indicators**

- Technological Maturity: model R&D activity on a growth curve
- Competitive Entry: Slope of the trend in new companies initiating patenting recently
- Competitive Exit: % of top assignees that have left the domain
- Diffusion: Change in number of new IPC codes in recent years
- Patent Quality (next slide)

#### Indicator System for Core Patent Documents Evaluation

Xian Zhang, Shu Fang, Chuan Tang, Guo-hua Xiao, Zheng-yin Hu, and Li-dan Gao, Chengdu Library of the Chinese Academy of Sciences

Technology	Technology Scope (TS)	Number of IPC (A <sub>11</sub> )
		Number of Claims (CLN) (A <sub>12</sub> )
	Technology Impact (TI)	Technology Dependence (A <sub>21</sub> )
		Technology Cycle Time (TCT) (A <sub>22</sub> )
	Science Strength	Science Linkage (SL) (A <sub>31</sub> )
		Science Cycle Time (SCT) (A <sub>32</sub> )
		Science Impact (SI) (A <sub>33</sub> )
	Standardization Activity	Standardization Impact (A <sub>41</sub> )
		Standardization Scope (A <sub>42</sub> )
	Patent Family	Patent Family Size (B <sub>11</sub> )
		Share of the Triad (US, EP and JP) Patents in a Family $(B_{12})$
$\leq$	Input Strength	Human Resource Input (B <sub>21</sub> )
Market		Collaboration Intensity (B <sub>22</sub> )
	Technology Commercialization	Self-Commercializing or Licensing (B <sub>31</sub> )
		Patent Impawning or Collateral Loan (B <sub>32</sub> )
		Patent Assignment (B <sub>33</sub> )
Legal	Number of years of a patent is renewed	Patent Validity Years (C <sub>11</sub> )
		Extended (C <sub>12</sub> )
		Survived from Patent Opposition Claim(s) (C <sub>13</sub> )
		Survived from Patent Annulment Claim(s) (C <sub>14</sub> )
	Current Legal Status	Granted (C <sub>21</sub> )
		Stability of Legal Status (C <sub>22</sub> ) Search Technology, 2010

# National Academies Keck *Futures* Initiative [*Facilitating Interdisciplinary Research*]

www.keckfutures.org

Interdisciplinary research (IDR) is a mode of research by teams or individuals that *integrates* 

- perspectives/concepts/theories and/or
- tools/techniques and/or
- information/data
- from two or more bodies of specialized knowledge or research practice.

Examples of *bodies of specialized knowledge or research practice* include: low temperature physics, molecular biology, developmental psychology,...

The 221 Web of Science "Subject Categories" [science & social science], are a good fit for this.

#### **Science Overlay Mapping**

- Use the science map as a base
- Locate research activity in Subject Categories (SCs):
  - Node size ~ #
  - Can plot publication SCs, cited SCs, &/or citing SCs
- Show cross-disciplinary interchanges
- Show change over time

Based on Leydesdorff and Rafols (2009) and Rafols and Meyer (2010)

### **Macro- and Meta-Disciplines**

- 1.SC relatedness based on one year's data WOS Journal X Journal **cross-citation** matrix
- 2. Loet Leydesdorff transforms to SC X SC matrix.
- **3.Macro-Disciplines** come from Ismael Rafols' factor analyses:
  - 175 SC science base map (14 factors)
  - 221 SC science + social science base map (18 factors)
- **4. Meta-Disciplines** further group to 4 overarching categories

## Topics

- 1. Tech Mining
- 2. Illustrating Web of Science analyses:
  - Research assessments for US NSF
  - CAS nano research profiling [thanks to Ruimin Pei, CAS]
- 3. Illustrating Patent analyses
- 4. TDA -- Dye Sensitized Solar Cells

#### **NSF Research & Research Assessments**

- Measuring & Mapping Research Knowledge Integration

   Science overlay mapping
- Research on Learning & Education Program
  - Can proposal references describe research communities engaged (and aid review processes)?
  - Track interplay of Cognitive Science & Education research
- Research Cooperation Networks (RCN) Program
  - Can we see network enrichment, Before to After?
- Human & Social Dynamics (HSD) Program
  - Influence beyond the Social Sciences

#### **HSD Assessment**

- Locate HSD research among the disciplines
- Explore HSD research knowledge diffusion
- Key on Year 2004 HSD awards (28 Projects with papers in WOS)
- Study research outputs (**publications**)
  - Before vs. After
  - Deriving from the awards
- Study citations too

## "Tech Mining"

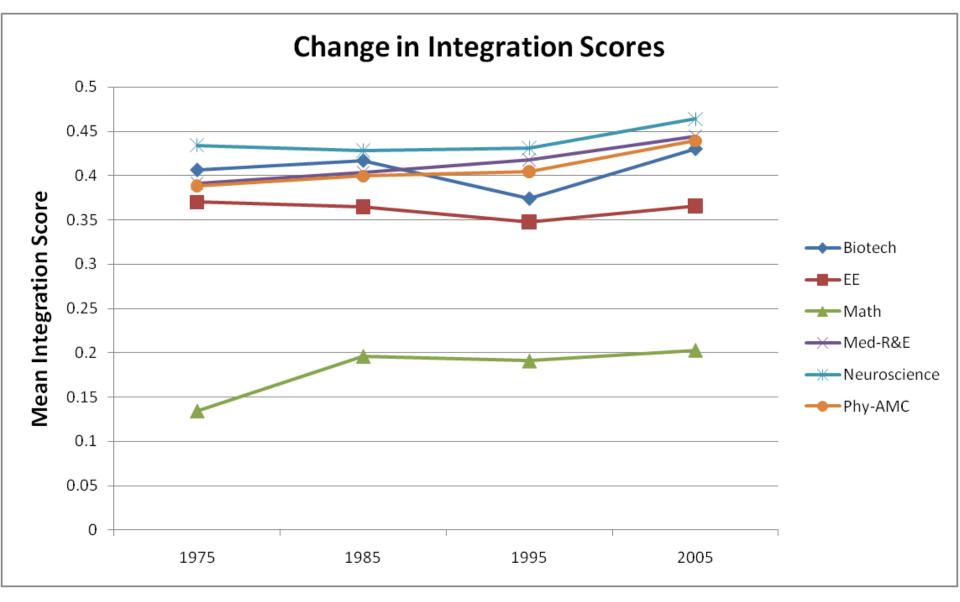
- Publication & citation data gathering
- Data cleaning in [Thomson Data Analyzer] software
- Analyses and visualizations, also drawing upon
  - MS Excel
  - Pajek
  - MS Powerpoint
- Here are selected examples from several research assessments

#### **HSD-derived Publication Characteristics**

Project

	Overall	Project B	Project A	Project H
Authors/Paper	2.79	2.42	3.00	2.27
Author Affiliation	2.26	1.92	2.69	2.09
<b>Cited Reference Count</b>	42.44	38.63	31.00	54.73
Number of Countries	1.44	1.25	2.19	1.55
Integration by Article	0.58	0.72	0.66	0.52
Journal Impact Factor	3.89	2.36	3.14	4.24
Times Cited	7.48	6.46	4.31	3.27

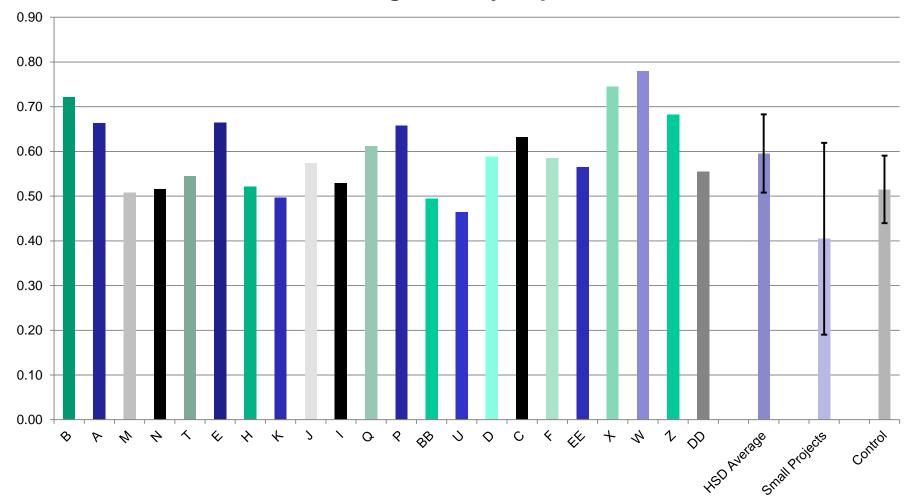
#### **Benchmarking Integration Scores**

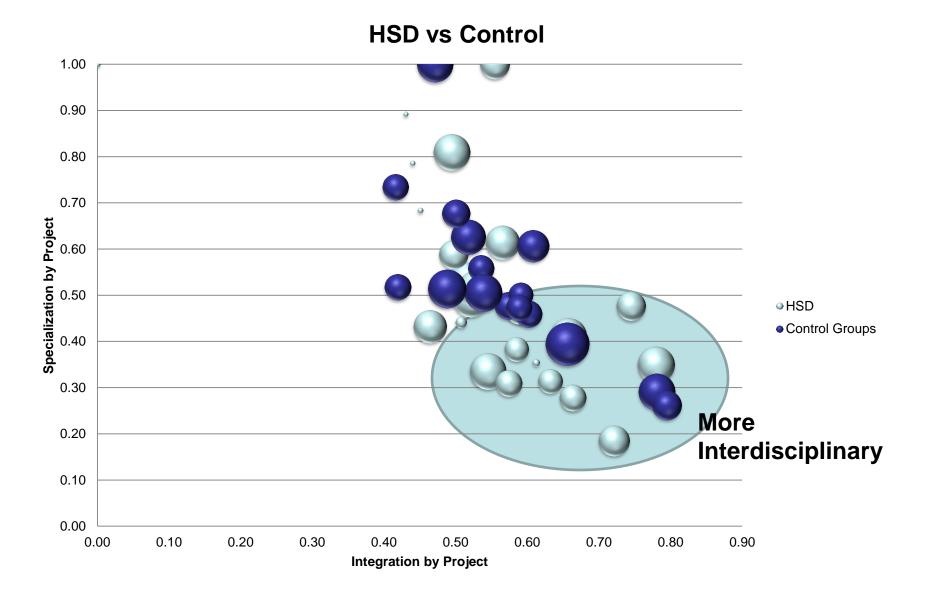


Porter and Rafols (2009) Search Technology, 2010

#### **HSD Integration Scores**

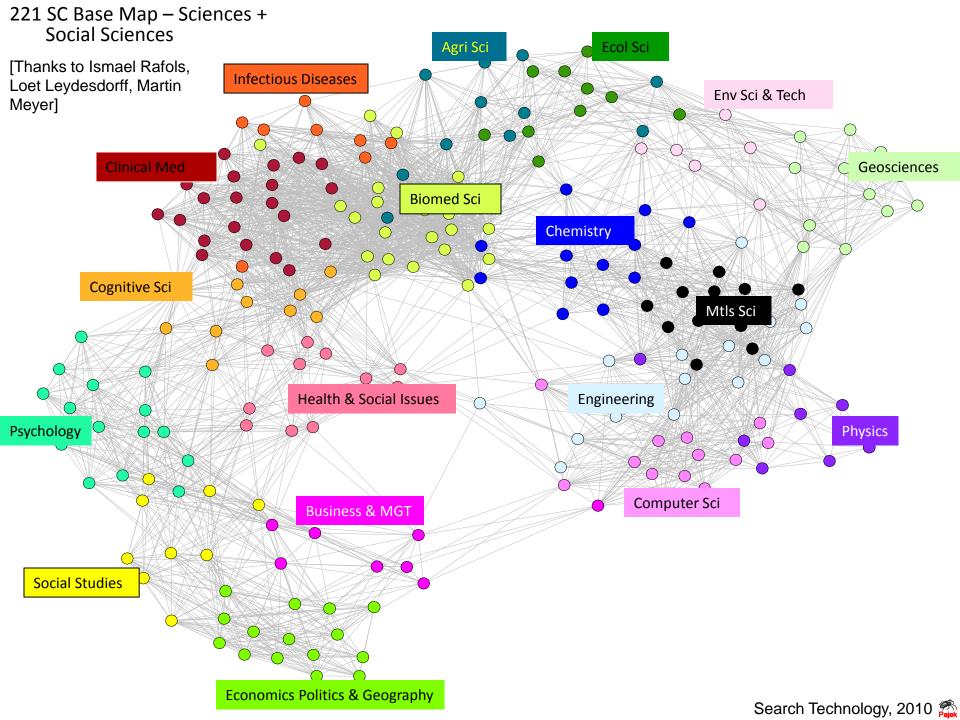
**Integration by Paper** 

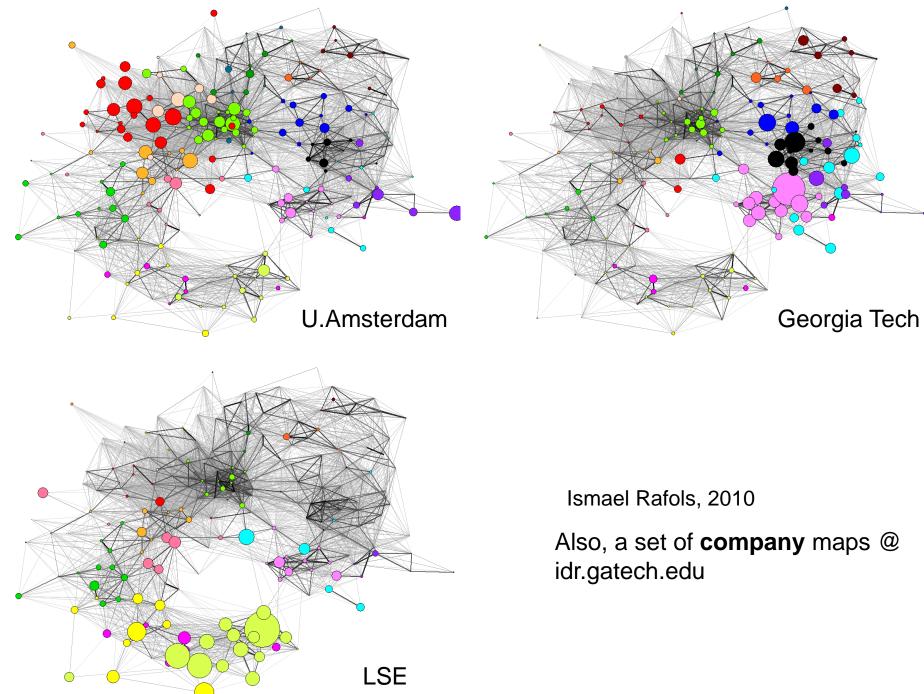




#### Maps for Research Assessment

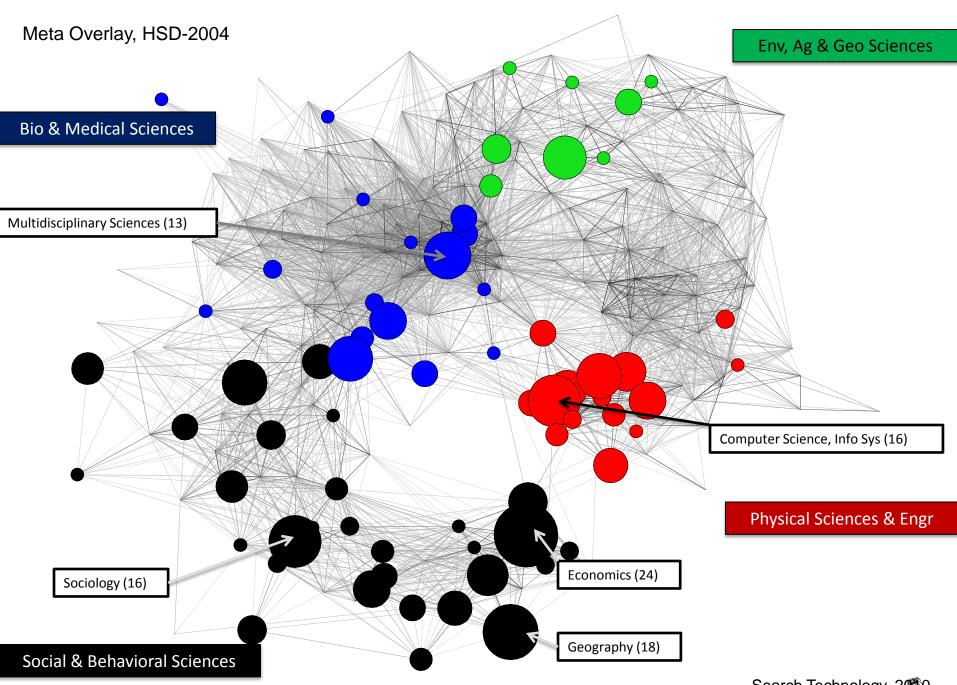
- Global science overlay maps
- Local social network maps

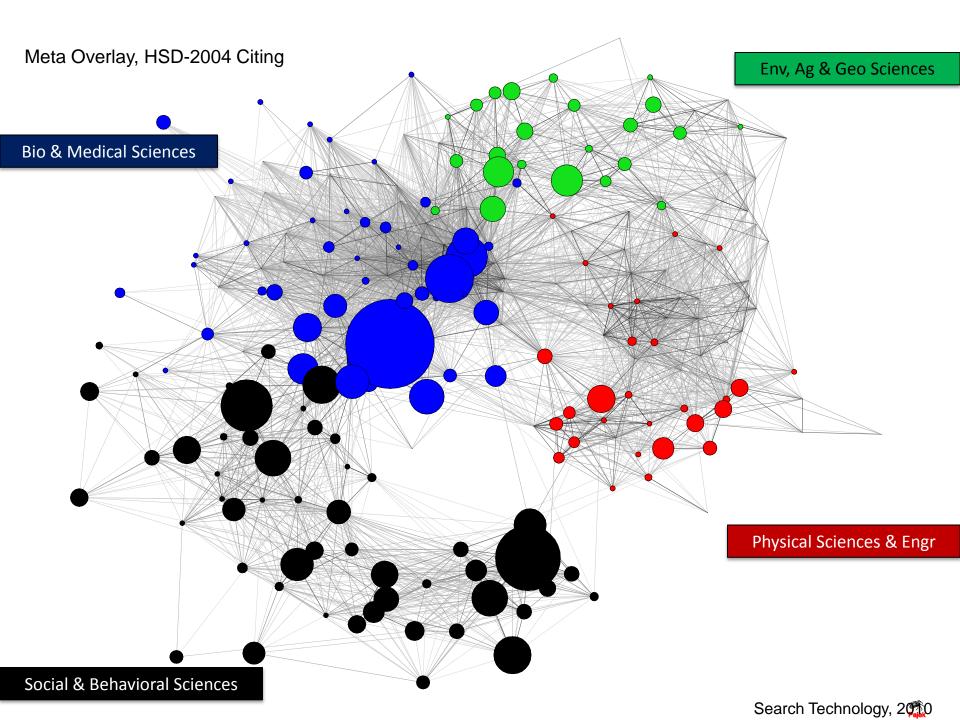




### **HSD-derived Publications**

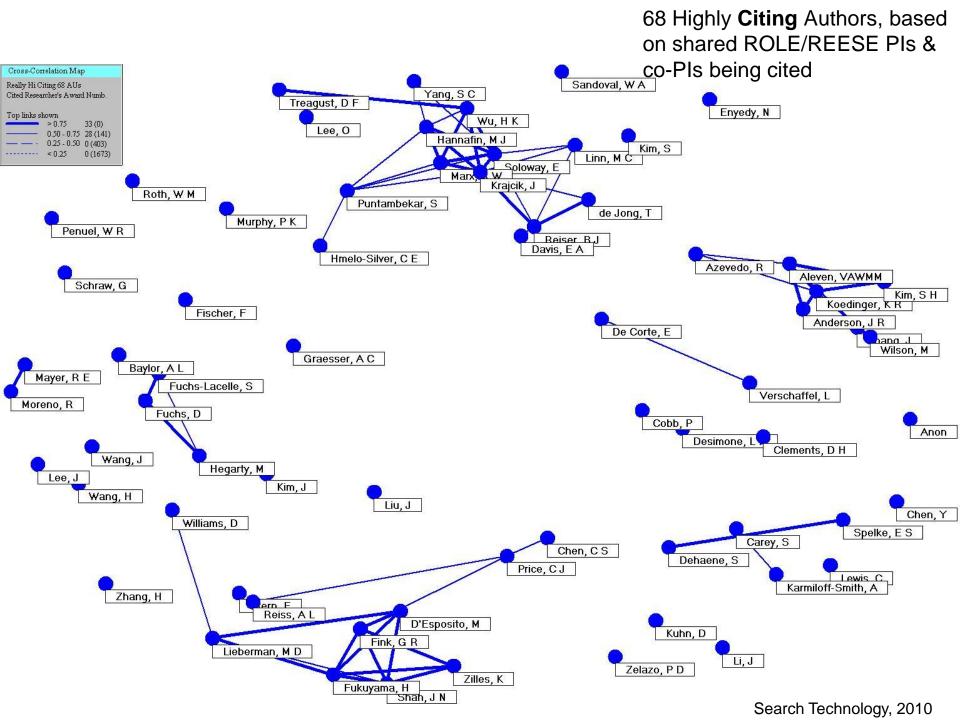
Subject Category		
Economics	24	
Geography	18	
Computer Science, Information Systems	16	
Sociology	16	
Multidisciplinary Sciences	13	
Mathematics, Interdisciplinary Applications	12	
Psychology, Experimental	12	
Public, Environmental & Occupational Health	12	
Environmental Sciences	11	
Environmental Studies	10	
Computer Science, Artificial Intelligence	9	
Engineering, Electrical & Electronic	9	
Social Sciences, Mathematical Methods	9	
Neurosciences	8	
Political Science	8	
Telecommunications	8	
Area Studies	7	
Psychology	7	
Robotics	7	
Linguistics	6	
Psychology, Social	6	

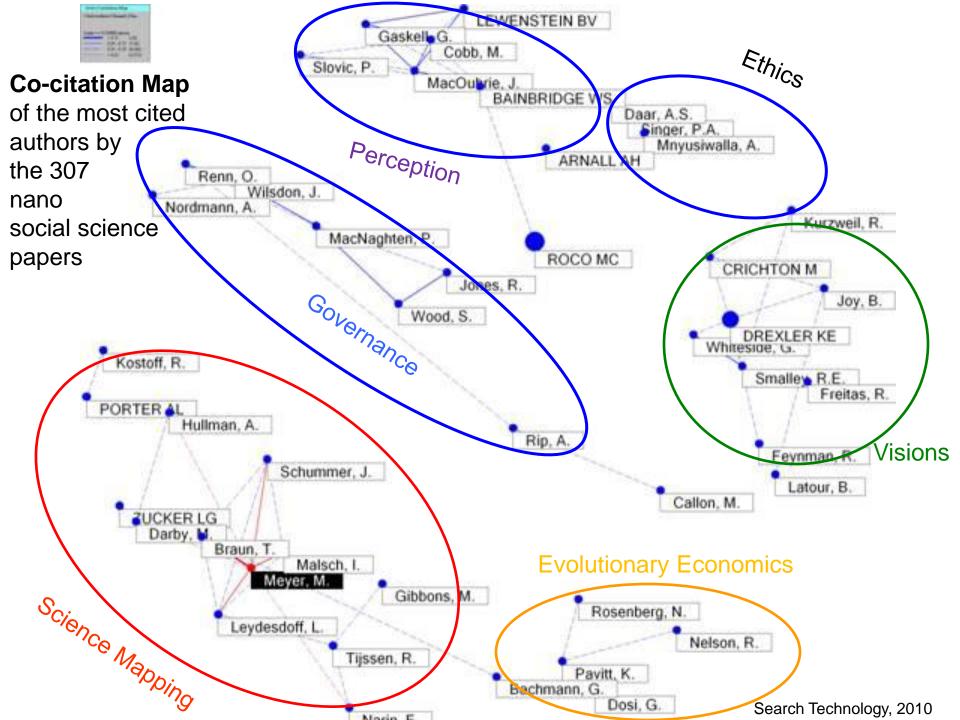


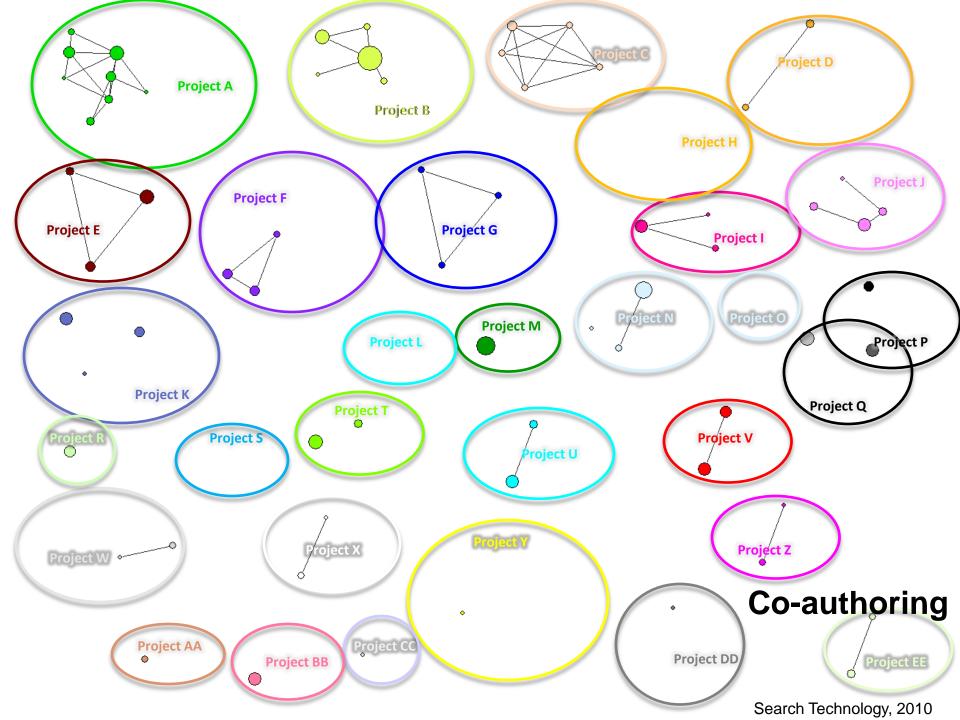


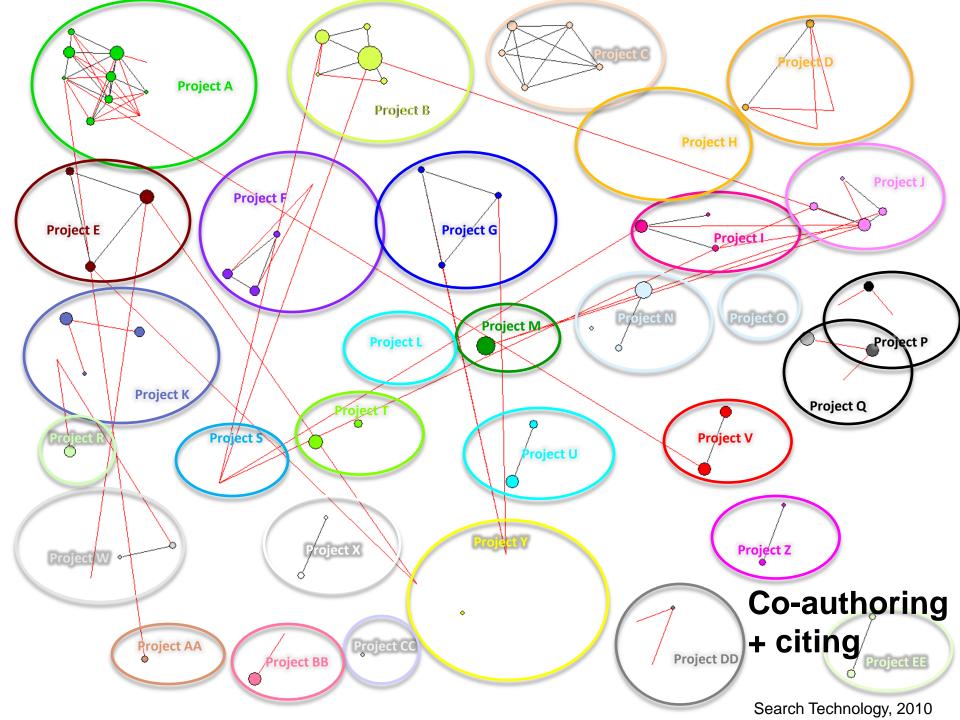
#### **Thomson Data Analyzer Map Principles**

- Nodes = larger is more activity
- Multi-Dimensional Scaling ("MDS") representations
  - Proximity suggests relationship
  - Position on X & Y axes has no inherent meaning
- Path-erasing Algorithm added to indicate relationship
  - Heavier links (lines) = stronger relationship
  - Absence of a link only means relationship < threshold selected</li>

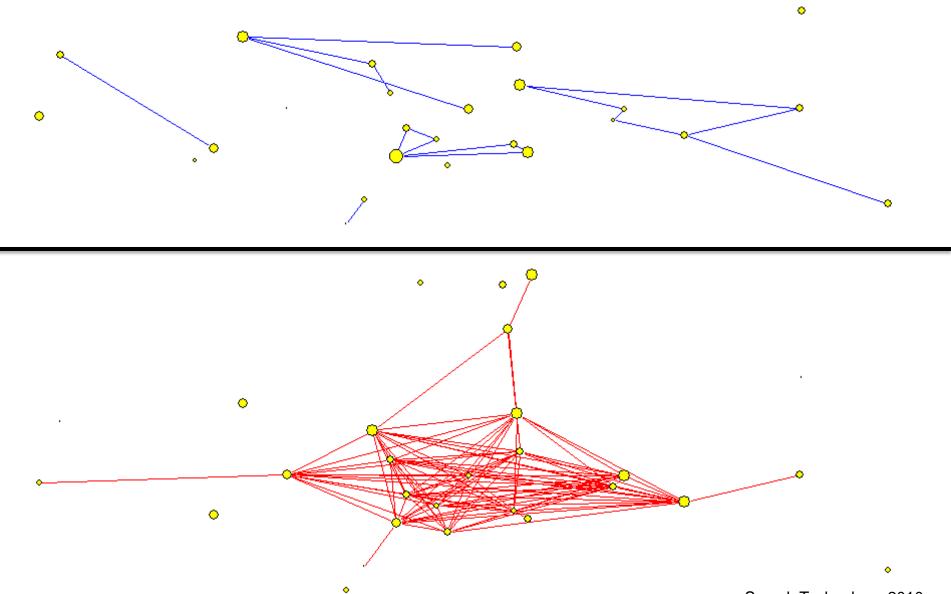








Before vs. After on 1 RCN project: . Co-author Networking

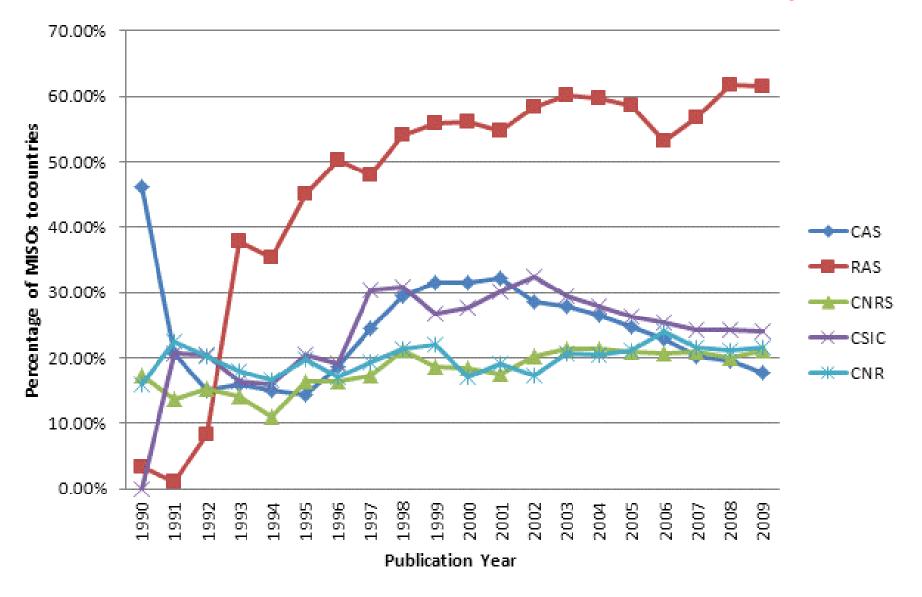


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#### Nano – MISO/CAS Analyses

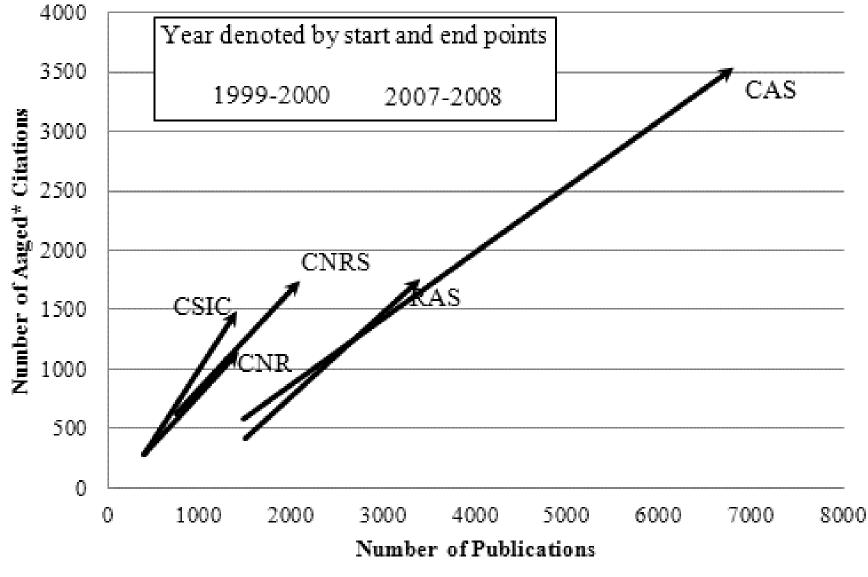
- by Ruimin Pei, CAS
- Using Georgia Tech Web of Science (SCI) nano dataset
- Compare Multi-Institute Scientific Organizations ("MISOs"):
  - CAS (China)
  - RAS (Russian Academy of Sciences)
  - CNRS (France)
  - CNR (Italy)
  - CSIC (Spain)

#### Nano – MISO Analyses



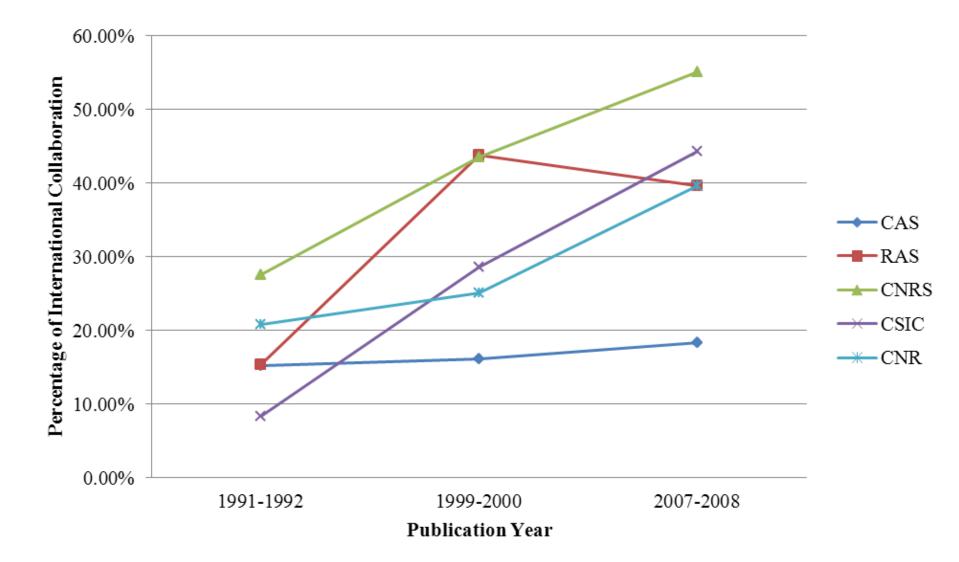
% of Country's nano SCI publications

#### Nano – MISO Analyses



**Growth in Publications & Citations/Year since publication** 

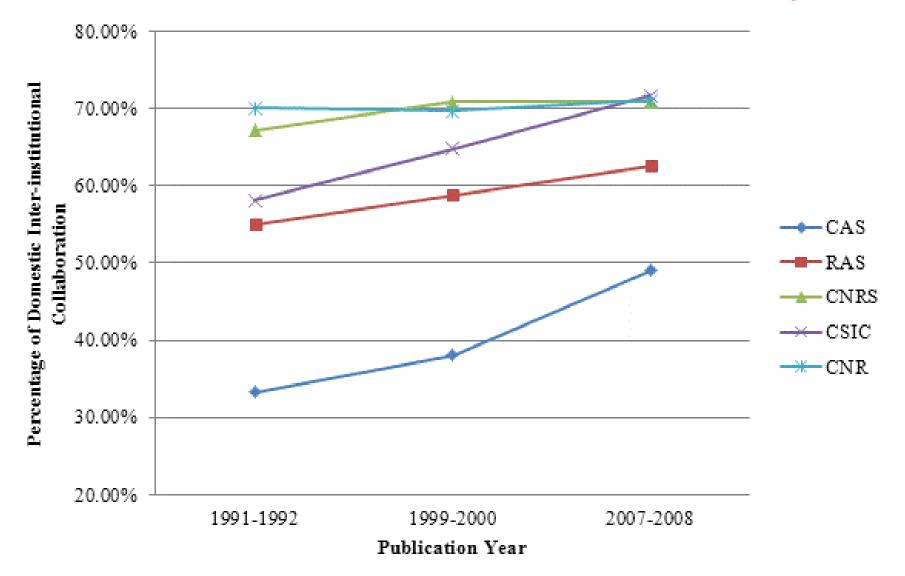
# Nano – MISO Analyses



### % of nano publications with international collaborators

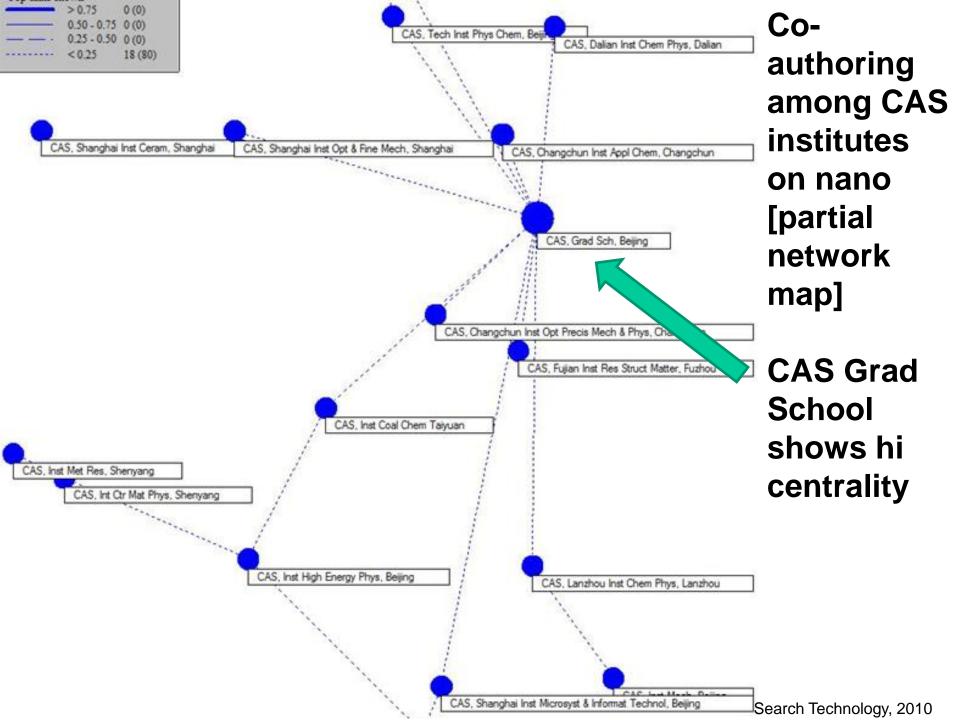
Search Technology, 2010

## Nano – MISO Analyses



### % of nano publications with domestic collaborators

Search Technology, 2010



# **Topics**

- 1. Tech Mining
- 2. Illustrating Web of Science analyses:
- 3. Illustrating Patent analyses
  - Biomaterials Technology Opportunities Analysis
  - Patent Life Cycle Analysis
- 4. TDA -- Dye Sensitized Solar Cells

# Patent Analyses: Biomaterials Case

- Search in MicroPatents database yielded some 10,000 polymer biomaterials patents.
- 2-Dimensional Focusing
  - Type of material: fibrous structural proteins
  - Application area: skin treatments
- 640 patents
- Use patent abstract fields (e.g., assignee) +
- Entity extraction: key term phrases
- Explore various: Who? What? When? Where? Questions
- Identify "blackspaces"

Porter, A.L., and Kayat, M., *International Chemical Information Conference* (ICIC), Barcelona, 2007

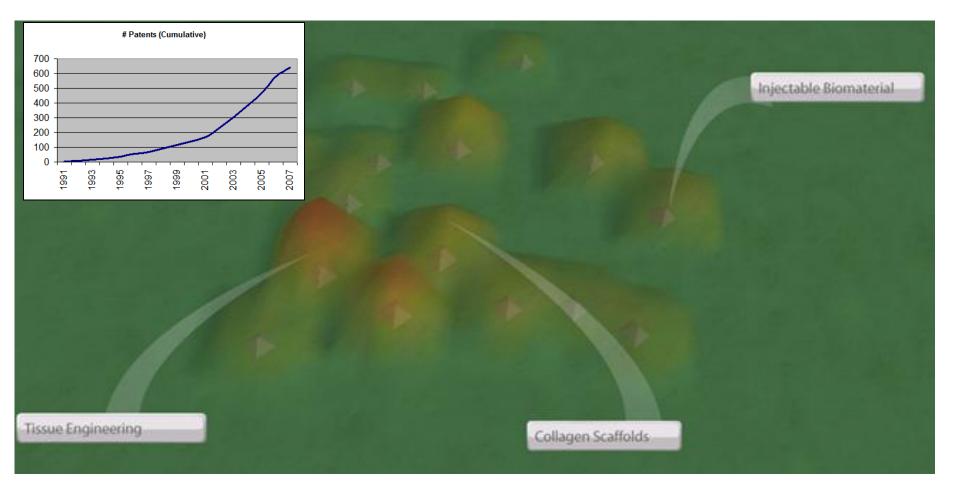
## **Profiling Particular Patent Assignees' Emphases**

Assignee / Applicant	Property Terms in Claims	Publication Year
scaffold	Top 5 Items	% since 2006
<u>CorMatrix Cardiovascular, Inc</u>	<u>scaffold [7];</u> patch applications [6]; <u>heart [6];</u> <u>composite/matrix [5];</u> <u>stem cell [5]</u>	<u>100% of 7</u>
<u>Osteotech, Inc</u>	tumor [6]; adhesive [6]; scaffold [6]; transplant [6]; bone [6]; osteo [6]; stem cell [6]	<u>17% of 6</u>
FIDIA ADVANCED BIOPOLYMERS S.R.L	tumor [6]; adhesive [6]; wound treatment [6]; composite/matrix [6]; scaffold [6]; heart [6]; vascular [6]; radio opaque/therapy [6]; diagnostics [6]; cosmetic [6]; bone [6];	<u>0% of 6</u>
		Search Technology, 2010

Search Technology, 2010

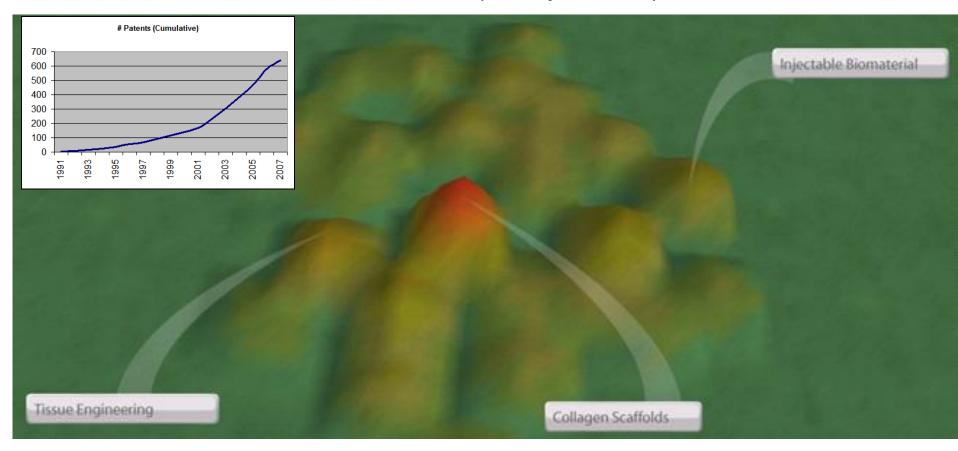
# **Information Visualizations**

# Polymer Biomaterials : fibrous structural proteins : skin 1991-1997 (68 patents)



# **Information Visualization with Animation**

Polymer Biomaterials : fibrous structural proteins : skin 1991-2005 (470 patents)



# Nanopatenting: Life Cycle Analyses

- Nanopatenting search (Derwent)
- Combine two sources of information (e.g., in TDA)
  - Patent sub-classes
  - Text mining on "uses"
- Categorize technology targets into 3 life stages
  - Nano raw materials
  - Nano intermediates
  - Nano products

# Use to analyze company & national patenting strategies

Alencar, M.S.M., Porter, A.L., and Antunes, A.M.S., Nanopatenting Patterns in Relation to Product Life Cycle, *Technological Forecasting* & *Social Change*, Vol. 74 (9), 1661-1680, 2007.

## **Discerning Patent Aims along the Value Chain**

Main IPC [# patents]	Main uses description in the nanopatents	Position along the Nano Value Chain
H01L-Semiconductor Devices; Electric Solid State Devices Not Otherwise Provided [2870]	<ul> <li>Electron device</li> <li>Semiconductor device</li> <li>Solar cell</li> </ul>	<ul> <li>Nanointermediate</li> <li>Nanointermediate</li> <li>Nano-products</li> </ul>
C01B-Non-Metallic Elements; Compounds Thereof [2716]	<ul> <li>carbon nanotube</li> <li>fuel cell</li> <li>catalyst</li> </ul>	<ul> <li>Nano-raw material</li> <li>Nano-products</li> <li>Nanointermediate</li> </ul>
A61K-Preparations For Medical, Dental, Or Toilet Purposes [1863]	<ul> <li>Cancer (treatment, medication)</li> <li>Cosmetics</li> <li>drugs</li> </ul>	<ul> <li>Nano-products</li> <li>Nano-products</li> <li>Nano-products</li> </ul>
B82B-Nano-Structures; Manufacture Or Treatment Thereof Chemistry [1615]	<ul> <li>Carbon nanotube</li> <li>Electron device</li> <li>catalyst</li> </ul>	<ul> <li>Nano-raw material</li> <li>Nanointermediate</li> <li>Nanointermediate</li> </ul>

# **Locate along the Patent Value Chain**

- Select top assignees for each country
- Cross IPC subclasses with patent uses (from abstract phrases)
- Locate institutions in the nano value chain categories
- Estimate national positions along this nano value chain.

# **Results: Country Nanopatenting**

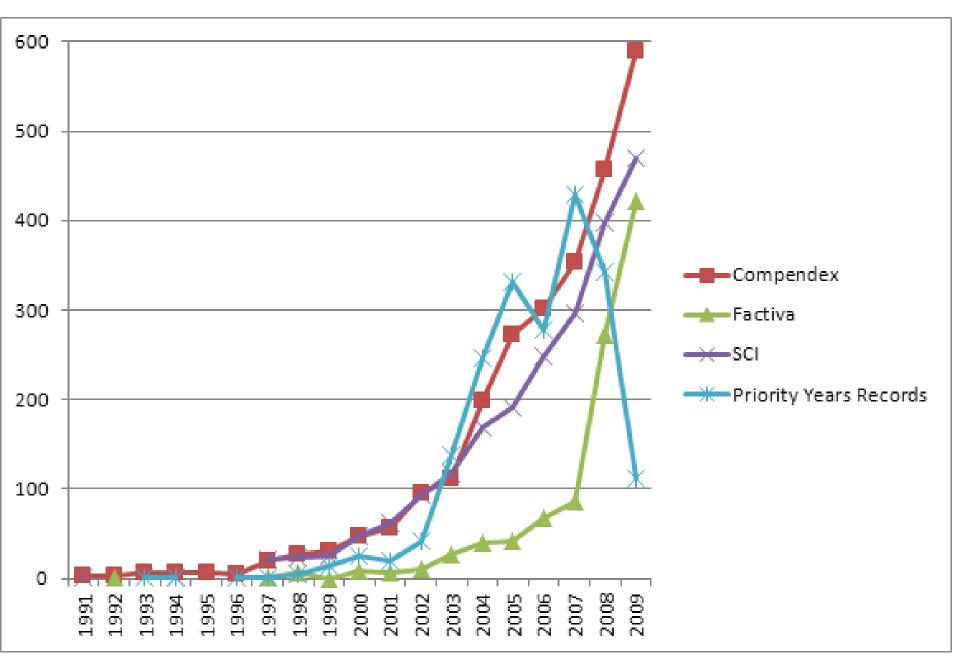
- US: 6770 patents diffused over the 3 levels
- Japan: 4631 concentrated in the 1<sup>st</sup> level
- Germany: 1701 concentrate at the 3<sup>rd</sup> level

# **Topics**

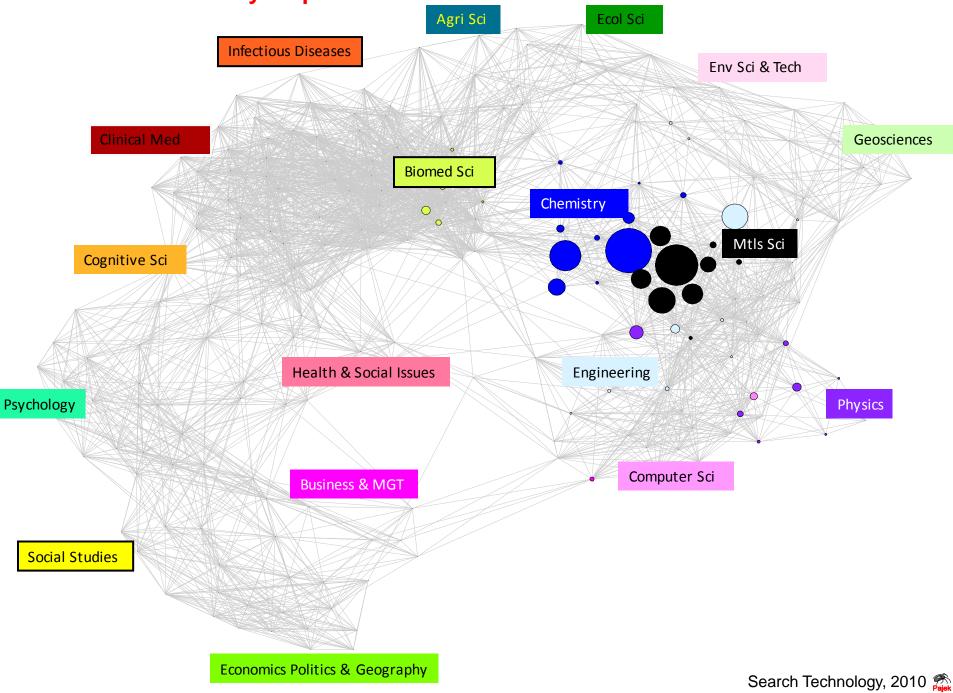
- 1. Tech Mining
- 2. Illustrating Web of Science analyses:
- 3. Illustrating Patent analyses

4. TDA -- Dye Sensitized Solar Cells
[thanks to Ying Guo with Lu Huang, Beijing
Institute of Technology]
\*\* If time & interest, we can work with these
data in TDA

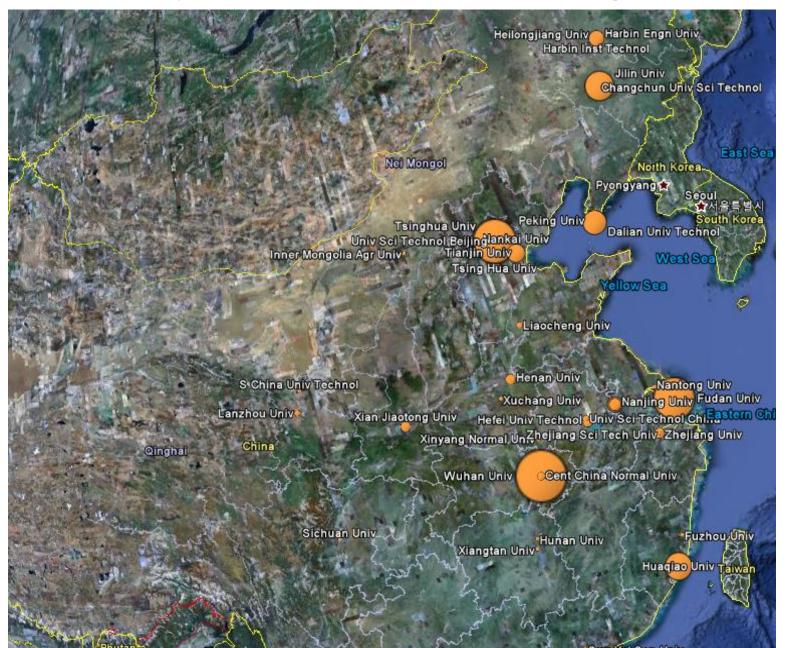
#### **Dye Sensitized Solar Cell Trend Analyses**



#### **DSSC Science Overlay Map**



#### Active Chinese Dye Sensitized Solar Cells Research Organizations (SCI)



Univ Hong Kong, Hong Kong Search Technology, 2010

# **Tech Mining+ References**

- Roper, A.T., et al., *Forecasting & Management of Technology*, Wiley, 2d edition, due in 2011.
- Porter, A.L., and Cunningham, S.W., *Tech Mining*, Wiley, 2005.
- Robinson, D.K.R., Huang, L., Guo, Y., and Porter, A.L., Forecasting Innovation Pathways for New and Emerging Science & Technologies, *Technological Forecasting & Social Change*, under submission.
- Huang, L., Peng, Z., Guo, Y., and Porter, A.L. (2010), Identifying the emerging roles of nanoparticles in biosensors, *Journal of Business Chemistry*, Vol. 7 (1), 15-30.
- Guo, Y., Huang, L., and Porter, A.L. (2010), The Research Profiling Method Applied to Nano-enhanced, Thin-film Solar Cells, *R&D Management*, Vol. 40 (2), 195-208.
- Porter, A.L., and Rafols, I., Is Science Becoming more Interdisciplinary? Measuring and Mapping Six Research Fields over Time, *Scientometrics*, 81(3), 719-745, 2009 - 10.1007/s11192-008-2197-2
- Porter, A.L., and Youtie, J., Where Does Nanotechnology Belong in the Map of Science?, *Nature-Nanotechnology*, Vol. 4, 534-536, 2009.
- Porter, A.L., Youtie, J., Shapira, P., and Schoeneck, D.J., Refining Search Terms for Nanotechnology, *Journal of Nanoparticle Research*, Vol. 10 (5), 715-728, 2008

## **Patent Analysis References**

- Xian Zhang, Shu Fang, Chuan Tang, Guo-hua Xiao, Zheng-yin Hu and Li-dan Gao. Study on Indicator System for Core Patent Documents Evaluation. *Proceedings, 12th international conference, ISSI - International Society for Scientometrics and Informetrics*, Rio de Janeiro, Brazil. 2009, Vol. 1: 154-164.
- Porter, A.L., and Kayat, M., Innovation Mapping White space Analysis for Biomaterials in Complex Patent Landscapes, International Chemical Information Conference (ICIC), Barcelona, October, 2007.
- Porter, A.L., and Newman, N.C., "Patent profiling for competitive advantage: Deducing who is doing what, where, and when," in H.F. Moed, W. Glanzel, U. Schmoch (eds.), *Handbook of Quantitative Science and Technology Research*, Kluwer, Dordrecht, The Netherlands, 2005.
- Alencar, M.S.M., Porter, A.L., and Antunes, A.M.S., Nanopatenting Patterns in Relation to Product Life Cycle, *Technological Forecasting & Social Change*, Vol. 74 (9), 1661-1680, 2007.

## **Science Mapping References**

#### Science Maps

Leydesdorff, L. and Rafols, I. (2009) A Global Map of Science Based on the ISI Subject Categories. Journal of the American Society for Information Science and Technology, 60(2), 348-362.

Boyack, K. W., Klavans, R. & Börner, K. (2005). Mapping the backbone of science. Scientometrics, 64(3), 351-374.

Boyack, K. W., Börner, K. & Klavans, R. (2009). Mapping the structure and evolution of chemistry research. Scientometrics, 79(1), 45-60.

Klavans, R. & Boyack, K. W. (2009). Toward a Consensus Map of Science. *Journal of the American Society for Information Science and Technology*, 60(3), 455-476.

Places & Spaces: http://www.scimaps.org/

#### Science Overlay Maps

Rafols, I., Porter, A.L., and Leydesdorff, L., Science overlay maps: A new tool for research policy and library management, *Journal of the American Society for Information Science & Technology*, 61 (9), 1871-1887, 2010. Rafols, I. and Meyer, M. (2009) Diversity and Network Coherence as indicators of interdisciplinarity: case studies in bionanoscience. *Scientometrics*, 82(2), 263-287.

## **The Challenge:** ST&I Policy and Technology Management are weak in use of empirical intelligence

- 1. Derive innovation indicators that answer decision-makers' questions
- "Tech Mining" of R&D literature and patent literature can provide empirical intelligence (for evidence-based decision making)
- 3. We are pursuing:
  - R&D Assessment, incorporating patent analyses
  - Tracking Research Knowledge Diffusion
  - Forecasting Innovation Pathways



- The text mining software used:
   //ip.thomsonreuters.com/training/tda/
- Ongoing Research on Interdisciplinarity & to make your own science overlay maps: //idr.gatech.edu/
- Future-oriented Technology Analysis
   Conference, Seville, May 12-13, 2010 see jrcipts-foresight@ec.europa.eu
- Tech Mining Workshop + Atlanta Conference on Science, Technology & Innovation Policy, Atlanta, Sep 13-17, 2011

## **Outtakes**

## Heuristics of diversity (Stirling, 1998; 2007) (Rafols and Meyer, 2009)

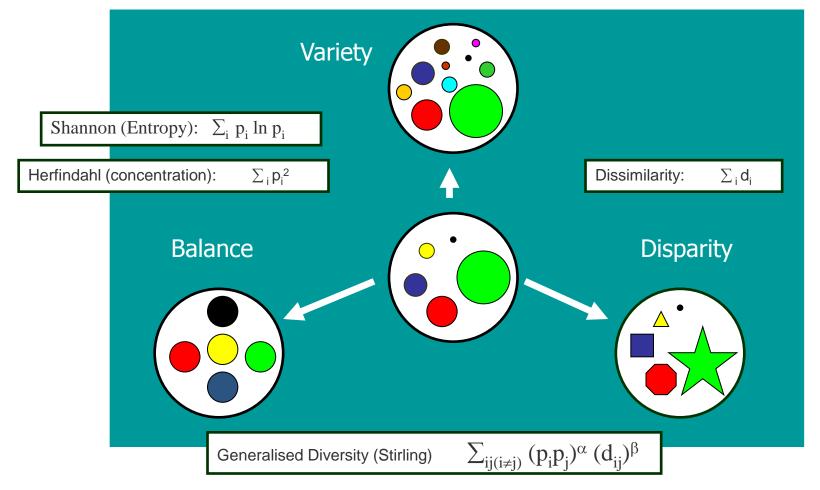
#### Diversity:

'attribute of a system whose elements may be apportioned into categories'

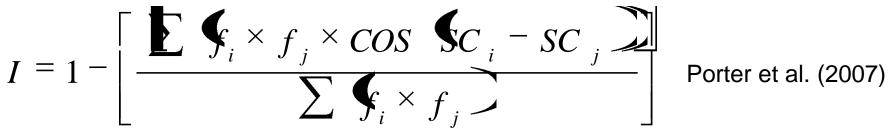
#### Characteristics:

Variety: Number of distinctive categories Balance: Evenness of the distribution Disparity: Degree to which the categories are different.

[\*\* Shannon & Herfindahl do not include Disparity]



## Integration Score



where i = row; j = column; f = frequency

"cos (SCi – SCj)" measures the association between two SCs, based on a national co-citation sample from Web of Science. It reflects the relative tendency of two particular SCs to be co-cited.

#### \*\*equivalently,

$$I = 1 - \sum_{i,j} p_i p_j s_{ij}$$

Rafols and Meyer (2009)

where  $p_i$  is the proportion of references citing the SC i in a given paper. The summation is taken over the cells of the SC x SC matrix. s<sub>ii</sub> is the cosine measure of similarity between SCs i and Behavior of our Integration Score

A paper cites N references

Integration increases: 1.As the # of Cited SCs increases (higher **Variety**)

2.As the **Balance** among those Cited SCs increases

3.As the **Disparity** among those Cited SCs increases

Integration ranges from:

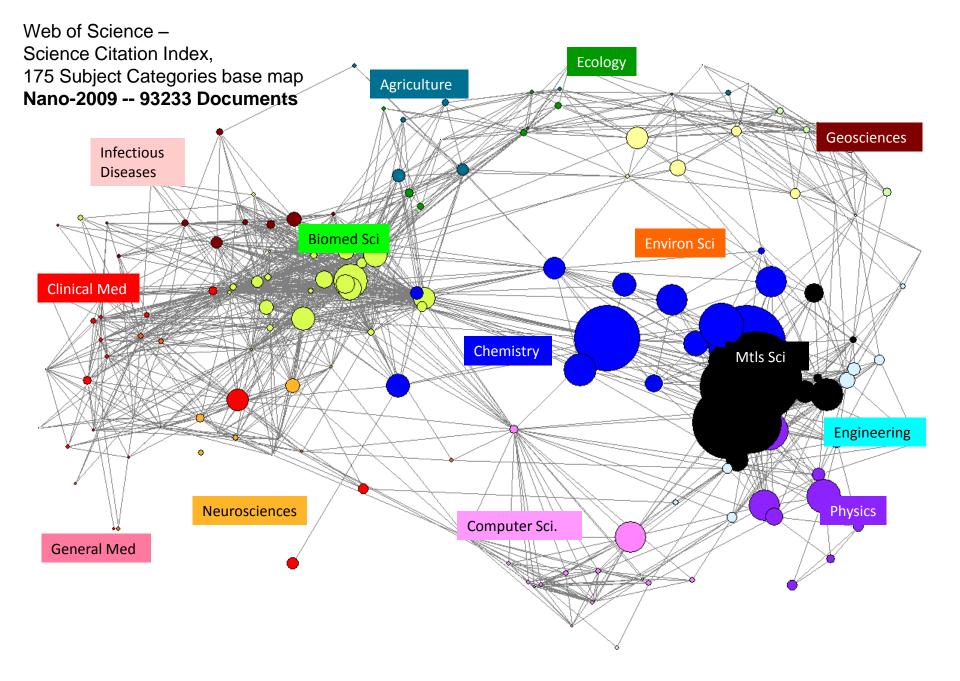
- 0 (research that cites work from a single SC) to
- 1 (research drawing from multiple, ~unrelated SCs)

# Science Mapping: We're not alone

- Chen, C. (2003) Mapping Scientific Frontiers: The Quest for Knowledge Visualization, Springer, London
- Places & Spaces: Mapping Science http://sci.slis.indiana.edu/
- Klavans, R. & Boyack, K. W. (2009). Toward a Consensus Map of Science. *Journal of the American Society for Information Science and Technology*, 60(3), 455-476.
- An essential difference
  - Global ("all" of science)
  - Local (research network analyses)

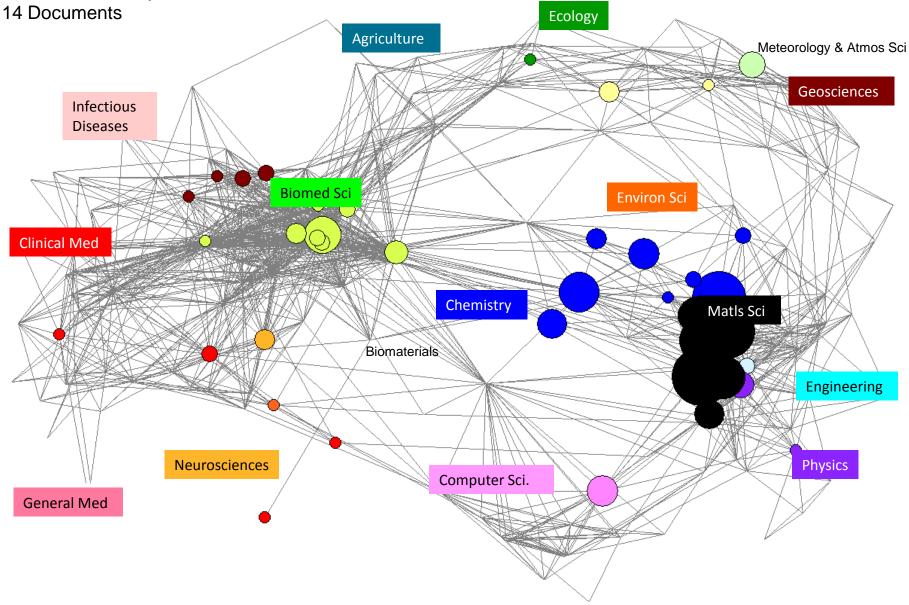
#### Global Map of Science, 2006 175 SCI Subject Categories Ecology Agriculture Geosciences Infectious Diseases Biomed Sci M **Environ Sci Clinical Med** Chemistry Matls Sci Engineering Neurosciences Physics Computer Sci. $\mathbb{C}$ **General Med** $\bigcirc$ Leydesdorff and Rafols (2009)

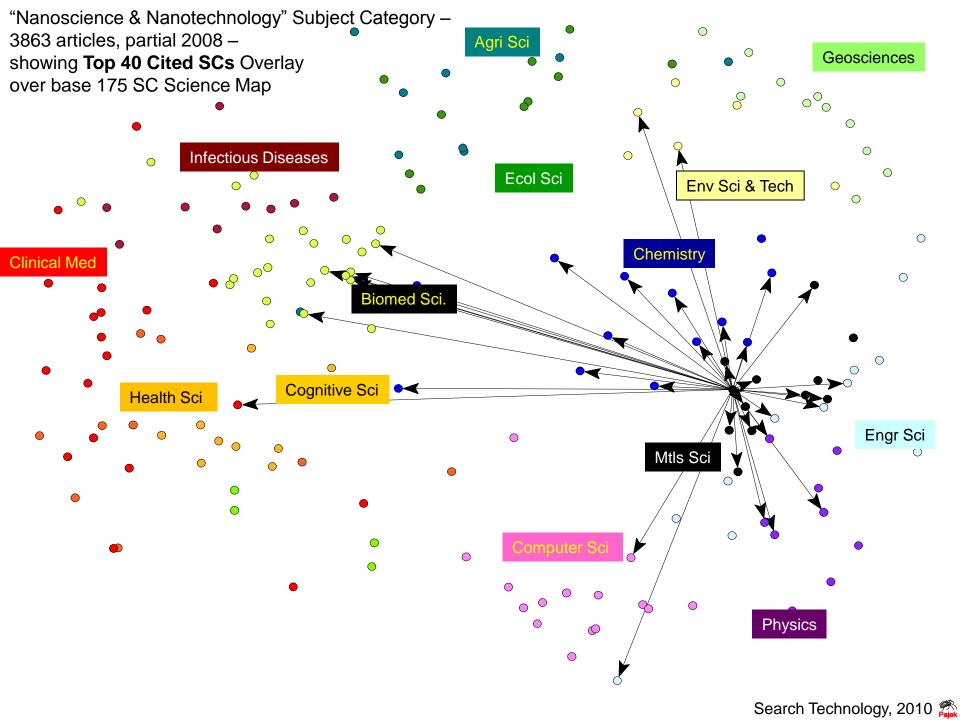
dorff and Rafols (2009)



Search Technology, 2010

#### Nano-SUNY-Albany 2008-09 Web of Science 114 Documents

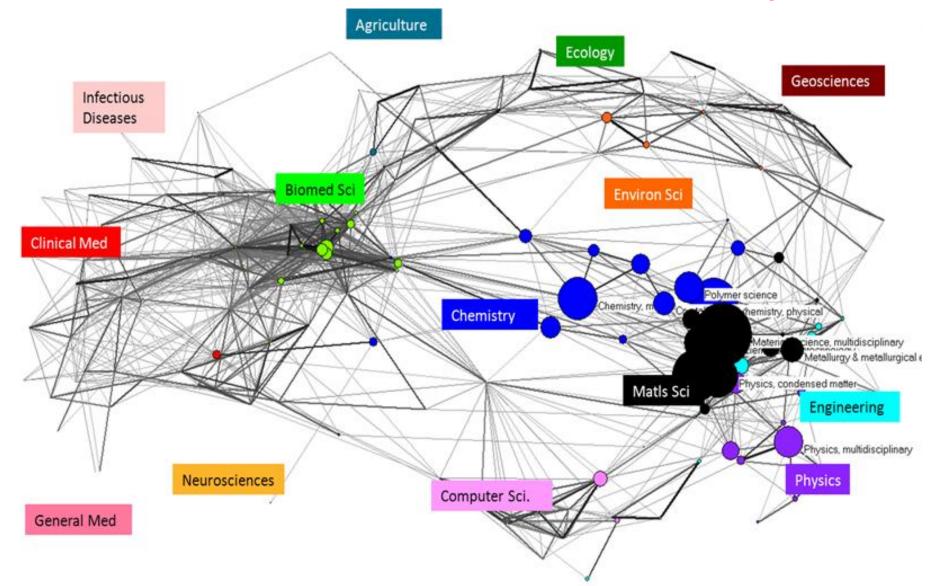




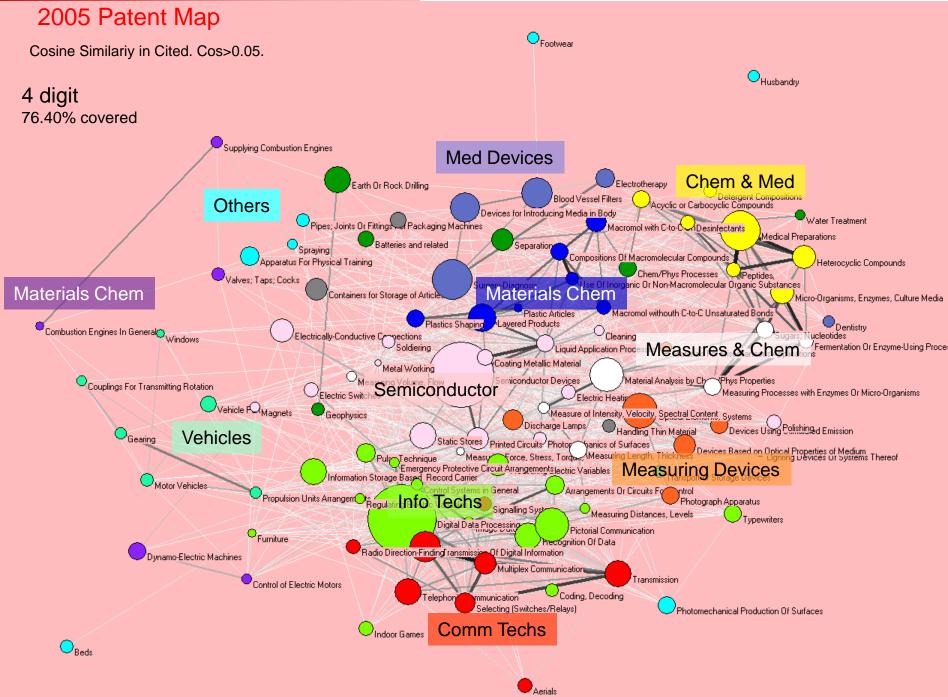
# Nano Global Mapping "Results"

- Does nano engage multiple disciplines?
  - Very much
  - But core is Materials Science
- Does nano research integrate knowledge from multiple disciplines?
  - YES -- nano is not just ~disciplinary research "silos"
  - But citation is heaviest to nearby research areas

## Nano – CAS Analyses



## Locating CAS nano publications among the Disciplines



#### Search Technology, 2010