nihexporter: an R package for NIH funding data

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1 Abstract

1.1 Motivation

The National Institutes of Health (NIH) is the major source of federal funding for biomedical research in the United States. Analysis of past and current NIH funding can illustrate funding trends and identify productive research topics, but these analyses are conducted *ad hoc* by the institutes themselves and only provide a small glimpse of the available data. The NIH provides free access to funding data via NIH EXPORTER, but no tools have been developed to enable analysis of this data.

1.2 Results

We developed the nihexporter R package, which provides access to NIH EXPORTER data. We used the package to develop several analysis vignettes that show funding trends across NIH institutes over 15 years and highlight differences in how institutes change their funding profiles. Investigators and institutions can use the package to perform self-studies of their own NIH funding.

1.3 Availability

The nihexporter R package can be installed via github.

1.4 Implementation

The nihexporter package is implemented in the R Statistical Computing Environment.

1.5 Contact

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2 Introduction

The National Institutes of Health (NIH) is the major source federal funds for biomedical research in the United States. The NIH budget is approved by Congress each year, and in fiscal year 2014, the total NIH budget was 30.3 billion dollars (REF). The NIH is divided into 25 institutes, each with its own focus and mission. For example, National Cancer Institute (NCI) focuses on malignant diseases; the National Institute for Allergy and Immune Disease focuses on the immune system and transmissible disease; and the National Institute for General Medical Sciences focuses on basic research without a specific disease focus. Each institute negotiates with the NIH director (currently Francis Collins, MD, PhD) for its yearly budget, with budget institutes ranging from millions to several billion dollars.

The NIH provides funds through competetive grants written by internal and external investigators, and the funds associated with these grants can be divided into 'direct' and 'indirect' costs. **Direct costs** are funds that are given to an investigator (or group of investigators) to conduct their proposed research. These funds buy supplies for the experiments and pay the salaries of people to do the work.

By contrast, **indirect costs** are funds that are paid to institutions associated with investigators, and are used to "keep the lights on": they pay for infrastructure costs. However, the "indirect cost recovery" (ICR) rate of each institution, the fraction of each award the institute receives, is congressionally mandated, and there is a wide range in ICR rates. Some of the highest ICR rates are close to 100%, meaning that for every dollar an investigator receives, the institutions receive an equal amount.

NIH funding is an investment strategy: the institutes invest money in specific research areas, hoping for future returns in the form of publications, patents and skilled trainees. As with any investment strategy, a periodic review can help rebalance the portfolio in order to maximize returns. Analysis of NIH funding data has been performed internally by the NIH, or by contracted third-parties. Several of these analyses have highlighted funding trends and suggested metrics to gauge the 'return' on the NIH 'investment'. For example, "productivity" can be examined as a function of the number of publications produced by grants per dollar of "direct costs".

3 Methods

We downloaded NIH funding data from the NIH EXPORTER website in comma-separated value (CSV) format and parsed these data into R data files that each contain specific information:

- projects has information about projects in each fiscal year, keyed by project.num
- org_info has information about project organizations
- ${\tt project_orgs}$ links applications to organizations
- project_pis links PI information to a project
- publinks table links PubMed IDs to project.num
- publications links project IDs to PubMed IDs
- patents links patent IDs to project IDs

See the documentation in the R package for more information about each table.

The package also has several precomputed variables and tables that enable quick and easy exploratory analysis:

- nih.institutes: Two-letter format for 27 NIH institutes
- project_io: This table contains pre-computed values for overall project cost (project.cost), as well as the number of publications (n.pubs) and patents (n.patents) associated with each project.

NIH EXPORTER provides access to the total costs of each grant in each fiscal year, comprising both direct and indirect costs.

We developed several analyses using the dplyr, ggplot2 and knitr packages in the RStudio environment.

4 Results and Discussion

4.1 Project costs

Let's look at the costs of grants over time for a few institutes:

```
library(scales)
library(stringr)
library(dplyr)
library(ggplot2)
library(nihexporter)
```

4.2 Funding distributions

4.2.1 By Institution

Let's look where the money is going. This example illustrates linking of the project, org_info and project_orgs tables.

```
institution_funding <- projects %>%
  filter(activity == 'R01') %>%
  left_join(project_orgs, by = 'application.id') %>%
  group_by(org.duns, fiscal.year) %>%
  summarise(total.dollars = sum(fy.cost, na.rm = TRUE)) %>%
  ungroup() %>%
  left_join(org_info, by = 'org.duns') %>%
  arrange(desc(total.dollars))
institution_funding %>%
  select(fiscal.year, org.name, org.duns, total.dollars) %>%
  mutate(total.award.millions = total.dollars / 1e6) %>%
  select(-total.dollars) %>%
  head(10) %>%
  knitr::kable(caption='R01 grant dollars awarded to specific institutions',
               col.names=c('Fiscal year', 'Org.',
                           'DUNS', 'Dollars (millions)'))
```

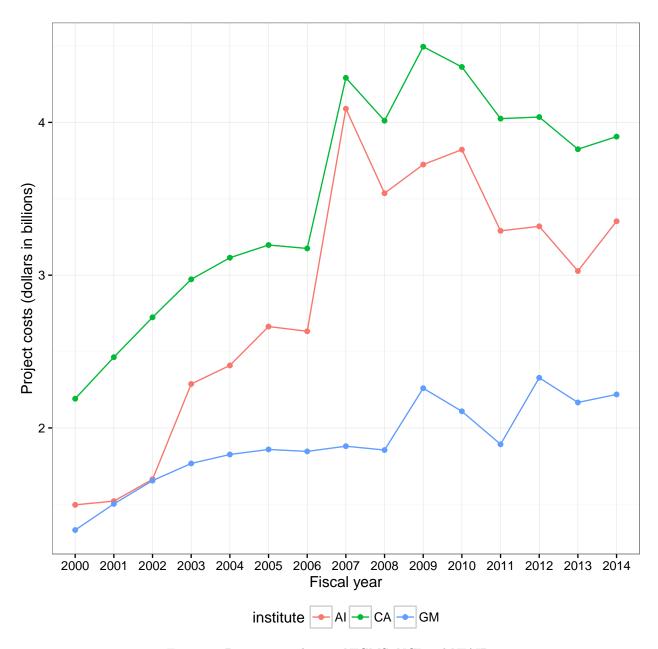


Figure 1: Project spending at NIGMS, NCI and NIAID

Table 1: R01 grant dollars awarded to specific institutions

Fiscal year	Org.	DUNS	Dollars (millions)
2009	JOHNS HOPKINS UNIVERSITY	1910777	297.2806
2010	JOHNS HOPKINS UNIVERSITY	1910777	292.9498
2004	JOHNS HOPKINS UNIVERSITY	1910777	289.2175
2011	JOHNS HOPKINS UNIVERSITY	1910777	286.3747
2005	JOHNS HOPKINS UNIVERSITY	1910777	278.1270
2012	JOHNS HOPKINS UNIVERSITY	1910777	273.9458
2006	JOHNS HOPKINS UNIVERSITY	1910777	270.8518
2007	JOHNS HOPKINS UNIVERSITY	1910777	268.4021
2003	JOHNS HOPKINS UNIVERSITY	1910777	266.1683
2010	UNIVERSITY OF PENNSYLVANIA	42250712	263.7944

We can also identify movers-and-shakers by institution.

4.2.2 By PI

One can also examine how dollars are accrued by specific PIs. It is not possible to assign dollars directly to a PI, because some grants have multiple investigators. Rather, these are total costs that a given PI has been associated with over all grants in NIH EXPORTER. Here we identify PIs with the largest dollar amounts accrued for R01 grants.

Table 2: R01 grant dollars associated with specific PIs

PI ID	Dollars (millions)
1888524	99.854
1883846	93.276
2085656	69.901
6719627	69.901
1858142	58.942
1866338	52.601
1864273	52.003
1862760	51.599

PI ID	Dollars (millions)
1876724	47.021
1878095	43.606

4.3 Productivity

In order to measure the "return" on the money the NIH invests in the research enterprise, we can measure scholarly output (i.e., publications) per dollar invested.

Here we identify th highest performing grants outside of the R01 category. Much has been made of the wasteful spending outside of investigator-initiated research. Here we identify the cost of publications for grants other than R01's that cost more than 1 million dollars.

Table 3: Productivity (publications / dollar) of non-R01 grants

Project ID	Project cost (dollars, millions)	Number of publications	Cost per publications (dollars)
P30CA007175	2.449	721	3,397
P30DK025295	2.565	691	3,712
P30DK025295	2.565	691	3,712
P30DK025295	2.565	691	3,712
P30MH030929	1.710	444	3,851
P30MH031302	1.046	266	3,931
P01CA018221	2.727	692	3,941
P01CA018221	2.727	692	3,941
P41RR001008	1.506	366	4,115
P41RR001008	1.506	366	4,115

We can also identify the specific publications associated with grants with the least expensive publications.

```
high.perf.not.r01 %>%
head(1) %>%
select(project.num) %>%
left_join(publinks, by = 'project.num') %>%
head(5) %>%
```

Table 4: Publications from the most productive grants

Project ID	Pubmed ID
P30CA007175	3895298
P30CA007175	4052630
P30CA007175	3996611
P30CA007175	2863007
P30CA007175	4005847

We can also identify productive PIs with current R01s \dots

```
productive.pis <- projects %>%
  filter(activity == 'R01' & fiscal.year == 2014) %>%
  select(project.num) %>%
  left_join(project_io, by = 'project.num') %>%
  left_join(project_pis, by = 'project.num') %>%
  group_by(pi.id) %>%
  summarize(total.pi.dollars = sum(total.cost, na.rm = TRUE),
            total.pubs = sum(n.pubs)) %>%
  mutate(pub.cost = total.pi.dollars / total.pubs) %>%
  # prevent PI Ids from being commafied
  mutate(pi.id = as.character(pi.id)) %>%
  arrange(pub.cost)
productive.pis %>%
  head(10) %>%
  knitr::kable(digits = 0,
               format.args = list(big.mark = ','),
               col.names = c('PI ID',
                             'Cost per publication (dollars)',
                             'Total publications',
                             'Total project costs (dollars)'))
```

PI ID	Cost per publication (dollars)	Total publications	Total project costs (dollars)
1891786	997,416	210	4,750
1888041	14,578,092	1,872	7,787
1875446	82,769,550	7,755	10,673
1880305	3,141,909	276	11,384
1891745	5,766,408	496	11,626
2232971	6,663,288	532	12,525
1877469	5,993,845	475	12,619
1861696	6,517,668	516	12,631
1888187	8,147,085	645	12,631
1876101	53,822,893	4,001	13,452

Or we can identify the all-time most produtive PIs, independent of grant type or time frame \dots

```
productive.pis.all.time <- projects %>%
  select(project.num, activity) %>%
  left_join(project_io, by = 'project.num') %>%
  left_join(project_pis, by = 'project.num') %>%
  group_by(pi.id, activity) %>%
  summarize(total.pi.dollars = sum(total.cost, na.rm = TRUE),
            total.pubs = sum(n.pubs),
            total.patents = sum(n.patents)) %>%
  ungroup() %>%
  filter(total.pi.dollars >= 1e6) %>%
  mutate(pub.cost = total.pi.dollars / total.pubs,
         patent.cost = total.pi.dollars / total.patents) %>%
  select(pi.id, activity, pub.cost, patent.cost,
         total.pubs, total.patents, total.pi.dollars) %>%
  mutate(pi.id = as.character(pi.id))
productive.pis.all.time %>%
  select(-patent.cost, -total.patents) %>%
  arrange(pub.cost) %>%
  head(10) %>%
  knitr::kable(digits = 0,
               format.args = list(big.mark = ','),
               caption = 'Most productive PIs all time for publications',
               col.names = c('PI ID', 'Grant type',
                             'Cost per publication (dollars)',
                             'Total publications',
                             'Total dollars'))
```

Table 6: Most productive PIs all time for publications

PI ID	Grant type	Cost per publication (dollars)	Total publications	Total dollars
1859859	R03	716	3,184	2,278,288
1965193	R01	1,065	3,024	3,221,984
1859703	R01	1,143	5,257	6,009,650
7846601	K01	1,191	10,400	12,387,225
2067600	U10	1,452	1,000	1,451,976
7548099	U10	1,452	1,000	1,451,976
1876003	R37	1,659	738	1,224,549
2412990	R13	1,996	9,200	18,366,900
6434316	F32	2,154	558	1,202,148
1873876	R37	2,339	657	1,536,750

```
'Total patents',
'Total dollars'))
```

Table 7: Most productive PIs all time for patents

PI ID	Grant type	Cost per patent (dollars)	Total patents	Total dollars
2081455	R29	5,464	216	1,180,308
1900554	R43	16,616	68	1,129,889
2104524	R29	34,786	81	2,817,675
1883257	R01	35,337	669	23,640,252
1863886	R01	35,634	625	22,271,350
8913930	R13	36,000	36	1,296,000
1866710	R29	37,743	27	1,019,052
2415454	T32	37,991	40	1,519,648
2185797	R29	38,041	72	2,738,925
3129094	R03	38,216	67	2,560,439

When Jeremy Berg was head of the Institute of General Medical Sciences (NIGMS) from 2003-2011, he routinely provided analysis of funding trends at NIGMS in his "Feedback Loop" blog. One of these measured the productivity per grant dollar by measuring its "scholarly output" (*i.e.*, publications) as a function of direct costs. In this plot there is an increase in productivity per dollar, until an inflection point at \$700K, after which the number of publications *drops*, suggesting a negative influence of grant money on scholarly output. This was interesting and covered here.

Here we flesh out this analysis and look at how all institutes perform by this measure (Berg, and now Lorsch, only analyzed GM). One caveat is that we only have access to total.cost in NIH EXPORTER, so the numbers include indirect costs. But, this is real cost to the tax-payer.

First, we need to calculate the lifetime costs of all R01 grants.

```
# calculate costs of all grants, over the entire lifetime of the grant
grant_costs <- projects %>%
  filter(institute %in% nih.institutes & activity == 'R01') %>%
  left_join(project_io, by = 'project.num') %>%
  select(institute, project.num, total.cost, n.pubs) %>%
  unique()
grant costs
#> Source: local data frame [83,214 x 4]
#>
#>
      institute project.num total.cost n.pubs
                                         (int)
#>
         (fctr)
                       (chr)
                                  (dbl)
             AA R01AA000187
#> 1
                                 192057
                                             44
#> 2
             AA R01AA000279
                                1368179
                                             1
#> 3
             AA R01AA000626
                                4256757
                                             94
#> 4
             AA R01AA002666
                                2635998
                                            160
#> 5
             AA R01AA002686
                                7088071
                                            59
#> 6
             AA R01AA003037
                                 710028
                                             12
#> 7
             AA R01AA003490
                                2285856
                                             31
#> 8
             AA R01AA003972
                                2695918
                                            51
#> 9
             AA R01AA004610
                                            32
                                5035947
#> 10
             AA R01AA004961
                                 477993
                                             68
```

Next, we need to identify grants in each of the bins that Berg previously alluded to. dplyr makes this easy with the ntile() function. Berg previously divided grants into ~15 bins, we'll bin into ~5%.

```
bin_grant_costs <- grant_costs %>%
  group_by(institute) %>%
  group_by(n.tile = ntile(total.cost, 20))
bin grant costs
#> Source: local data frame [83,214 x 5]
#> Groups: n.tile [20]
#>
#>
      institute project.num total.cost n.pubs n.tile
                                        (int)
#>
         (fctr)
                     (chr)
                                 (dbl)
                                               (int)
#> 1
             AA R01AA000187
                                192057
                                           44
                                                   1
#> 2
             AA R01AA000279
                               1368179
                                            1
                                                   10
#> 3
            AA R01AA000626
                               4256757
                                           94
                                                   20
#> 4
            AA R01AA002666
                               2635998
                                           160
                                                   17
                                           59
#> 5
            AA R01AA002686
                               7088071
                                                   20
#> 6
            AA R01AA003037
                               710028
                                           12
                                                   5
#> 7
            AA R01AA003490
                               2285856
                                           31
                                                   16
#> 8
             AA R01AA003972
                               2695918
                                           51
                                                   17
#> 9
            AA R01AA004610
                                           32
                                                   20
                               5035947
#> 10
             AA R01AA004961
                                477993
                                            68
                                                    3
#> ..
# Berg's original values ...
# breaks <- c(175000, 200000, 225000, 250000, 300000, 375000, 400000,
            450000, 500000, 600000, 700000, 800000, 900000, 1000000)
min.lifetime.cost <- round(min(grant_costs$total.cost), -4) # round to 10,000s
max.lifetime.cost <- round(max(grant_costs$total.cost), -5)</pre>
# step is average size of an award
step <- 1e6
breaks <- seq(min.lifetime.cost, max.lifetime.cost, step)</pre>
breaks
#> [1] 0.0e+00 1.0e+06 2.0e+06 3.0e+06 4.0e+06 5.0e+06 6.0e+06 7.0e+06
#> [9] 8.0e+06 9.0e+06 1.0e+07 1.1e+07 1.2e+07 1.3e+07 1.4e+07 1.5e+07
#> [17] 1.6e+07 1.7e+07 1.8e+07 1.9e+07 2.0e+07 2.1e+07 2.2e+07 2.3e+07
#> [25] 2.4e+07 2.5e+07 2.6e+07 2.7e+07 2.8e+07 2.9e+07 3.0e+07 3.1e+07
#> [33] 3.2e+07 3.3e+07 3.4e+07 3.5e+07 3.6e+07 3.7e+07 3.8e+07 3.9e+07
#> [41] 4.0e+07 4.1e+07 4.2e+07 4.3e+07 4.4e+07 4.5e+07 4.6e+07 4.7e+07
#> [49] 4.8e+07 4.9e+07 5.0e+07 5.1e+07 5.2e+07 5.3e+07 5.4e+07 5.5e+07
#> [57] 5.6e+07 5.7e+07 5.8e+07 5.9e+07 6.0e+07 6.1e+07 6.2e+07 6.3e+07
#> [65] 6.4e+07 6.5e+07 6.6e+07 6.7e+07 6.8e+07 6.9e+07 7.0e+07 7.1e+07
#> [73] 7.2e+07 7.3e+07 7.4e+07 7.5e+07 7.6e+07 7.7e+07
dollar_bin_grant_costs <- grant_costs %>%
  group_by(institute) %>%
  mutate(dollar.tile = findInterval(total.cost, vec = breaks,
                                    all.inside = TRUE, rightmost.closed = TRUE))
dollar_bin_grant_costs
```

#> Source: local data frame [83,214 x 5]

#> Groups: institute [24]

```
#>
#>
      institute project.num total.cost n.pubs dollar.tile
                                (dbl) (int)
#>
         (fctr)
                      (chr)
                                                    (int)
#> 1
             AA R01AA000187
                                192057
                                           44
                                                         1
#> 2
            AA R01AA000279
                               1368179
                                            1
                                                         2
#> 3
            AA R01AA000626
                               4256757
                                           94
                                                         5
            AA R01AA002666
                               2635998
                                           160
                                                         3
#> 4
                                                         8
#> 5
            AA R01AA002686
                              7088071
                                           59
#> 6
            AA R01AA003037
                               710028
                                                         1
                                           12
                                                         3
#> 7
            AA R01AA003490
                               2285856
                                           31
#> 8
            AA R01AA003972
                               2695918
                                           51
                                                         3
#> 9
            AA R01AA004610
                               5035947
                                           32
                                                         6
#> 10
            AA R01AA004961
                                477993
                                           68
                                                         1
#> ..
            . . .
                                   . . .
                                                       . . .
dollar_bin_grant_costs %>% group_by(dollar.tile) %>% summarize(count = n())
#> Source: local data frame [36 x 2]
#>
#>
      dollar.tile count
#>
            (int) (int)
#> 1
                1 23414
#> 2
                2 35040
#> 3
                3 12911
#> 4
                4 6583
#> 5
                5 2865
                6 1198
#> 6
#> 7
                7 527
#> 8
                8
                    243
#> 9
                9
                    123
               10
#> 10
                     95
```

That looks better. Now we can make the summary plots . . .

```
dollar_bin_grant_costs %>%
    # need to remove higher tiles because there are too few grants
    filter(dollar.tile <= 13) %>%
    ggplot(aes(x = factor(dollar.tile), y = n.pubs)) +
    geom_boxplot(outlier.shape = NA) +
    scale_x_discrete(labels = breaks / 1e6) +
    theme(axis.text.x = element_text(angle=45, vjust=0.8)) +
    scale_y_log10() +
    theme_bw() +
    facet_wrap(~ institute, scales = "free_x") +
    ylab('Number of publications') +
    xlab('Total costs (minimum, in millions)')
```

4.4 Comparison of grant programs

The NIH provides funds through differet grant programs:

• research: investigator-intitiated, activities begin with R (e.g., R01)

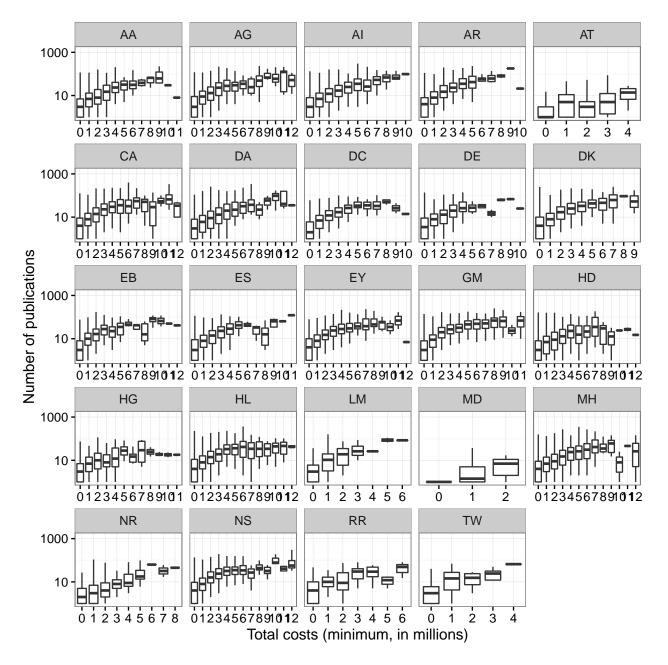


Figure 2: Productivity versus grant costs for each institute.

- program: activities begin with P (e.g. P01)
- contract: activities begin with U (e.g. U54)

We can examine the total costs spent on specific grants and specific institutes over time.

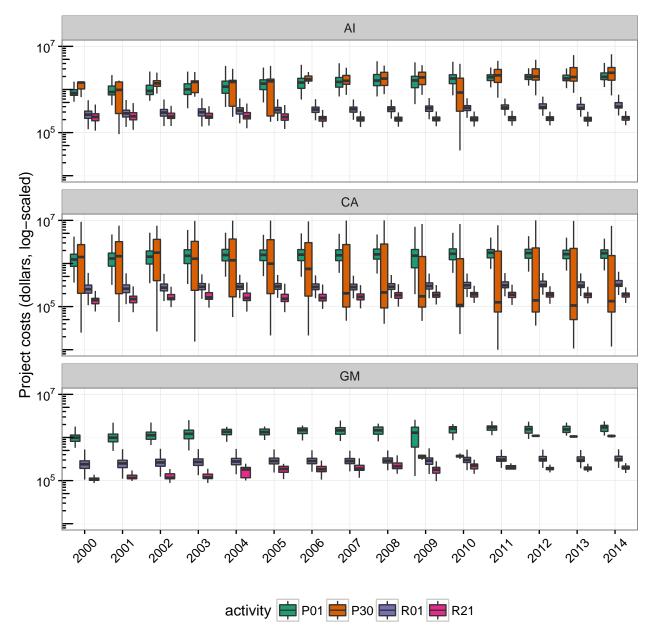


Figure 3: Funds for specific types of grants at the GM, CA and AI institutes

Or we can see how institutes allocate money generally to different types of grants.

```
# from http://grants.nih.gov/grants/funding/funding_program.htm
research_projects <- projects %>% filter(grepl('^R', activity)) %>% select(project.num)
program_projects <- projects %>% filter(grepl('^P', activity)) %>% select(project.num)
contract_projects <- projects %>% filter(grepl('^U', activity)) %>% select(project.num)
```

```
select_inst <- c('AI', 'CA', 'GM', 'HG', 'AA', 'MH')</pre>
grant_costs <- projects %>%
  filter(institute %in% nih.institutes) %>%
  select(project.num, institute, fiscal.year, fy.cost)
research_costs <- grant_costs %>%
  semi join(research projects, by = 'project.num') %>%
  group_by(project.num, institute, fiscal.year) %>%
  summarize(project.cost = sum(fy.cost, na.rm = TRUE)) %>%
  mutate(type = 'research')
program_costs <- grant_costs %>%
  semi_join(program_projects, by = 'project.num') %>%
  group_by(project.num, institute, fiscal.year) %>%
  summarize(project.cost = sum(fy.cost, na.rm = TRUE)) %>%
  mutate(type = 'program')
contract_costs <- grant_costs %>%
  semi_join(contract_projects, by = 'project.num') %>%
  group_by(project.num, institute, fiscal.year) %>%
  summarize(project.cost = sum(fy.cost, na.rm = TRUE)) %>%
  mutate(type = 'contract')
combined tbl <- bind rows(research costs, program costs, contract costs)
ggplot(combined_tbl, aes(x = factor(fiscal.year),
                         y = project.cost,
                         fill = type)) +
  geom_boxplot(outlier.shape = NA) +
  scale_y_log10(limits = c(1e4, 1e7),
                labels = trans_format("log10", math_format(10^.x))) +
  facet_wrap(~institute) +
  theme_bw() +
  scale_fill_brewer(palette = "Dark2") +
  theme(legend.position = 'bottom') +
  xlab('') +
  ylab('Total grant costs, log-scaled') +
  theme(axis.text.x = element_text(angle = 90))
```

4.5 Duration

The nihexporter exposes project.start and project.end, which we can use to examine the duration of projects. For example, we can identify the longest running R01 grants.

```
long.grants <- projects %>%
  filter(activity == 'R01') %>%
  select(project.num, project.start, project.end) %>%
  group_by(project.num) %>%
  summarize(longest.run = max(project.end) - min(project.start)) %>%
  arrange(desc(longest.run)) %>%
  mutate(in.years = as.numeric(longest.run) / 365) %>%
```

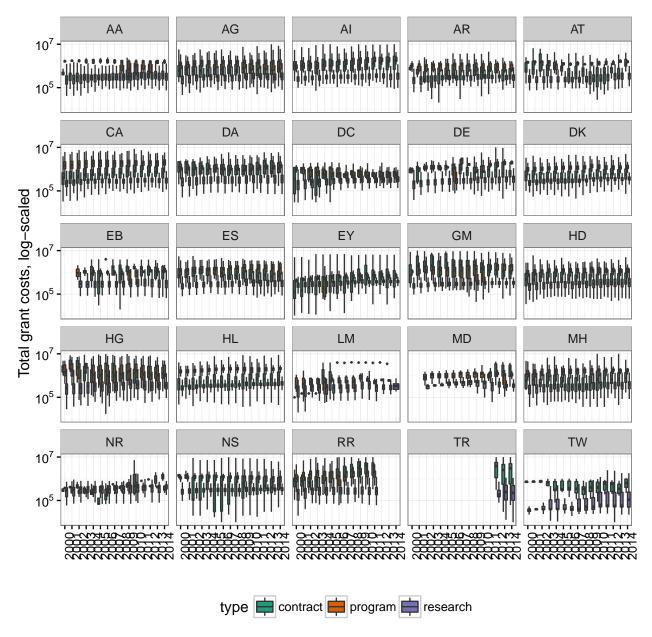


Figure 4: Comparison of research, program and contract costs over time

Table 8: Longest running R01 grants (all-time)

Project ID	Duration (years)
R01HL009610	50.03
R01HL013629	47.03
R01HD008188	44.61
R01CA013202	42.86
R01EB001960	42.19
R01DA001411	41.87
R01GM023303	41.70
R01HL017964	41.52
R01DC000117	41.44
R01EY002686	41.28

4.5.1 Geographical distribution

Geographical distribution of grant dollar is easily visualized using the package.

```
state.data <- data.frame(org.state = state.abb,</pre>
                          state.name = tolower(state.name))
state_funding <- projects %>%
  select(application.id) %>%
  left_join(project_orgs) %>%
  left_join(org_info) %>%
  left_join(projects, by = 'application.id') %>%
  select(application.id, org.state, fy.cost) %>%
  group_by(org.state) %>%
  summarize(total.fy.cost = sum(fy.cost) / 1e9)
cost.by.state <- state_funding %>%
  left join(state.data) %>%
  select(state.name, total.fy.cost) %>%
  filter(state.name != "NA") %>%
  mutate(region=state.name, cost = total.fy.cost) %>%
  select(region, cost) %>%
  data.frame()
state.map.data <- map_data("state")</pre>
plot_data <- left_join(state.map.data, cost.by.state)</pre>
ggplot() +
```

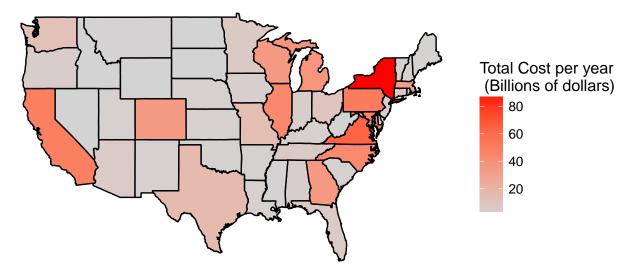


Figure 5: Geographic distribution of NIH dollars

5 Acknowledgments

The nihexporter package was developed over several weeks during a course on data analysis (http://molb7621.github.io). Thanks to the NIH EXPORTER team for fixing issues with the EXPORTER tables.