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Viswanathan "Vish" Krishnan
Sheryl and Harvey White Endowed Chair in Management Leadership
University of California Rady School of Management
9500 Gilman Dr. #0553 La Jolla, CA 92093-0553; vk@ucsd.edu

March 26, 2015

The NBER Entrepreneurship Research Boot Camp Selection Committee

Dear Colleague,

It is with great pleasure that I write in support of Kanetaka Maki for the NBER Entrepreneurship Research Boot Camp. Kanetaka is a dedicated and talented researcher, finishing his doctoral program at the Rady School of Management, University of California San Diego (UCSD). He came to the Rady School from Japan, as a young scholar interested in University Technology Commercialization-driven Entrepreneurship after running a well-regarded college entrepreneurship program at Keio University. Kanetaka has been very successful in his research and has excelled in teaching one of the most challenging Innovation/Entrepreneurship classes. He will be able to hit the ground running, has very bright career prospects, and I offer him my strongest recommendation.

Ever since he arrived in the US, Kanetaka has been one of the hardest working and highest achieving students in our doctoral program. Ours is a very rigorous program with tough quantitative/analytical doctoral qualifying exams. Despite a lack of prior technical background, he worked really hard to do well in the doctoral classes and exams. In his first two and half years, he has also worked on research projects related to process and technological innovation and is now focusing on start-up formation from the University of California. He has shown that he can be creative and conceptually strong as well, besides being sincere and hard working through the three projects that are in the working paper stage.

Kanetaka has written a first paper titled "The Impact of Technology Transfer Office on Knowledge Creation and Transfer: Evidence from a Natural Experiment in Japan". While prior research has focused on the impact of University's Technology Transfer Office (TTO) on creation of startup firms, his work shines the light on the joint research between universities and companies. Specifically, he cleverly collects data from a natural experiment/ exogenous shock: Japanese universities were "forced" to introduce a technology transfer office by their government in the years of 1998-2002. Kanetaka examines the impact on joint research, using co-authorship of academic articles between researchers at universities and firms. Using panel data, he finds that patent activity seems to crowd out collaboration between universities and firms; the launch and increased activity of technology transfer office (measured by number of patents granted by the office) is negatively associated with the amount of joint research between the universities and firms. He is now building on this work with both theoretical development and additional empirical data collection. I must say that although I am his faculty mentor, Kanetaka has been quite diligent and independent in achieving these results.

In a second project, Kanetaka worked with the University of California hospital emergency on process innovations that improve operational performance. Specifically, he collected data on a new process innovation the hospital piloted for patient call-backs to see how it impacts real and perceived quality of the emergency room visit. This is now being written up as a paper and contains interesting results about the effectiveness of various interventions. As you know, many Schools of Management are currently promoting research collaboration with medical schools & hospitals, and Kanetaka has demonstrated that he can create research papers based on this collaboration. This project demonstrates Kanetaka's ability to manage various research activities, including outside area of expertise, and participate in collaborative activities.

In his third project, Kanetaka is working on analyzing the key success factors of university-based start-ups, using University of California Start-up Dataset. The dataset is the largest dataset in this area, and was collected partly by University of California Office of President, with whom we have embarked on this collaboration. We are also collaborating with Martin Kenney (Professor at UC Davis) to merge with other datasets and conduct rigorous analytical research. Both his skills to conduct empirical research and his prior background in Japan supporting university-based start-ups creates a unique advantage in this research. Kanetaka's analysis has found that the proportion of inventors' commitment as a founder does not have direct effect for the success rate (IPO or M&A), but the launch of product mediates the success. In other words, inventor's commitment increases the probability of launching a product, and ultimately increases the success rate. The eventual goal will be to offer the Office of the President of the University of California (as well as other Universities) with insights and policy recommendations that help them improve the rate of venture success, which as we know is currently not up to par. The research project will be the center pillar of his dissertation which I estimate Kanetaka will complete by summer. This project will be the first to conduct rigorous quantitative research using dataset of entire population of University of California Based start-ups, and I expect it will be very influential due to the uniqueness of the dataset and the research questions.

In sum, Kanetaka has a promising academic career in front of him and is going to be a terrific hire. I have had prior graduate students who are now tenured/tenure-track faculty at other very good schools (INSEAD, Georgia tech, SMU), and I can't remember a student who graduated with the level of maturity, passion, and overall promise as Kanetaka.

Attending the NBER Entrepreneurship Research Boot Camp will give him not only the opportunity to connect with researchers working on similar topics, but also a nice perspective of cutting-edge research. He will be a terrific contributor and is very likely to become a future speaker and attendee for several years. He truly fits your goal of attracting emerging scholars, so I recommend him whole-heartedly. Feel free to call me with any questions.

Sincerely,



V. Krishnan
Email: vk@ucsd.edu

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March 30th, 2015

Dear 8th NBER Entrepreneurship Research Boot Camp Selection Committee,

I am writing to apply to 8th NBER Entrepreneurship Research Boot Camp. I am currently a fifth year Ph.D candidate at the University of California, San Diego (UCSD)'s Rady School of Management, where I expect to receive my Ph.D in Management in Summer 2015. My research focuses on the topics of innovation and entrepreneurship, and my contributions so far fall in these three fields: (a) the institutional design of entrepreneurship in connection with research universities, (b) startup success rates, and (c) comparative quantitative research, in particular regarding innovation streams in Japan.

My first paper in the UCSD Ph.D program is co-authored with my adviser, Professor Vish Krishnan, and is currently under review at *Management Science*. The paper evaluates the impact of university technology transfer offices (TTO) and disentangles the underlying mechanisms of this impact. Using a natural experiment in Japan, we find that the launch of a TTO has mixed effects, in that it decreases search costs yet raises the transaction costs of collaboration. My second paper, co-authored with Professor Krishnan and colleagues from UCSD Medical School and affiliated hospitals, is in "revise and resubmit" status at *Service Science*.

I am fortunate to benefit from great advisers and colleagues. Professors Lynne Zucker (UCLA) and Martin Kenney (UC Davis) were both influential in opening up possibilities for future projects, by helping me to get access to a novel dataset. I am currently working on two new lines of research. The first analyzes the "University of California Start-up Dataset" to determine to what extent an inventor's involvement accelerates the success rate of startups. We aim to submit the paper in a few months. Furthermore, I collaborate with Professor Ulrike Schaede (UCSD) on several topics related to labor mobility of engineers in Japan.

The NBER Entrepreneurship Research Boot Camps is a great match to my research interests, personal background and future career plan. I go into more detail in my essay, however, I see this as an excellent opportunity to pursue my career objective. My Ph.D adviser, Prof. Vish Krishnan, prepared the recommendation letter, which has been sent separately.

Please let me know if you need further information. You can reach me through phone at 619-723-6809 or through e-mail at kanetaka@kanetaka-maki.org, if any additional information needed. Thank you.

Sincerely yours,
Kanetaka M. Maki

Kanetaka M. Maki

Ph.D Candidate
University of California, San Diego
Rady School of Management

Contact

University of California, San Diego
9500 Gilman Drive #0554, La Jolla, CA, 92093-0554 Tel: (858) 352-793
kanetaka@kanetaka-maki.org http://www.kanetaka-maki.org/

Education

2010-Current	Ph.D in Management, University of California, San Diego (expected 2015)
2000-2002	M.A. in Media and Governance, Keio University (Major: Information Technology)
1996-2000	B.A. in Environmental Information, Keio University (Major: Information Technology)

Research Interest

Institutional Design of Tacit Knowledge Transmission, Socio-Economics of Innovation, Science Policy, Entrepreneurship, University-Industry Technology Transfer

Research Contribution

(a) The institutional design of entrepreneurship in connection with research universities
(b) Startup success rates
(c) Comparative quantitative research, in particular innovation streams in Japan

Academic Experience

2015	International Affiliated Fellow, National Institute of Science and Technology Policy (Japan)
2015	Research Assistant, Rady School of Management, University of California, San Diego
2014	Lecturer, Rady School of Management, University of California, San Diego
2013-2014	Research Assistant, Division of Innovation and Industry Alliance, University of California, San Diego
2010-Current	Visiting Senior Researcher, Keio Research Institute at SFC
2002-2008	Research Associate, Graduate School of Media and Governance, Keio University

Dissertation

Title: Collaborative Innovation and Knowledge Creation
Committee Members: Vish Krishnan (Chair), Bob Sullivan, Karsten Hansen, Sanjiv Erat, Ulrike Schaede, Josh Graff-Zivin, Lynne Zucker (University of California, Los Angeles)
Expected graduation: Summer 2015

Papers Under Journal Review

- **Maki, KM.** and Krishnan, V., "Collaborative Innovation and Knowledge Creation: Theory and Testing with a Natural Experiment in Japan"

Papers Under Revised and Resubmitted

- **Maki, KM.**, Krishnan, V., Castillo, EM. and Guss, DA., "Service Innovation for Improved Satisfaction: Designing Patient Call Back in Emergency Healthcare" (Invited to the second review of *Service Science*, and will be submitted in April 2015)

Grants / Scholarship

- Joseph Naiman Fellowship for Japanese Studies 2013, Program in Japanese Studies, University of California, San Diego ($1,000)
- Dean's Fellowship for Summer Research, Rady School of Management, University of California, San Diego (2011, 2012, 2013, 2014) (Total: $16,000)
- Rady Academic Year Fellowship, Rady School of Management, University of California, San Diego (2013, 2014, 2015) (Total: $14,400)
- Yoshida Scholarship Foundation Fellowship 2009 ($97,000)
- Keio University Graduate School Fellowship 2009 ($5,000)

Papers in Preparation for Journal Submission

- The Role of Inventors' Commitment in the Knowledge Transfer and Success Rate of University-Based Start-ups - Evidence from University of California- (working with Krishnan, V. and Kenney, M.)
- Job Changing and the Quality of Innovation:　A Longitudinal Study of Patents filed by Japanese Engineers (working with Schaede, U.)

Work in Progress

- The Evaluation of Science Grants in Japan (working with Graff-Zivin, J. and Hoshi, T.)
- The Network Closure of Venture Capital Industry in Silicon Valley

Refereed Academic Publications

- **Maki, K.**, Miyachi, E. and Kabasawa, S., "Study on How to Use Alumni Network as Mentor Platform in Entrepreneurial and Incubation Process for University Start-ups with Technology Seeds", *The Journal of the Institute of Image Information and Television Engineers* Vol. 65 No.3, 20, 2011 (in Japanese)
- **Maki, K.**, Miyachi E. and Kabasawa, S., "Study on Designing Business Incubation Platform of Creating Network Closure and Structural Holes for Regional Innovation System –Based on Case Study of EGG JAPAN-", *Journal of the Infosocionomics Society* Vol. 5 No.1, 2010 (in Japanese)
- **Maki, K.**, Arai, M., Kondo, Y., Suzuki, T. and Yamane, T., "Tutorial for ThinkQuest'98 Participants", *Journal of Japanese Society for Information and Systems in Education* Vol.15 No.4, Jan. 1999 (in Japanese)

Academic Conferences (Refereed)

- **Maki, KM.**, Krishnan, V. and Kenney, M., "The Key Success Factors of University Start-ups -Evidence From University of California", 2014 Babson College Entrepreneurship Research Conference
- **Maki, KM.**, Krishnan, V. and Guss, DA., "The Impact of Post-Discharge Patient Call Back on Patient Satisfaction with the Emergency Department and Doctors and Nurses in Two Academic Emergency Departments", Society for Academic Emergency Medicine 2014 Annual Meeting, May 2014 (Poster Session)
- **Maki, KM.**, "The Impact of Technology Transfer Office on Knowledge Creation and Transfer: Evidence from a Natural Experiment in Japan", Darden & Judge Entrepreneurship and Innovation Research Conference 2013, May 2013 (Poster Session)
- **Maki, K.**, Miyachi, E. and Kabasawa, S., "The Architecture of Innovation System for the Commercialization of Science - The Incentive Structure for the Decisions of Financial Resource Allocation", VIII Triple Helix Conference, October 2010
- **Maki, K.**, Miyachi, E. and Kabasawa, S., "Designing the Incentive Structure for the Commercialization of Science -How to Bridge the Financial Gap between Science and Commercialization-", IAMOT 2010, March 2010
- **Maki, K.**, Miyachi, E. and Kabasawa, S., "Optimization of Financial Incentive Structure for the Commercialization of Science", The 2nd ISPIM Innovation Symposium, December 2009
- **Maki, K.**, "The Design and Implementation of Know How Licensing Scheme for Venture Incubation", 2006 AUTM Annual Meeting, Mar. 2006

Invited Presentation

- “Collaborative Innovation and Knowledge Creation –Evidence from a Natural Experiment in Japan", Babson College, October 2014
- “Collaborative Innovation and Knowledge Creation –Evidence from a Natural Experiment in Japan", UCLA Anderson School - The Innovation and Creativity Workshop, April 2014
- "The Impact of Technology Transfer Office: Evidence from Natural Experiment in Japan", 2014 American Association for the Advancement of Science (Session: "Are We Making the Best Use of Academic Knowledge in Innovation System?"), Feb. 2014
- "Collaborative Innovation and Knowledge Creation –Evidence from a Natural Experiment in Japan", UC San Diego Global / Pacific / Visiting Scholar Lunch, Jan. 2014
- "The Impact of Technology Transfer Office on Knowledge Creation and Transfer: Evidence from a Natural Experiment in Japan", Kobe University, Mar. 2013
- "The Downside of Technology Transfer Office -Empirical Research on the Volume of University-Industry Technology Transfer (Preliminary Results), UC San Diego Japan Lunch, Oct. 2012

Articles (Refereed)

- **Maki, K.** and Yamanaka, Y., “Research on Designing Support Network for University Incubation Based on Categorizing University-Spinoffs”, *Japan Ventures Review* No.12, Mar. 2008 (in Japanese, Research Note)
- **Maki, K.**, “Research on Characteristics of Global and Local Network for Incubation Platform”, *Japan Ventures Review* No.9, Sep. 2006 (in Japanese, Research Note)
- **Maki, K.**, “Research on Incubation Method Using Business Plan Competition as Platform”, *Japan Ventures Review*, Mar. 2006 (in Japanese, Research Note)
- **Maki K.**, “Research on Distanced Board Meeting Using Network for Venture Management”, *GLOCOM Review*, Sep. 2003 (in Japanese)

Case Studies

- **Maki, K.**, "SFC Intellectual Property Management", Keio University Case, Jan. 2006
- **Maki, K.**, "SIV Business Plan Competition", Keio University Case, Dec. 2005

Teaching

2014 (Summer) Lecturer, University of California, San Diego (Course: Innovation to Market A)
Innovation to Market A – Summer II 2014
Do you recommend this course overall? (100.0% Yes)
Do you recommend this professor overall? (96.0% Yes)

2006-2009 Part-time Lecturer, Keio University (Course: Entrepreneurship I & II)
Entrepreneurship I - Spring 2008 (4.3/5.0)
Entrepreneurship II - Fall 2008 (4.75/5.0)

2011-Current Teaching Assistant, University of California, San Diego (Course: Lab to Market, Lab to Market Workshop I & II, Innovation to Market A, Strategy and Negotiation)

Professional Experience

2006-2010 Partner, Office for Business Innovation, Mitsubishi Estate Co., LTD.

2002-2008 Founding Chief Officer, Keio SIV Incubation Village

Professional Service

- Advisor, Global CONNECT (2011-Current)
- Committee Member, University Spinoff Research Committee (Hosted by Ministry of Economy, Trading and Industry, Japan) (2006-2009)
- Sixth Annual Global CONNECT Conference Organizing Committee, San Diego, USA, 2008
- REE ASIA 2007 Organizing Committee, Seoul, South Korea

References

Dr. Vish Krishnan, Professor
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University of California, San Diego
9500 Gilman Drive #0553, La Jolla, CA, 92093-0553
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Relationship: Ph.D advisor for 5 years

Dr. Ulrike Schaede, Professor
School of International Relations and Pacific Studies
University of California, San Diego
9500 Gilman Drive, La Jolla, CA, 92093-0519
(858)-534-2357
uschaede@ucsd.edu
Relationship: Ph.D advisor for 5 years

Dr. Lynne G. Zucker, Professor
Department of Sociology and Policy Studies
University of California, Los Angeles
(310)-825-9155
UCLA Box 951551, Los Angeles, CA, 90095-1551
zucker@nicco.sscnet.ucla.edu
Relationship: Ph.D advisor for 4 years

Dr. Martin Kenney, Professor
Department of Human Ecology
University of California, Davis
(530)-574-5943
2307 Hart Hall, Department of Human and Community Development, University of California Davis, CA 95616
mfkenney@ucdavis.edu
Relationship: Research collaborator for 1 year

Dr. Jiro Kokuryo, Professor
Faculty of Policy Management
Keio University
+81-466-47-5111
5322 Endo Fujisawa-shi, Kanagawa-ken, 252-8520, Japan
jkokuryo@sfc.keio.ac.jp
Relationship: Research advisor in Japan

March 31st, 2015

List of All Current / Completed Ph.D Courses

Kanetaka M. Maki

University of California, San Diego

[MANAGEMENT]

- Introduction to Management Research A (MGT208A)
- Introduction to Management Research B (MGT208B)
- Introduction to Management Research C (MGT208C)
- Behavioral Economics (MGT225)
- Psychology and Decision Making (MGT255)
- Theory of Technology & Operation Management (MGT245)
- New Venture Finance (MGT280, audit)
- Operations, Information Systems, and Data Analysis (MGT413, audit)
- Strategy (MGT410, audit)

[ECONOMICS]

- Microeconomics A (ECON100A)
- Microeconomics B (ECON100B)
- Microeconomics C (ECON100C)
- Experimental Economics (ECON264)
- Mathematics for Economists (ECON205)

[METHODOLOGY]

- Quantitative Methods (POLI204B)
- Advanced Statistical Applications (POLI271)
- Data Analysis &Statistical Decision Making (IRGN240)
- Game Theory (POLI204C)
- Multidisciplinary Methods: Social Network (POLI287)

[FIELD]

- Growth, Science and Technology (UCLA M292B)
- Special Topics in Management: Innovation and Creativity Workshop (UCLA M298D)
- Japanese Economy (IRGN271)
- Business and Management in Japan (IRGN229, audit)

[SOCIOLOGY]

- Problems in Organization Theory (UCLA SOCIOL 265, audit)

[PSYCHOLOGY]

- Quantitative Methodology / Psychology A (PSYC201A)
- Quantitative Methodology / Psychology B (PSYC201A)
- Cognitive Psychology (PSYC218A)
- Emotion (PSYC205)
- Proseminar / Social Psychology (PSYC220)

Statement of Purpose for the NBER Entrepreneurship Boot Camp

Kanetaka M. Maki
University of California, San Diego

It will be both a privilege and a good fit for me to attend the 8th NBER Entrepreneurship Boot Camp. As a Ph.D candidate at the University of California (UC), San Diego, my main topics of focus have been innovation and entrepreneurship, in particular, the institutional design of tacit knowledge transmission. Currently, I aim to contribute toward three areas: (a) institutional design of entrepreneurship regarding research universities, (b) startup success rates, and (c) comparative quantitative research, in particular, regarding innovation streams in Japan. I plan to complete my Ph.D in Summer 2015.

My passion for these topics stems from my experience in Japan. Promoting entrepreneurship activities is one of the biggest social changes in Japan. From 2002 to 2008, I was a founding chief officer of a newly created program on innovation and entrepreneurship at Keio University. I organized a research consortium, designed and taught entrepreneurship courses, and launched a university-based incubator facility to stimulate and accelerate university-based innovation and entrepreneurship. Thereafter, I moved to the U. S. in 2010 to study innovation, entrepreneurship, and technology transfer in a rigorous disciplinary approach to gain a deeper understanding of the underlying phenomena of technology transfer and commercialization.

Research 1: The Institutional Design of Entrepreneurship in Connection with Research Universities

My first working paper, co-authored with my adviser Prof. Vish Krishnan, is titled "Collaborative Innovation and Knowledge Creation–Evidence from a Natural Experiment in Japan," which is currently under review at the *Management Science* journal. The paper proposes and validates a simple theoretical model of university-industry co-authored publications and the impact of the presence of a technology transfer office (TTO) on the amount of joint research. Moreover, the results indicate a negative impact of TTO on collaboration by recommending intellectual property and increasing the transaction costs for the collaborating parties. However, junior researchers benefit more from TTO through the intermediary effects. Using unique data from Japan facilitates a deeper insight due to a natural experiment provided by the introduction of TTOs at several, though not all, universities between 1998 and 2004. To the best of our knowledge, our paper is the first attempt that focuses on the design of university-industry collaboration, offering a theoretical model of joint research, and providing empirical evidence that intermediaries such as TTOs, unless carefully designed, may adversely impact joint publications between universities and firms.

Research 2: Startup Success Rates

My third working paper, co-authored with Prof. Vish Krishnan and Prof. Martin Kenney, is titled "The Role of Inventors' Commitment in the Knowledge Transfer and Success Rate of University-based Start-ups", which we aim to submit in a few months. Using unique dataset of University California Start-ups, the paper investigates the role of inventors' commitment on startups. Using survival analysis, we found that high proportion of inventors' involvement as a founder of start-up firms increases the probability of launching a product, and the launch of product increases the probability of success (IPO or M&A). In other words, the launch of product mediates the effect of inventors' commitment to the success of start-ups. The dataset contains rich information; we aim to publish several more papers using the dataset with aggregating other existing

datasets.

Research 3: Comparison Study of Innovation System in Japan

My forth working paper, co-authoring with Prof. Ulrike Schaede, is titled "Job Changing and the Quality of Innovation: A Longitudinal Study of Patents filed by Japanese Engineers". The paper aims to measure the changes in labor mobility of engineers (inventors) in large Japanese firms. We found that the stereotypical view that labor mobility among engineers in these R&D centers was very low is not true. Additionally, we investigate the effect of *shukkō* dispatchments of an engineer on effect of cross-fertilization of ideas.

Future Work

I am fortunate to collaborate with great advisers and colleagues during my research. Professors Lynne Zucker and Martin Kenney both were influential in opening up possibilities for my future projects and providing access to a novel dataset to conduct empirical analyses. I am planning to conduct a research on network closure of venture capital investment in Silicon Valley.

Furthermore, I am beginning the Science of Science Policy Japan project. I am currently working with Prof. Josh Graff-Zivin, with the support of Mr. Kan Suzuki, the former Senior Vice Minister of Education, Culture, Sports, Science and Technology; we aim to conduct policy analysis on science and technology policy in Japan. Japan is in the process of reforming the research grant system to foster innovation. The reformation of the grant system is the center pillar of social change in the national innovation system of Japan. It offers an excellent opportunity to conduct innovation policy analysis research through the following two ways. First, with the dataset of science research grant in Japan, using regression discontinuity analysis, we aim to evaluate the effectiveness of science grants. Second, we aim to conduct randomized social experiments of designing effective grants system.

Based upon my research interests and my prior work, I have several compelling reasons why I would like to attend the NBER Entrepreneurship Boot Camp.

Firstly, this camp will help me gain a broader understanding of entrepreneurship research. I have rich experience in analyzing data sets relevant to entrepreneurship studies. I am confident that my experience and ability in empirical research will contribute the discussions in the camp. My current research is framed by econometric methods, but I believe that bringing more of an interdisciplinary perspective to my research will provide a more comprehensive view of how innovation occurs and increase the impact of my work.

Secondly, by attending this camp, I will have an opportunity to interact with the best and brightest scholars on the entrepreneurship area. One of the reasons I decided to move to the US as a Ph.D student was that I wanted to gain the opportunity to interact with scholars in my field. The NBER Entrepreneurship Working Group is definitely the group I would like to participate and contribute. Clearly, this camp will offer a tremendous opportunity to do so. I have examined the background of all the professors in this camp, as well as the breadth of research topics that will be discussed. I am eager to interact with them, and to get advice for my research. Furthermore, I look forward to meeting with Ph.D students / young scholars from other universities. Getting an opportunity to engage with emerging scholars will greatly enrich my research career. I look forward to find new co-authors to work on the dataset I am currently working on.

Clearly, attending the NBER Entrepreneurship Boot Camp will position me to achieve my career objectives. I am confident that I will be not only gaining from this camp, but also contributing in this research community.