

A novel methodology to disambiguate organization names: A key step toward a dynamic analysis of EU Framework Programmes





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## **Presentation overview** First part

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A novel methodology to disambiguate organization names: an application to EU Framework Programmes data

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#### Abstract

The concept of collaborative R&D has been increasing interest among scholars and policymakers, making collaboration a pivotal determinant to innovate nowadays. The availability of reliable data is a necessary condition to obtain valuable results. Specifically, in a collaborative environment, we must avoid mistaken identities among organizations. In many datasets, indeed, the same organization can appear in a non-univocal way. Thus its information is shared among multiple entities. In this work, we propose a novel methodology to disambiguate organization names. In particular, we combine supervised and unsupervised techniques to design a "hybrid" methodology that is neither fully automated nor completely manual, and easy to adapt to many different datasets. Thus, the flexibility and potential scalability of the methodology make this paper a worthwhile contribution to different research fields. We provide an empirical application of the methodology to the dataset of participants in projects funded by the first three European Framework Programmes. This choice is because we can test the quality of our procedure by comparing the refined dataset it returns to a well-recognized benchmark (i.e., the EUPRO database) in terms of the connection structure of the collaborative networks. Our results show the advantages of our approach based on the quality of the obtained dataset, and the efficiency of the designed methodology, leaving space for the integration of affiliation hierarchies in the future.

Keywords Organization name disambiguation  $\cdot$  Hybrid methodology  $\cdot$  Institutions  $\cdot$  Labels  $\cdot$  Collaborative networks  $\cdot$  EU Framework Programmes

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- We propose a novel methodology to disambiguate organization names
- "Hybrid" methodology easy to adapt to many different datasets.
- We apply it to the datasets of participants in projects funded by the first three EU Framework Programmes (FPs)
- Our results show the quality of the obtained datasets, and the efficiency of the methodology



## **Presentation overview** Second part

Uncovering collaborative patterns and transition dynamics in EU Framework Programmes through network modeling Andrea Ancona<sup>1</sup>, Roy Cerqueti<sup>1</sup>, Gianluca Vagnani<sup>2</sup> <sup>1</sup>Department of Social Sciences and Economics Sapienza University of Rome <sup>2</sup>Department of Management Sapienza University of Rome

#### 1 Introduction

A systematic European Research and Technological Development (RTD) policy was established in the 1980s alongside the first European Framework Programme (EU FP). The RTD policy aligns with the broader cohesion policy, which envisions the EU as a common market promoting the free circulation of people, goods, capital, and knowledge exchange. The main goal of the EU FPs is to provide funds mainly to European member states, but also to associate and third countries, in order to promote international research collaboration both at the individual and at the organization level.

Supporting collaborative R&D projects has become increasingly relevant for policy-makers and institutions. Funding is a crucial means to enhance research productivity, even more than collaboration itself. The effects of collaboration indeed, become particularly relevant in the post-funding period, suggesting that it takes time to develop effective collaboration structures that have an impact on research productivity (Defazio et al., 2009). At the European level, collaborations between knowledge-intensive and lagging-behind regions positively affect the innovation capability of the latter ones, demonstrating that a greater openness in the collaboration networks fosters knowledge exchange and spillovers (De Noni et al., 2018). As a consequence, knowledge convergence is gradually emerging among NUTS 2 regions over time, creating an opportunity to integrate knowledge cohesion with the social and economic pillars of the EU cohesion policy (Erdil et al., 2022).

- We analyze the participation dynamics in collaborative projects from FP1 to H2020 through Social Network Analysis (SNA).
- We statistically assess the Markovian nature of the collaboration process.
- We estimate the probability of moving from one level of centrality to another over consective FPs.
- Our results show a quasi-Markovian nature of the process, and shed light on the effectiveness of EU research policies.







A novel methodology to disambiguate organization names: An application to EU Framework Programmes data



#### Research motivation

- □ The availability of reliable data is necessary to obtain valuable results.
- In collaborative environments, we must avoid the attribution of wrong information to entities, and the aggregation of information related to distinct entities.
- □ Various **reasons** leading to **different labels** to address the **same organization**:
  - Different languages (e.g., "Sapienza University of Rome" and "Università degli Studi di Roma La Sapienza")
  - Abbreviations (e.g., "Università degli Studi di Roma La Sapienza" and "Univ di Roma La Sapienza")
  - Acronyms (e.g., "Consiglio Nazionale delle Ricerche (CNR)" and "CNR")
  - Punctuation (e.g., "CEN/SCK" and "CEN S.C.K.")
  - Periphrases (e.g., "University of Oxford" and "The Chancellor, Masters and Scholars of the Univ of Oxford")
  - Linguistic equivalences (e.g., "University of Aarhus" and "Aarhus University")
  - Misspellings (e.g., "Telefonica Investigacion y Desarfolio" and "Telefonica Investigacion y Desarollo")



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#### Our approach

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- Data pre-treatment through certified lists of organizations (e.g., ROR and OrgReg).
- Thorough pre-processing of labels to replace acronyms, remove stopping words, and include keywords.
- Efficient automated part based on common words, consecutive common characters, cosine similarity, and "control" variables.
- Final manual inspection to disambiguate borderline cases.





### Main similarities and differences with existing approaches

Table 2 Main similarities and differences with key references and services

Reference	Similarities	Differences
Jonnalagadda and Topham (2010).	<ol> <li>Pre-processing of institution names by removing blocking words and special characters. (2) Combination of automated methods with manual check.</li> </ol>	<ol> <li>Domain-specific (i.e., PubMed abstracts). (2) Similarity based on Levenshtein distance.</li> </ol>
Huang et al. (2014).	(1) Rule-based approach based on verified conditions.	<ul><li>(1) Similarity based on Jaccard distance and Jaro-Winkler algorithm.</li><li>(2) Fully automated method.</li></ul>
Zhang et al. (2012), Muñoz et al. (2012), Spina et al. (2013).	No particular similarities.	(1) Fully automated methods. (2) Dependent on Twitter information and external web sources.
Jiang et al. (2011).	(1) Pairwise comparison between all affiliations.	<ul><li>(1) Similarity based on the Normalized Compression Distance. (2) Fully automated method.</li></ul>
Cuxac et al. (2013).	(1) Comparison with manually analyzed reference datasets through a supervised approach.	(1) Bayesian techniques. (2) Discouraged for highly unbalanced data.
Service	Similarities	Differences
ROR OpenRefine Reconciler	<ol> <li>Input table with a column related to organization names. (2) Matchings based on string similarity.</li> </ol>	<ul> <li>(1) No control variables required. (2) Relying on ROR records. (3)</li> <li>Disambiguating companies with a status of active only. (4) Manual check of all returned cases. (5) Discouraged with a high number of organization names.</li> </ul>
AIDA System (Yosef et al., 2011)	(1) Anchoring to keyphrases (similar role as control variables).	<ul><li>(1) Greedy algorithm following a graph-based approach. (2)</li><li>Dependent on a context (i.e., an input text). (3) Fully automated method.</li></ul>

Results





### Why a «hybrid» methodology is necessary





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## The algorithm





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### The algorithm



#### Step 1. Test on the number of characters

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# The algorithm

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#### Step 1. Test on the number of characters

Step 2. Test on the number of words

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Step 1. Test on the number of characters

Step 2. Test on the number of words

Step 3. Test on the control variables

Method

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#### The algorithm



Step 1. Test on the number of characters

Step 2. Test on the number of words

Step 3. Test on the control variables

**Step 4.** Test on the number of common words or consecutive common characters



Method

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#### The algorithm



Step 1. Test on the number of characters
Step 2. Test on the number of words
Step 3. Test on the control variables
Step 4. Test on the number of common words

or consecutive common characters

Step 5. First test on the similarity score



Method

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#### The algorithm



Step 1. Test on the number of characters

Step 2. Test on the number of words

Step 3. Test on the control variables

**Step 4.** Test on the number of common words or consecutive common characters

Step 5. First test on the similarity score

Step 6. Second test on the similarity score





### The first three EU FPs

- One of the most **relevant case studies** in the field of **collaborative R&D**.
- Data are publicly available on the CORDIS website.
- Datasets on the first three EU FPs are the most unbalanced and the less standardized among all FPs.
- We can rely on a high quality dataset as a benchmark to assess the efficiency of our methodology, i.e., the EUPRO database (Roediger-Schluga & Barber, 2008).
- We dowloaded CORDIS data on October 1st, 2021; at the same time, we requested and obtained access to the EUPRO database.
- □ After **removing** rows with **no organization names**, we obtained the **final sample**:
  - Raw data: 7,900 participations in FP1; 19,054 participations in FP2; 31,348 participations in FP3.
  - EUPRO: 7,818 participations in FP1; 19,126 participations in FP2; 30,732 participations in FP3.



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## Results in terms of network metrics

- By comparing raw (i.e., from CORDIS data), refined (i.e., obtained through the application of the methodology), and EUPRO networks (i.e., from the EUPRO database) we are able to assess if the connection structure of the obtained networks is moving closer to the EUPRO ones.
- In this way, we can determine if the application of the methodology has contributed to improve the quality of the original dataset, making it reliable to map the collaboration process.

	Raw network		Refined network			Eupro network			
	FP1	FP2	FP3	FP1	FP2	FP3	FP1	FP2	FP3
Distinct organizations	2, 977	7, 280	10, 969	2, 319	5, 596	8, 644	1, 972	4, 587	7, 095
Giant component	2, 301	6, 840	9,942	1, 860	5, 320	7, 881	1, 593	4, 379	6, 520
Edges	10, 236	66, 085	113, 627	9, 159	60, 453	97, 890	8,429	55, 825	88, 966
Density	0.23%	0.25%	0.19%	0.34%	0.39%	0.26%	0.43%	0.53%	0.35%
Diameter	9	8	9	8	7	8	7	6	7
Average shortest path	3.9	3.3	3.3	3.4	3	3.1	3.3	2.9	3
Clustering coefficient	0.25	0.23	0.19	0.20	0.19	0.20	0.20	0.20	0.22
Mean degree <sup>a</sup>	8.6	19.2	22.6	9.7	22.7	24.8	10.4	25.4	27.2

<sup>a</sup> Referred to giant component only



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## Results in terms of network metrics

□ To provide a whole picture of the connection structure, we estimate the exponent  $\alpha$  of the respective degree distribution functions following a power-law ( $P(x) \sim x^{-\alpha}$ ).



	Raw network	Refined network	Eupro network
FP1	2.9	2.5	2.2
FP2	2.5	2.3	2.2
FP3	2.1	2.1	2







#### Error analysis

- Some differences between refined and EUPRO networks still hold as not all organizations can be determined distinctively by identifying equivalences between labels.
  - Research institutes that are aggregated in EUPRO under the name of the research center they belong.
  - Organizations involved in mergers and acquisitions.
  - Possible rebranding.
- We compute the **pairwise-Precision (pP)** and the **pairwise-Recall (pR)** for the aggregated dataset (i.e., including all three FPs) to conduct a **systematic error analysis**.

$$pP = \frac{|Pairs_{disambiguated} \cap Pairs_{labeled}|}{|Pairs_{disambiguated}|}, \qquad pR = \frac{|Pairs_{disambiguated} \cap Pairs_{labeled}|}{|Pairs_{labeled}|}$$







- □ We find 97% of disambiguated pairs to be correct in comparison with EUPRO (pP = 0.97), and 82% of all labeled pairs identified (pR = 0.82).
- □ We also analyze the values of *pR* by country and activity type to unveil the nature of unidentified matchings.

	FR	DE	UK	IT	NL
N	1, 458, 922	414, 353	364, 613	313, 597	294, 108
pR	0.93	0.75	0.81	0.72	0.69

	Research	Education	Industry	Governmental	Other
N	2, 108, 273	1, 111, 044	290, 024	34, 276	32, 151
pR	0.87	0.82	0.50	0.91	0.51

- Dutch names are the most difficult to identify through linguistic criteria
- Half of pairwise equivalences between
   private organization names are not identified



Conclusion



## Efficiency of the methodology

□ The algorithm returns only 0.005% of all possible pairwise equivalences to check by hand.

□ The use of **"cosine" distance** to assess **string similarity** is supported by our results.



Fig. 5 Percentage of equivalences between labels classified as true or false by hand, over discrete intervals of similarity score



Fig. 7 Cumulative distribution function of the similarity score between corresponding original and EUPRO labels





#### Conclusions

- We propose a hybrid methodology which classifies almost all equivalences automatically and returns just a small portion to check by hand.
- It is not domain-specific, and it does not require a context to disambiguate. Moreover, it can be applied to unbalanced data with a considerable number of organizations.
- > The dataset we obtain moves **closer** to the **EUPRO** database through a **reduced time consuming** procedure.
- > The methodology is shown to be **efficient** and **reliable** thanks to the implementation of **«cosine» distance**.
- Remaining unmatched cases are mainly due to sources of errors that we are not addressing. However, the methodology can be integrated with external registers (such as FirmReg) to consider private companies dynamics.
- > The relevance of unidentified matchings depends however on the specific research objectives.





Uncovering collaborative patterns and transition dynamics in EU Framework Programmes through network modeling



## Context and background

- The EU Research and Technological Development (RTD) policy was established in the 1980s to promote international research collaboration.
- Supporting collaborative R&D projects has become increasingly relevant for policy-makers and institutions. At the same time, the innovation performance of organizations benefits from collaborative R&D.
- □ Various approaches have been applied to the study of collaborative R&D. The dynamic nature of socio-economic processes necessitates examining them through the new lens of economic complexity (Balland et al., 2022).
- SNA especially, has been increasingly adopted to investigate the behaviors of collaborative relationships (Cerqueti et al., 2023), analyze the structure of innovation systems (Ancona et al., 2023), and identify the key actors in collaboration networks (Cinelli et al., 2022).



Conclusion



#### **Research motivations**

- When considering the evolution of collaborative networks, most of the works employ Stochastic Actor-Oriented Models (SAOMs) (Giuliani, 2013; Cao et al., 2017) since they are efficient in processing longitudinal network data (Broekel et al., 2014).
- □ This method assumes that **network structures evolve** as a **Markov chain outcome** (Snijders, 2017), whereas in many **real networks**, **evolution** often displays a **non-Markovian** behavior (Williams et al., 2022).
- Previous studies on EU FPs focus mainly on macro-level analyses (i.e., at the country or regional level) and average dynamics of specific FPs.
- Low attention has been paid to the micro-dynamics at the participant level, especially over an extended period, spanning multiple FPs.



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### Our approach

- We explore the participation dynamics in collaborative research projects funded by the first eight EU FPs, i.e., from FP1 to Horizon 2020 (H2020).
- We map the local behaviors of single actors in terms of their position in the collaborative networks through centrality measures.
- We statistically assess whether the dynamics of collaborations among the organizations receiving funds in all the first eight EU FPs have a Markovian nature.
- We employ an innovative method to partition the rankings of organizations based on the values of strength centrality and we estimate the probability of moving from one level of centrality to another over consecutive FPs.





## Dynamics of collaborative research networks

**Co-evolution** of **network position** and **research performance** (Zhang & Chen, 2022).

Method

- "Core-periphery" structure and preferential attachment mechanisms (Wagner & Leydersdorff, 2005; Cao et al., 2017; Xie and Su, 2021; Zirulia, 2023).
- Liberal democracy and governance similarities positively affect international research collaboration (Whetsell, 2023).
- Science and technology policies influence the dynamics of collaborative networks (Park & Leyedesdoff, 2010) and their small-world structure (Zhang et al., 2016).
- □ The collaboration dynamics depend on the dimension of the research group (Palla et al., 2007) and the technological dynamism of the industry organizations belong to (Tatarynowicz et al., 2016).



Conclusion



## EU-funded projects

- □ Participation in EU research projects enhances the scientific performance of organizations (Calignano, 2021).
- The scientific reputation of organizations in turn impacts the likelihood of receiving funds (Enger & Castellacci, 2016) and the collaboration structure of HEIs (Lepori et al., 2015).
- The centrality of organizations in collaborative networks affects the probability of applying and being funded (Enger, 2018). Particularly central organizations have generally access to more funds (Cinelli et al., 2022).
- □ HEIs and participants from EU-15 countries exhibit higher centrality values (Balland et al., 2019).
- Consortium characteristics (Wanzeböck et al., 2020), and geographical heterogeneity among partners (de Arroyabe et al., 2021) are relevant for the project success.
- Geographical, social, and technological proximities affect collaboration patterns (Scherngell & Barber, 2011; Paier & Scherngell, 2011; Heringa et al., 2016).





#### Sample and data

Main source: EUPRO database (Heller-Schuh et al., 2020).















#### $d_i = 5 \forall i \in V_X, \quad w_{ij} = 1 \forall (i, j) \in E_X$















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#### Network modeling

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#### Key centrality measure:

$$s_i = \sum_{j=1}^N w_{ij} \,,$$

where *N* is the number of nodes in the network





## Statistical analysis of process Markovianity

- □ A first-order Markov process is a memory-less process, i.e., the probability of becoming one of the states of the chain in the next step depends only on the present state (Gudivada et al., 2015).
- Such a property represents the stochasticity of some phenomenon evolution, with relevant implications in the context of forecasting.
- □ How do we assess it?
  - Given a discrete-time stochastic process  $X = (X(t): t \in N)$  taking values in a set of ranks, and P the related probability law, we can say that X is a Markov chain of order one if we have (Friedrich et al., 2011):

$$P(X(t+1) = i_{t+1} | X(t) = i_t) = P(X(t+1) = i_{t+1} | X(t) = i_t, X(t-1) = i_{t-1})$$

$$First - order transition matrix$$

$$Second - order transition matrix$$





## Statistical analysis of process Markovianity

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 $P(X(t+1) = i_{t+1} | X(t) = i_t) = P(X(t+1) = i_{t+1} | X(t) = i_t, X(t-1) = i_{t-1})$ 

• We run 1000 simulations for both order one and two transition matrices and pairwise compare them via Kolmogorov–Smirnov (KS) test.



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## Partitioning the transition matrices

- $\Box$  For each pair of consecutive FPs, we rely on the **empirical probability matrix P**, whose dimension is equal to  $n \times I$ m, where n is the number of distinct values of strength in a specific FP, and m is the number of distinct values of strength in the subsequent FP.
- Let us consider the **empirical probability matrix** *P* from FP1 to FP2:

$$P^{1,2} = \begin{pmatrix} p_{1,1} & \cdots & p_{1,m} \\ \vdots & \ddots & \vdots \\ p_{n,1} & \cdots & p_{n,m} \end{pmatrix}$$

□ The generic element *p*<sub>*i,j*</sub> is equal to the **probability** that an **organization** whose **strength** in FP1 is *s*<sub>*i*</sub>, has a value of strength in FP2 equal to  $s'_i$ , which is computed as:

$$p_{i,j} = rac{k_{i,j}}{\sum_{j=1}^{m} k_{i,j}}$$
 ,

where  $k_{i,i}$  corresponds to the number of times  $s_i$  is associated to  $s'_i$ .



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## SAP

## Partitioning the transition matrices

We adapt a methodology proposed in (Cerqueti et al., 2017) to endogenously partition the transition matrices by identifying three different classes of strength for each FP, i.e., low, medium, and high.

 $Low = \{s_i \mid s_i \le t_1\}$  $Medium = \{s_i \mid t_1 < s_i \le t_2\}$  $High = \{s_i \mid t_2 < s_i\}$ 

Where  $t_1$  and  $t_2$  are the **optimal thresholds** to be determined accordingly.

□ For each pair of **consecutive FPs**, we obtain the following matrix.

$$\pi = \begin{pmatrix} \pi_{L,L} & \pi_{L,M} & \pi_{L,H} \\ \pi_{M,L} & \pi_{M,M} & \pi_{M,H} \\ \pi_{H,L} & \pi_{H,M} & \pi_{H,H} \end{pmatrix}$$





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## Unveiling dynamic patterns of EU FPs



- The value of mean strength has been dramatically increasing over time for the organizations taking part in all the eight FPs, whereas it is almost stable when considering the entire network.
- New incumbents tend to collaborate with
   experienced organizations, augmenting the gap
   between old and new participants.



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## Assessing the Markovianity of participation dynamics

Method



- > The outcome of the KS test is not obvious: just a portion of KS values confirm the Markovianity of the process.
- However, considering that the mode of the distribution is in the 99% confidence interval, we can say that the process is likely to be generated from a Markov chain.
- > We can then observe a quasi-Markovian nature of the participation dynamics in EU FPs.



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## The effects of EU initiative on transition matrices

□ The estimated transition probability matrices are reported as follows:





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## The effects of EU initiative on transition matrices

□ The estimated transition probability matrices are reported as follows:



> It is rather hard for a participant with a high level of strength to shift toward a less central position in the following FP.



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## The effects of EU initiative on transition matrices

□ The estimated **transition probability matrices** are reported as follows:



- It is rather hard for a participant with a high level of strength to shift toward a less central position in the following FP.
- A participant with a low level of strength is more likely to increase its centrality over consecutive FPs, except for the transition from FP2 to FP3 and from FP5 to FP6.





## The effects of EU initiative on transition matrices

□ The estimated **transition probability matrices** are reported as follows:



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## The effects of EU initiative on transition matrices

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#### Discussion and conclusion

- Innovative approach to analyze collaborative patterns and participation dynamics in EU-funded projects, comprising elements from SNA and statistics.
- The participation process exhibits a quasi-Markovian nature, opening the space for accurate forecasting procedures.
- The Treaty of Maastricht first, and the promotion of the ERA then, emerge as the most crucial events determining the openness and the "democratization" of European research funds.
- > Policy actions are needed to avoid "predatory" behaviors and exclusive access to European funds.
- > The analysis relies on **statistical assumptions** that can be challenged in **future research**.



# **THANKS FOR YOUR ATTENTION**

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# **Q&A** Session