

Institute for Research on Innovation and Science (IRIS)

Data Submission File and Field Descriptions

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Question?

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Introduction

This document contains a detailed description of each of the five files that make up the IRIS UMETRICS data submission and their corresponding fields. Additionally, it provides descriptions of the supporting or ancillary data files that help IRIS understand submitted object codes and university units.

A standard data submission sent to IRIS will consist of up to seven comma separated text files. The seven files are:

- UMETRICS Data Files
 - Award
 - Employee
 - Employee Name
 - Sub-Award
 - Vendor
- Supporting Data Files
 - Object Codes
 - Organization Unit

In a standard submission of data the five UMETRICS data files listed above are required. These files contain all the data necessary for IRIS to provide the analysis that goes into the reports and feedback used by your university. Additionally, this data supports the research projects being conducted by IRIS once the submitted data has been scrubbed by IRIS internal processes.

The two additional data files, the definition files for both Object Codes and Organization Unit are files that should be submitted during the very first transmission of data to IRIS. After that first transmission a university is not required to continue submitting those files each time it sends IRIS UMETRICS data. We do recommend that updates to the Object Codes and Organization Units be submitted if there have been additions or changes. This will allow for proper matching and understanding of the submitted codes and units.

Submission Timeline (When to submit files)

Data files should be submitted annually within 90 days of the close of a university's fiscal year. IRIS will send reminder emails to help the data contributor know when the deadline is approaching. Since different universities operate on different fiscal schedules there is no specified calendar date that can be applied to all institutions. Instead, IRIS collects information about a university's fiscal timeline when it joins the IRIS community. This collection of information is done at the same time and in the same manner as collecting the contact information for the individuals responsible for processing the actual submission of files to IRIS.

Example Scenario:

University X joins IRIS in April 2016. Upon joining, University X provides contact information

about who is responsible for submitting the data files to IRIS. University X also provides the date upon which it closes the fiscal year. In this example the fiscal year closes on June 30th. Given this information the first data submission to IRIS should occur between July 1st and August 15th, which is a 45 day window after the close of University X's fiscal year. The individual that is responsible for submitting data to IRIS will receive up to 3 emails to remind them about the submission timeline. The first email will arrive on day 1 of the submission window, in this case, July 1st. The next email will arrive on day 30 of the submission window, in this case, July 30th. The final email, if the data has not been submitted yet, will arrive on day 42 of the submission window, in this case August 12th. If no submission has been received by day 42 additional emails may be sent to administrative contacts at University X.

File Naming Convention

There is NO file naming convention that must be followed. Contributors are free to submit files using any name that makes sense to them. For example, if the file being submitted is the AWARD file a name like 'award.txt' is just as valid as '123awd_06_jun_2015.csv'. IRIS has automated systems that scan and evaluate all submitted files to determine exactly which type of file is being submitted.

In the event that a submitted file cannot be identified the contributor will be notified immediately so they are made aware of the problem.

File and Field Descriptions

File description: AWARD

The award file is the center piece of the UMETRICS data set and provides the necessary connections to the other data elements contained within the other UMETRICS data files. The award file should contain data on every awarded (funded) project that has direct or indirect cost expenditures during the reported fiscal year. Moreover the data submitted should be summed monthly for each awarded project that has received funding during the reported fiscal year.

This means that for a given funded project you could submit up to twelve separate entries for each unique award number. The summing is done in order to generate a monthly 'Overhead Charged' and 'Total Direct Expenditures' value. See example below.

Monthly entries for a single unique award number:

Period Start Date	Period End Date	Funding Source Name	Unique Award Number	Recipient Account Number	Award Title	Overhead Charged	Total Direct Expenditures	Campus ID	Sub Organizational Unit
2009-10-01	2009-10-31	Packard Foundation	28.124 FSJ1232	FS111222555	Collaborative Research	1222.31	52478.23	11	15
2009-10-01	2009-10-31	Packard Foundation	28.124 FSJ1232	FS111222555	Collaborative Research	1005.14	45187.26	11	15
2009-10-01	2009-10-31	Packard Foundation	28.124 FSJ1232	FS111222555	Collaborative Research	832.79	23177.84	11	15

As seen in the above example of the content of the award file you can see that this particular award has three entries (rows), one for each of the three months it was active during the fiscal year as defined by the period start and period end dates. The award was for a three month period that falls within the reported fiscal year and as such, it has three separate entries (rows) in the file, one for each month. In each entry (row) the information is only different in the 'Overhead Charged' field and the 'Total Direct Expenditures' field. These two fields are where the summing will take place. Everything else stays the same.

The data that makes up this table typically represents the financial transactional data that has been recorded by the member university.

Why is this important?

In order to accurately assess the submitted data and generate reports from both IRIS and the United States Census Bureau that are provided to the contributing university, we need award data that can be broken into monthly amounts.

One final note, the field lengths for the string fields are typically oversized in order to accommodate any potential variations in the length of the reported data. Just because a field length is considerably longer

than the data you are supplying doesn't mean that you are missing anything, it just means that the field size is capable of holding data that is longer.

Field 1: Period Start Date**Field Submission Name:** PeriodStartDate

Field Purpose: Defines the monthly start date of the awarded project that has received funding. The start date should be the first day of a given month since the data in the award file should be summed (rolled up) on a monthly basis. This date helps IRIS create calendar year analysis of funding activity.

Code/Format: YEAR, MONTH, DAY (YYYY-MM-DD)**Type:** Date

Examples: 2014-02-01
2015-10-01

December 1, 2014 = 2014-12-01

All dates must appear in the following manner: DD must be the number of a day between 01 and 31. YYYY represents the year. Each MM must be one of the following:

01 January	07 July
02 February	08 August
03 March	09 September
04 April	10 October
05 May	11 November
06 June	12 December

Dependencies with other fields: None

Definition: Award funding can span several months and years. When reporting award data it is important to sum the overhead charged and the total direct expenditures on a monthly basis. If a given award has expenditures that are spread across several months then there would be a new row of data for each month. As such the Period Start Date should be the first day of the month that is being reported with the summed dollars values for that month.

The Period Start Date should always be the first day of a month (e.g. January 1st, February 1st, March 1st, etc.) If an award has funding for three months from January to March then there should be three separate rows of data reported each with a period start date for each of the three months, for example:

RowID	PERIOD START DATE
Row1	2015-01-01
Row2	2015-02-01
Row3	2015-03-01

Field 2: Period End Date

Field Submission Name: PeriodEndDate

Field Purpose: The Period End Date should always be the end of a given calendar month (e.g. 2015-12-31). The Period End Date should always be in the same month as the Period Start Date (e.g. If Period Start Date is January 1st the Period End Date should be no later than January 31st.) This helps IRIS provide analysis on a calendar year basis.

Code/Format: YEAR, MONTH, DAY (YYYY-MM-DD)

Type: Date

Examples: 2014-02-28
2015-10-31

December 31, 2014 = 2014-12-31

All dates must appear in the following manner: DD must be the number of a day between 01 and 31. YYYY represents the year. Each MM must be one of the following:

- | | |
|-------------|--------------|
| 01 January | 07 July |
| 02 February | 08 August |
| 03 March | 09 September |
| 04 April | 10 October |
| 05 May | 11 November |
| 06 June | 12 December |

Dependencies with other fields: None

Definition: Defines the end of the calendar month being reported. The date reported should always be in the same month as the period start date and should always be the last day of the calendar month (e.g. 2015-07-31, 2015-02-28, etc.). If there is a period start date for a given month there must also be a corresponding period end date that is within the same month. If an award has funding for three months from January to March then there should be three separate rows of data reported each with a period end date for each of the three months, for example:

RowID	PERIOD END DATE
Row1	2015-01-31
Row2	2015-02-28
Row3	2015-03-31

Field 3: Funding Source Name**Field Submission Name:** FundingSource**Field Purpose:** Where is the money for this award originating? What organization is providing the funding? The name of the funding organization should go in this field.**Code/Format:** Text field using any characters.**Type:** String**Length:** 200 Characters**Examples:** Packard Foundation
Institute for Research on Innovation and Science
Advanced Idea Mechanics**Dependencies with other fields:** None**Definition:** Funding source assigned to each project – maps directly to funding (CFDA) code when the name is a primary sponsor. If the award is a subcontract, this field should be populated with the name of the direct sponsor (the contractor) if it not a subcontract than the name of the primary funding source should be included.

Field 4: Unique Award Number**Field Submission Name:** UniqueAwardNumber**Field Purpose:** Where is the money for this award originating? What organization is providing the funding? The CFDA code or a STAR OFS code should go in this field.**Code/Format:** Text field using any characters.**Length:** 100 Characters**Type:** String**Examples:** 28.124 FSJ1232
47.000 5544111
00.000 1246581
00.200 State Award 1
12.345 0
47.000 0**Dependencies with other fields:** None**Definition:** Identifier specifying an award and its funding source, as defined by concatenating the 6-position funding source code—either the CFDA code or a STAR Other Funding Source (OFS) code—with an award identifier—either the federal award ID from the awarding Federal Agency (such as the federal grant number, federal contract number, or the federal loan number) or an internal award ID for non-federal awards—with a space in between the two numbers. The CFDA or OFS code should be associated with the primary sponsor even if the award is a subcontract and the direct sponsor name is included in the funding source field.

In the event that a particular award does not have an official CFDA code, IRIS recommends the use of STAR OFS (Other Funding Sources) codes rather than leaving the field blank.

Please review Appendix A: STAR OFS Codes at the end of this document. Also, the OFS codes can be downloaded from the IRIS technical documentation webpage at the official IRIS website.

Field 5: Recipient Account Number**Field Submission Name:** RecipientAccountNumber**Field Purpose:** This field is used for institutional internal accounting number. This is typically different from the Unique Award Number (Field 4).**Code/Format:** Text field using any characters.**Type:** String**Length:** 50 Characters**Examples:** FS111222555
1234567890**Dependencies with other fields:** None**Definition:** Contributor Institution's internal number for the award. If there is not a separate account number that is used internally it is recommended that the Unique Award Number (Field 4) be copied into this field as well.

Field 6: Award Title

Field Submission Name: AwardTitle

Field Purpose: Provides the title of the award.

Code/Format: Text field using any characters.

Type: String

Length: 300 Characters

Examples: Collaborative Research: Empirical Analyses of Committee Voting

Dependencies with other fields: None

Definition: Title of Award

Field 7: Overhead Charged**Field Submission Name:** OverheadCharged**Field Purpose:** Provides a MONTHLY sum of overhead charged to the specified award as defined by the unique award number. This is the actual overhead dollars charged to the award in the specified period.**Code/Format:** Dollar value - numeric without \$ sign or commas**Type:** Number**Length:** N/A**Examples:** 128544.13

52711.00

699800.54

Dependencies with other fields: None**Definition:** This is a monetary value field of any size, although if you have awards greater than one hundred trillion dollars you should contact us. Do not include commas in the dollar value but always include any of the decimal values (cents).

The 'overhead charged' is a dollar value that should be summed monthly for each unique award number. The value of the field should be a sum of dollar values from the 1st of a given month until the end of a given month (e.g. June 1st to June 30th, July 1st to July 31st).

A value should be generated if there were any transactional overhead charges for a given month.

Field 8: Total Direct Expenditures**Field Submission Name:** TotalExpenditures**Field Purpose:** Provides a MONTHLY sum of total expenditures to the specified award as defined by the unique award number. This is total direct expenditures charged to the award in the specified period.**Code/Format:** Dollar value - numeric without \$ sign or commas**Type:** Number**Length:** N/A**Examples:** 128544.13

52711.00

699800.54

Dependencies with other fields: None**Definition:** This is a monetary value field of any size, although if you have awards greater than one hundred trillion dollars you should contact us. Do not include commas in the dollar value but always include any of the decimal values (cents).

The 'total expenditures' is a dollar value that should be summed monthly for each unique award number. The value of the field should be a sum of dollar values from the 1st of a given month until the end of a given month (e.g. June 1st to June 30th, July 1st to July 31st).

A value should be generated if there were any transactional expenditures for a given month.

Field 9: Campus ID**Field Submission Name:** CampusId**Field Purpose:** Provides refinement of reported data allowing IRIS to provide reports based on specific campuses for a given University. This is particularly important for University Systems that have many different campuses all under a single university umbrella.**Code/Format:** No required format**Type:** String**Length:** 30 Characters**Examples:** 11

UMF

UMA

UMD

Dependencies with other fields: CampusName in Organization Unit file.**Definition:** Campus to which each award is assigned. Campus ID should be defined in the ancillary file, 'Organization Unit.' For example, if the Campus ID is 11 it is expected that a matching Campus ID of 11 will be found in the 'Organization Unit' file complete with a matching Campus Name.

Field 10: Sub Organizational Unit**Field Submission Name:** SubOrgUnit

Field Purpose: Provides refinement of reported data allowing IRIS to provide reports based on specific sub organizational units within a given University. This is particularly important for if contributing universities would like to examine research investments for specific sub units of a university (e.g. within the college of natural sciences, the medical school, or the college of engineering).

Code/Format: No required format

Type: String

Length: 30 Characters

Examples: 15

CPS

CWL

Dependencies with other fields: SubOrgUnitName in Organization Unit file.

Definition: Sub organizational unit of the university campus to which each project is assigned. This unit should be at the college level, not at the level of individual departments. SubOrgUnit should be defined in the ancillary file, 'Organization Unit.' For example, if the SubOrgUnit is 15 it is expected that a matching SubOrgUnit of 15 will be found in the 'Organization Unit' file complete with a matching SubOrgUnitName.

File description: EMPLOYEE

The Employee file is used to provide information about the individuals working on specific awards as defined in the Award data file. The employee file should contain a list of every employee that received any type of compensation from an award or spent time working on an award. Each employee should have only one entry per award but an employee could work on several awards concurrently or sequentially.

An example of sample data for the included fields is shown below.

Sample employee entries:

Period Start Date	Period End Date	Unique Award Number	Recipient Account Number	De-identified Employee ID Number	SM Occupational Classification	Original Occupational Classification or Job Title	Object Code or Other Expense Category	SOC Federal Code	FTE Status	Proportion of Earnings Allocated to Award
2009-10-01	2009-10-31	28.124 FSJ1232	FS111222555	A00482199	Faculty	Associate Professor	B3848.001	11-1000	1	1
2009-10-01	2009-10-01	28.124 FSJ1232	FS111222555	A00574321	Faculty	Assistant Professor	B3848.001	11-1000	1	1
2009-10-01	2009-10-31	28.124 FSJ1232	FS111222555	A00671340	Student	Post Doctoral Student	B2549.002	12-1500	0.5	0.5

The two most important factors related to the employee file is that every employee listed is associated with an award that has been reported in the Award file and that every employee listed in here has a corresponding entry in the Employee Name File, which is described later in this reference manual.

Why is this important?

The employee information is used to track award personnel expenditures but more importantly it is used to link employees with other external datasets including Census Bureau data allowing IRIS to report on the far reaching benefits of a university's funded research.

Field 1: Period Start Date**Field Submission Name:** PeriodStartDate**Field Purpose:** The period start date is used in conjunction with the period end date to allow for the analysis of working time spent on a given award.**Code/Format:** YEAR, MONTH, DAY (YYYY-MM-DD)**Type:** Date**Examples:** 2014-02-25

2015-10-30

December 2, 2014 = 2014-12-02

All dates must appear in the following manner: DD must be the number of a day between 01 and 31. YYYY represents the year. Each MM must be one of the following:

01 January	07 July
02 February	08 August
03 March	09 September
04 April	10 October
05 May	11 November
06 June	12 December

Dependencies with other fields: None

Definition: Defines the starting period when an employee works on a specified award. The field should be lowest possible aggregate of value for the data. When used in conjunction with the Period End Date it should define the smallest time period possible for an employee's paid involvement in a project. For example, if a university payroll system compensates an employee every two weeks then the employee file should have an entry for the same employee for each two week period that they were paid to work on an award. If the pay period is monthly then there should be an entry for each month an employee is paid to work on an award. Ideally, daily entries would be best because they would allow for the calculation of total number of days worked on a specific award.

Example

Employee Reed Richards is working on a specific award for a two month duration. During those two months he is paid every two weeks starting on the first day of the month. In this example Reed would have four entries in the employee table for the given award (two months with two pay periods each month giving a total of four pay dates in the payroll system for him). The period end date, which we will discuss next, would also have four matching entries that end the day before the next start date begins.

Field 2: Period End Date**Field Submission Name:** PeriodEndDate**Field Purpose:** The period end date is used in conjunction with the period start date to allow for the analysis of working time spent on a given award.**Code/Format:** YEAR, MONTH, DAY (YYYY-MM-DD)**Type:** Date**Examples:** 2014-02-25
2015-10-30

December 2, 2014 = 2014-12-02

All dates must appear in the following manner: DD must be the number of a day between 01 and 31. YYYY represents the year. Each MM must be one of the following:

01 January	07 July
02 February	08 August
03 March	09 September
04 April	10 October
05 May	11 November
06 June	12 December

Dependencies with other fields: None**Definition:**

Defines the ending period when an employee works on a specified award. The field should be lowest possible aggregate of value for the data. When used in conjunction with the Period Start Date it should define the smallest time period possible for an employee's paid involvement in a project. For example, if a university payroll system compensates an employee every two weeks then the employee file should have an entry for the same employee for each two week period that they were paid to work on an award. If the pay period is monthly then there should be an entry for each month an employee is paid to work on an award. Ideally, daily entries would be best because they would allow for the calculation of total number of days worked on a specific award.

Example

Employee Reed Richards is working on a specific award for a two month duration. During those two months he is paid every two weeks starting on the first day of the month. In this example Reed would have four entries in the employee table for the given award (two months with two pay periods each month giving a total of four pay dates in the payroll system for him). The period start date, which we have discussed above, would also have four matching entries that start two weeks before the period end date.

Field 3: Unique Award Number**Field Submission Name:** UniqueAwardNumber**Field Purpose:** Where is the money for this award originating? What organization is providing the funding? The CFDA code or a STAR OFS code should go in this field.**Code/Format:** Text field using any characters.**Length:** 100 Characters**Type:** String**Examples:** 28.124 FSJ1232
47.000 5544111
00.000 1246581
00.200 State Award 1
12.345 0
47.000 0**Dependencies with other fields:** Unique Award Number in the AWARD file.**Definition:**

Identifier specifying an award and its funding source, as defined by concatenating the 6-position funding source code—either the CFDA code or a STAR Other Funding Source (OFS) code—with an award identifier—either the federal award ID from the awarding Federal Agency (such as the federal grant number, federal contract number, or the federal loan number) or an internal award ID for non-federal awards—with a space in between the two numbers. The CFDA or OFS code should be associated with the primary sponsor even if the award is a subcontract and the direct sponsor name is included in the funding source field. Additionally, this unique award number should have a matching unique award number in the AWARD file.

In the event that a particular award does not have an official CFDA code, IRIS recommends the use of STAR OFS (Other Funding Sources) codes rather than leaving the field blank.

Please review Appendix A: STAR OFS Codes at the end of this document. Also, the OFS codes can be downloaded from the IRIS technical documentation webpage at the official IRIS website.

Field 4: Recipient Account Number**Field Submission Name:** RecipientAccountNumber**Field Purpose:** This field is used for institutional internal accounting number. This is typically different from the Unique Award Number (Field 4).**Code/Format:** Text field using any characters.**Type:** String**Length:** 50 Character**Examples:** FS111222555
1234567890**Dependencies with other fields:** Recipient Account Number in the AWARD file**Definition:** Contributor Institution's internal number for the award. If there is not a separate account number that is used internally it is recommended that the Unique Award Number (Field 4) be copied into this field as well. This should be identical to the relevant matching field in the AWARD table.

Field 5: De-Identified Employee ID Number**Field Submission Name:** DeidentifiedEmployeeIdNumber**Field Purpose:** This field is needed in order to match employees up with their details found in the Employee Name file which is submitted separately.**Code/Format:** Text field using any characters.**Type:** String**Length:** 50 Characters**Examples:** E998811

A00811542

Dependencies with other fields: DeidentifiedEmployeeIdNumber in the Employee Name File**Definition:** Unique Employee ID (not Social Security Number) of grant funded personnel. This can be any ID Number or combination of number and alphabetic characters. Typically it is the internal institutional number that is used by an employee at the institution. For example, the University of Michigan 'M-Number' that appears on university issued identification cards.

It is important that whatever value is used for this field (at the discretion of the participant) has an identical and matching value in the Employee Name file in order to match the data between the two data files.

Field 6: SM Occupational Classification**Field Submission Name:** OccupationalClassification**Field Purpose:** For those participants that have experience with NIH STAR METRICS programs this field has been designated to accept whatever STAR METRICS occupational classification value they submitted to NIH.**Code/Format:** Text field using any characters.**Type:** String**Length:** 50 Characters**Examples:** Faculty
Technician/ Staff Scientist
Research Analyst / Coordinator
Post Graduate Research
Undergraduate Students
Graduate Students
Clinician
Research Support**Dependencies with other fields:** None**Definition:** STAR METRICS occupational classification. This is a carryover from the STAR METRICS reporting system and is included in order to retain the possibility of STAR METRICS style job reporting and to contribute to UMETRICS categorization of raw job titles. This field is optional for those institutions that have not taken part in STAR METRICS.

Appendix B, found at the end of this document lists the eight STAR METRICS job classifications in detail.

Field 7: Original Occupational Classification or Job Title**Field Submission Name:** JobTitle**Field Purpose:** This field is an occupational classification and will be used to generate UMETRICS classification codes by IRIS personnel. This allows us to categorize jobs for reporting and analysis.**Code/Format:** Text field using any characters.**Type:** String**Length:** 100 Characters**Examples:** Associate Professor

Assistant Professor

Post-Doctoral Student

Dependencies with other fields: None**Definition:** Job / Occupation Title (original text from HR system). There is no defined job title that should be associated with an actual job. We recognize that every institution uses their own naming conventions and classification system so this field is very open ended.

Field 8: Object Code or Other Expense Category**Field Submission Name:** ObjectCode**Field Purpose:** Along with the job title it allows us to produce more fine grained information about expenditures and types of employees.**Code/Format:** Text field using any characters.**Type:** String**Length:** 50 Characters**Examples:** B3848.001**Dependencies with other fields:** ObjectCode in Object Codes file.**Definition:** Internal organization object code or other expense type category assigned to transaction. This field is the contributing university's resident object code used for accounting purposes. This is a purely internal categorical field and will vary from university to university. Any data submitted in this field should have a corresponding entry in the "Object Code" file that is submitted as an ancillary file and whose definitions can be found later in this manual.

Field 9: SOC Federal Code**Field Submission Name:** SOCCode**Field Purpose:** Provides an alternative bucketing tool for analysis and can be matched with federal reporting data.**Code/Format:** Text field using any characters.**Type:** String**Length:** 30 Characters**Examples:** 11-1000

12-1000

Dependencies with other fields: None.**Definition:** Standard Occupational Classification codes that are required for federal agency reporting.<http://www.bls.gov/soc/>

Field 10: FTE Status**Field Submission Name:** FteStatus**Field Purpose:** FTE Status allows us to distinguish full time, part time, and temporary employees.**Code/Format:** Text field using any characters.**Type:** Number**Length:** N/A**Examples:** 0.5

1

0.75

Dependencies with other fields: None

Definition: Designation of the status (percent) of the funded personnel (full time = 1.0, half time = 0.5). This helps to define whether an employee is a full time or part time employee of the institution. This is not specific to an award, this is specific to an employee so the FTE status is the employee's status at the institution, not just their status on the defined award. Keep in mind that FTE is a sliding scale between 1 (full time) and 0(not employed). An employee FTE status can fall between either of those two end points. A temporary student employee may have an FTE status of 0.1 for example. Typically, an employee that works 40+ hours per week is considered full time with an FTE of 1 (100% Full Time Equivalent). Someone that works 15 hours per week could be thought to have an FTE of .375 (37.5% Full Time Equivalent).

Field 11: Proportion of Earnings Allocation to Award**Field Submission Name:** ProportionOfEarningsAllocated**Field Purpose:** This allows us to determine how much of an employee's salary is derived from the specified award.**Code/Format:** Text field using any characters.**Type:** Number**Length:** N/A**Examples:** 0.33
0.50
0.75**Dependencies with other fields:** None**Definition:** Calculated portion of earnings charged by funded personnel to the award in the specified period. This field is a simple calculation:

$$\textit{Proportion of Earnings Allocated} = \frac{\textit{Earnings from Specified Award}}{\textit{Total Earnings for Employee}}$$

The 'Total Earnings for Employee' is the total gross amount that an employee earned in a giventransactional period.

The 'Earnings from Specified Award' are those earnings that came exclusively from work or association with the specific award that is tied to a single entry for an employee.

Remember that an employee can work on more than one award so it is possible that an employee could have multiple entries in the Employee File and each one would be for a specific award and each one would have its own Proportion of Earnings Allocated.

File description: EMPLOYEE NAME

The Employee Name file is used to match up the De-Identified employee data that is associated with different awards in the Employee File with the employee's actual name and data of birth. This is integral to matching process and allows IRIS to provide detailed reports. These reports need to be matched with other data sets such as Proquest, US Patent and Trade, and the Census Bureau.. Additionally, this data allows IRIS to track employee participation between different institutions.

An example of sample data for the included fields is shown below.

Sample employee name entries:

De-identified Employee ID Number	Employee Last Name	Employee Middle Name	Employee First Name	Employee Year of Birth	Employee Month of Birth
A00482199	Richards	A	Reed	1945	04
A00574321	Xavier	Alan	Charles	1934	12
A00671340	Banner	Blane	Bruce	1964	02

Every employee name and details must be associated, via the de-identified employee ID number with an entry in the Employee File. An employee should have only one entry in this file from a specific institution for a given campus ID and sub organizational ID. It is possible that a single employee could have multiple entries if they worked on different campuses or for different sub organizational units.

Why is this important?

The employee information is used to link employees with other external datasets allowing IRIS to report on the far reaching benefits of a university's funded research.

Field 1: De-Identified Employee ID Number**Field Submission Name:** DeidentifiedEmployeeIdNumber**Field Purpose:** This field is needed in order to match employees up with their details found in the Employee Name file which is submitted separately.**Code/Format:** Text field using any characters.**Type:** String**Length:** 50**Examples:** E998811
A00811542**Dependencies with other fields:** DeidentifiedEmployeeIdNumber in the Employee Name File**Definition:** Unique Employee ID (not Social Security number) of grant funded personnel. This can be any ID Number or combination of number and alphabetic characters. Typically it is the internal institutional number that is used by an employee at the institution. For example, the University of Michigan 'M-Number' that appears on university issued identification cards.

Field 2: Employee Last Name**Field Submission Name:** LastName**Field Purpose:** This helps with the matching of data to other external datasets that are used for report generation and research.**Code/Format:** Text field using any characters.**Type:** String**Length:** 50**Examples:** Smith

smith

SMITH

Dependencies with other fields: None**Definition:** This is the employee's last name. The name can be written in any format (e.g. Capitalized first letter, All lower case, All upper case, etc). IRIS can accept any format and work with it.

Field 3: Employee Middle Name**Field Submission Name:** MiddleName**Field Purpose:** This helps with the matching of data to other external datasets that are used for report generation and research.**Code/Format:** Text field using any characters.**Type:** String**Length:** 50**Examples:** Alan

alan

ALAN

Dependencies with other fields: None**Definition:** This is the employee's middle name. The name can be written in any format (e.g. Capitalized first letter, All lower case, All upper case, etc). IRIS can accept any format and work with it.

Field 4: Employee First Name**Field Submission Name:** FirstName**Field Purpose:** This helps with the matching of data to other external datasets that are used for report generation and research.**Code/Format:** Text field using any characters.**Type:** String**Length:** 50**Examples:** Kevin

kevin

KEVIN

Dependencies with other fields: None**Definition:** This is the employee's first name. The name can be written in any format (e.g. Capitalized first letter, All lower case, All upper case, etc). IRIS can accept any format and work with it.

Field 5: Employee Year of Birth**Field Submission Name:** BirthYear**Field Purpose:** Providing month and year of birth is essential for integrating these data with US Census data products. Month and year of birth enables a match rate of 99.24% in our pilot studies.**Code/Format:** 4 digit Integer**Type:** Numeric**Length:** 4**Examples:** 1999

1974

2009

Dependencies with other fields: None**Definition:** This is only the birth year for the specific employee.

Field 6: Employee Month of Birth**Field Submission Name:** BirthMonth**Field Purpose:** Providing month and year of birth is essential for integrating these data with US Census data products. Month and year of birth enables a match rate of 99.24% in our pilot studies.**Code/Format:** 2 digit Integer**Type:** Numeric**Length:** 2**Examples:** 01

02

03

Each MM must be one of the following:

01 January 07 July

02 February 08 August

03 March 09 September

04 April 10 October

05 May 11 November

06 June 12 December

Dependencies with other fields: None**Definition: This is only the birth month for the specific employee.**

File description: **VENDOR**

The Vendor file, combined with the Award file, allows for the tracking of Vendors and their involvement with the funded awards that are reported in the Award file. This is integral to the matching process and allows IRIS to provide the detailed reports that are generated with the inclusion of several other external data sets. Additionally, this data allows IRIS to track vendor participation between different institutions.

An example of sample data for the included fields is shown below.

Sample Vendor entries:

Period Start Date	Period End Date	Unique Award Number	Recipient Account Number	Object Code or Other Expense Category	Organization / Vendor ID	Sub Award EIN	Sub Award DUNS number	Sub Award Payment Amount		
2009-10-01	2009-10-01	28.124 FSI1232	FS111222555	B3848.001		123456789	12-345-6789	1222.31		
2009-10-31	2009-10-31	47.000 5544111	FS111222444	38279		98765432	15-798-5976	89467.35		
2009-10-31	2009-10-31	00.000 1246581	FS111222333	1983.055	GT598S	564978123	49-813-7958	248.16		
Org or Institution Name	Org or Institution PO Box	Org or Institution Building Number	Org or Institution Street Number	Org or Institution Street Name	Org or Institution Address	Org or Institution City	Org or Institution State	Org or Institution Zip Code - Domestic	Org or Institution Zip Code - Foreign	Org or Institution Country
FISCHER SCIENTIFIC	PO Box 4	12343	1234B	Main Street	1235 Main Street	Pittsburgh	PA	76442	04000	US
123 Computers				49 Featherstone Street	49 Featherstone Street	London			RM1 1AA	GB
Kwik-E-Mart					1235 Main Street	Springfield	OR	76442-4321		US

Every vendor that is specified in the Award file should have an entry in the Vendor file. A vendor could be listed for one or more awards or multiple entries for a single award if there is some distinction that necessitates separating the payment amounts. Vendor information should be reported at the finest level of granularity possible, down to individual transactions with single dates. Ideally, the data should not be summed and should be single transactions but, if the data is aggregated they should be aggregated to **no more than monthly level**.

Why is this important?

The vendor information is crucial for analysis and reporting on the effectiveness of research investments and to provide economic analysis of the impact of research dollars being spent in the local, regional, and state levels.

Field 1: Period Start Date**Field Submission Name:** PeriodStartDate

Field Purpose: This field provides the means to track, compare, and provide analysis of transactional data for given awards. It allows IRIS to define start and end dates for reporting purposes and, if the data provided is at the transactional level (not summed or rolled up in any way) it allows for the most accurate analysis possible.

Code/Format: YEAR, MONTH, DAY (YYYY-MM-DD)**Type:** Date**Examples:** 2014-02-25
2015-10-30

December 2, 2014 = 2014-12-02

All dates must appear in the following manner: DD must be the number of a day between 01 and 31. YYYY represents the year. Each MM must be one of the following:

01 January	07 July
02 February	08 August
03 March	09 September
04 April	10 October
05 May	11 November
06 June	12 December

Dependencies with other fields: None

Definition: Invoice date of the transaction being reported OR if records are aggregated monthly the first day of the reported monthly period. Ideally, every entry in the Vendor file should represent a single transaction that took place for a given award. Typically these transactions will have the same period start date AND period end date since transactions usually occur at time of payment. IRIS recommends that you do not roll up or sum transactions in any way. Individual transactions are better than any summed (e.g. monthly roll up) transactions.

Field 2: Period End Date**Field Submission Name:** PeriodEndDate

Field Purpose: This field provides the means to track, compare, and provide analysis of transactional data for given awards. It allows IRIS to define start and end dates for reporting purposes and, if the data provided is at the transactional level (not summed or rolled up in any way) it allows for the most accurate analysis possible.

Code/Format: YEAR, MONTH, DAY (YYYY-MM-DD)**Type:** Date**Examples:** 2014-02-25
2015-10-30

December 2, 2014 = 2014-12-02

All dates must appear in the following manner: DD must be the number of a day between 01 and 31. YYYY represents the year. Each MM must be one of the following:

01 January	07 July
02 February	08 August
03 March	09 September
04 April	10 October
05 May	11 November
06 June	12 December

Dependencies with other fields: None

Definition: Invoice date of the transaction being reported OR if records are aggregated monthly the first day of the reported monthly period. Ideally, every entry in the Vendor file should represent a single transaction that took place for a given award. Typically these transactions will have the same period start date AND period end date since transactions usually occur at time of payment. IRIS recommends that you do not roll up or sum transactions in any way. Individual transactions are better than any summed (e.g. monthly roll up) transactions.

Field 3: Unique Award Number**Field Submission Name:** UniqueAwardNumber**Field Purpose:** Where is the money for this award originating? What organization is providing the funding? The CFDA code or a STAR OFS code and the unique award ID should go in this field.**Code/Format:** Text field using any characters.**Length:** 50 Characters**Type:** String**Examples:** 28.124 FSJ1232
47.000 5544111
00.000 1246581
00.200 State Award 1
12.345 0
47.000 0**Dependencies with other fields:** None**Definition:****IMPORTANT: This field should have a matching entry in the Award data file.**

Identifier specifying an award and its funding source, as defined by concatenating the 6-position funding source code—either the CFDA code or a STAR Other Funding Source (OFS) code—with an award identifier—either the federal award ID from the awarding Federal Agency (such as the federal grant number, federal contract number, or the federal loan number) or an internal award ID for non-federal awards—with a space in between the two numbers. The CFDA or OFS code should be associated with the primary sponsor even if the award is a subcontract and the direct sponsor name is included in the funding source field.

In the event that a particular award does not have an official CFDA code, IRIS recommends the use of STAR OFS (Other Funding Sources) codes rather than leaving the field blank.

Please review Appendix A: STAR OFS Codes at the end of this document. Also, the OFS codes can be downloaded from the IRIS technical documentation webpage at the official IRIS website.

Field 4: Recipient Account Number**Field Submission Name:** RecipientAccountNumber**Field Purpose:** This field is used for institutional internal accounting number. This is typically different from the Unique Award Number (Field 4).**Code/Format:** Text field using any characters.**Type:** String**Length:** 50 Characters**Examples:** FS111222555
1234567890**Dependencies with other fields:** None**Definition:** Contributor Institution's internal number for the award. If there is not a separate account number that is used internally it is recommended that the Unique Award Number (Field 4) be copied into this field as well.

Field 5: Object Code or Other Expense Category**Field Submission Name:** ObjectCode**Field Purpose:** The Object Code allows us to produce more fine grained information about the types of expenditures.**Code/Format:** Text field using any characters.**Type:** String**Length:** 50 Characters**Examples:** B3848.001**Dependencies with other fields:** ObjectCode in Object Codes file.**Definition:** Internal organization object code or other expense type category assigned to transaction. This field is the contributing university's resident object code used for accounting purposes. This is a purely internal categorical field and will vary from university to university. Any data submitted in this field should have a corresponding entry in the "Object Code" file that is submitted as an ancillary file and who's definitions can be found later in this manual.

Field 6: Organization / Vendor ID**Field Submission Name:** OrganizationID**Field Purpose:** This field is helpful for tracking organizations at an institution and reporting on organizations across different awards.**Code/Format:** Text field using any characters.**Type:** String**Length:** 50 Characters**Examples:** BB48566

1233955-8912

660587119.CAM

Dependencies with other fields: None**Definition:** Internal identifier specifying the organization or institution of the vendor organization. This is the identification number that is assigned to a vendor or organization by the reporting institution. There is no naming convention for this data element so any combination of characters and numbers that represents your institution's id for the organization is acceptable.

Field 7: Vendor EIN**Field Submission Name:** EIN**Field Purpose:** EIN helps matching organizations to external datasets and across institutions allowing for more robust reporting.**Code/Format:** Text field using any characters.**Type:** String**Length:** 10 Characters**Examples:** 123456789

112233445

987654321

Dependencies with other fields: None**Definition:** The Vendor's 9 digit EIN number. This is the government issued EIN that most businesses should have assigned to them. Each EIN should be unique to the organization. Leave this field blank if there is no EIN for the Vendor.

Field 8: Vendor DUNS number**Field Submission Name:** DUNS**Field Purpose:** Allows for better matching to external data sets by connecting DUNS numbers between data sets.**Code/Format:** Text field using any characters.**Type:** String**Length:** 15 Characters**Examples:** 12-345-6789

19-587-6892

22-641-9731

Dependencies with other fields: None**Definition:** The Vendor's DUNS number. The DUNS (Dun and Bradstreet) number is not available for every organization or vendor so this field is not required. If you do have a DUNS number for an organization or vendor please provide it in this field.

Field 9: Vendor Payment Amount**Field Submission Name:** VendorPaymentAmount

Field Purpose: Allows for reporting on the total dollar amount paid to a vendor or organization related to the specified award. This amount should be either the amount of the individual transaction or, if data are aggregated monthly, the sum of all expenditures from a given grant to a given vendor in the time period reported.

Code/Format: Text field using any characters.

Type: Number

Length: N/A

Examples: 15975.45

487296.57

234.96

Dependencies with other fields: None

Definition: The funds charged to the award by the vendor in the specified period. This is a monetary value field of any size, although if you have awards greater than one hundred trillion dollars you should contact us. Do not include commas in the dollar value but always include any of the decimal values (cents). As discussed in the period start date and period end date fields it is important to leave this data at the transactional level if possible. Do not sum or roll up the data in any way if it is not necessary. The dollar amounts reported should be for a single transaction related to the associated award.

Field 10: Org or Institution Name

Field Submission Name: OrgName

Field Purpose: Allows for matching and tracking of vendors or organizations across awards, institutions, and external data sets.

Code/Format: Text field using any characters.

Type: String

Length: 200 Characters

Examples: Acme Rockets

LexCorp

Xavier's School for Gifted Children

Dependencies with other fields: None

Definition: Name of the sub-recipient or vendor organization.

Field 11: Org or Institution PO Box**Field Submission Name:** POBox**Field Purpose:** Helps to identify the location or address of the vendor or organization.**Code/Format:** Text field using any characters.**Type:** String**Length:** 20 Characters**Examples:** 145
10
243**Dependencies with other fields:** None**Definition:** PO Box number of vendor or organization. It is not necessary to include the term “PO” or “PO Box” followed by the number. Any value entered into this field is assumed to be a PO box number.

Field 12: Org or Institution Building Number

Field Submission Name: BldgNum

Field Purpose: Helps to identify the location or address of the vendor or organization.

Code/Format: Text field using any characters.

Type: String

Length: 20 Characters

Examples: 1234B
44558
1122

Dependencies with other fields: None

Definition: Building number of vendor or organization.

Field 13: Org or Institution Street Number

Field Submission Name: SrtNumber

Field Purpose: Helps to identify the location or address of the vendor or organization.

Code/Format: Text field using any characters.

Type: String

Length: 20 Characters

Examples: 1234B
44558
1122

Dependencies with other fields: None

Definition: Street number of institution.

Field 14: Org or Institution Street Name**Field Submission Name:** SrtName**Field Purpose:** Helps to identify the location or address of the vendor or organization.**Code/Format:** Text field using any characters.**Type:** String**Length:** 100 Characters**Examples:** Main Street
Packard Ave
Miller Road**Dependencies with other fields:** None**Definition:** Street name of institution. This is the street name without any additional address information (e.g. building number, PO Box, etc).

Field 15: Org or Institution Address**Field Submission Name:** Address**Field Purpose:** Helps to identify the location or address of the vendor or organization.**Code/Format:** Text field using any characters.**Type:** String**Length:** 120 Characters**Examples:** 1234 Main Street
608 Packard Street
94 Miller Road**Dependencies with other fields:** None

Definition: Vendor or Organization address metadata (alternative to splitting the PO Box, Building Number, Street Number and Street Name into separate columns). This is the combined address made up of the PO Box, Building Number, Street Number, and Street Name. We recommend providing each of those values in their separate data fields but if that is too difficult or if you can concatenate them together you can report the full address here (less the city, state, and zip). Ideally, IRIS would like the individual address components entered into their respective fields (e.g. PO Box in its own field, Street Name in its own field) but it is acceptable to provide the full street address here. Additionally, if you do provide the address components in their designated fields you are still encouraged to concatenate them together and provide them here as well.

Field 16: Org or Institution City

Field Submission Name: City

Field Purpose: Helps to identify the location or address of the vendor or organization.

Code/Format: Text field using any characters.

Type: String

Length: 50 Characters

Examples: Ann Arbor
New York City
Hermosillo

Dependencies with other fields: None

Definition: City of the sub-recipient or vendor organization.

Field 17: Org or Institution State**Field Submission Name:** State**Field Purpose:** Helps to identify the location or address of the vendor or organization.**Code/Format:** Text field using any characters.**Type:** String**Length:** 2 Characters**Examples:** MI
PA
OH**Dependencies with other fields:** None**Definition:** State of sub-recipient or vendor organization. This is the two letter state used by United State post office.

Field 18: Org or Institution Zip Code - Domestic**Field Submission Name:** ZipCodeD**Field Purpose:** Helps to identify the location or address of the vendor or organization.**Code/Format:** Text field using any characters.**Type:** String**Length:** 10 Characters**Examples:** 48130

48130-5489

49916-5741

Dependencies with other fields: None**Definition:** US Zip Code of sub-recipient or vendor organization. You can use either the shorter five digit zip code, or the full zip+4 code.

Field 19: Org or Institution Zip Code – Foreign

Field Submission Name: ZipCodeF

Field Purpose: Helps to identify the location or address of the vendor or organization.

Code/Format: Text field using any characters.

Type: String

Length: 20 Characters

Examples: CAD128554
122584698
188459672

Dependencies with other fields: None

Definition: Foreign Zip Code of sub-recipient or vendor organization.

Field 20: Org or Institution Country**Field Submission Name:** County**Field Purpose:** Helps to identify the location or address of the vendor or organization.**Code/Format:** Text field using any characters.**Type:** String**Length:** 2 Characters**Examples:** US
CA
MX**Dependencies with other fields:** None**Definition:** Country of sub-recipient or vendor organization. This is the two digit code for a country. For example, US – United States, CA – Canada, MX – Mexico. The size of the field will accommodate larger country codes but the dataset should be limited to two letter country codes.

The two letter country codes can be found here:

<http://www.worldatlas.com/aatlas/ctycodes.htm>

The A2 column of country codes is what should be used.

File description: SUB AWARD

The Sub Award file, combined with the Award file, allows for the tracking of sub awards and their involvement with the funded awards that are reported in the Award file. This is integral to the matching process and allows IRIS to provide the detailed reports that are generated with the inclusion of several other external data sets. Additionally, this data allows IRIS to track sub award participation between different institutions.

An example of sample data for the included fields is shown below.

Sample Sub-Award entries:

Period Start Date	Period End Date	Unique Award Number	Recipient Account Number	Object Code or Other Expense Category	Organization / Vendor ID	Sub Award EIN	Sub Award DUNS number	Sub Award Payment Amount		
2009-10-01	2009-10-01	28.124 FSI1232	FS111222555	B3848.001		123456789	12-345-6789	1222.31		
	2009-10-31	47.000 5544111	FS111222444	38279		98765432	15-798-5976	89467.35		
	2009-10-31	00.000 1246581	FS111222333	1983.055	GT598S	564978123	49-813-7958	248.16		
Org or Institution Name	Org or Institution PO Box	Org or Institution Building Number	Org or Institution Street Number	Org or Institution Street Name	Org or Institution Address	Org or Institution City	Org or Institution State	Org or Institution Zip Code - Domestic	Org or Institution Zip Code - Foreign	Org or Institution Country
FISCHER SCIENTIFIC	PO Box 4	12343	1234B	Main Street	1235 Main Street	Pittsburgh	PA	76442	04000	US
123 Computers				49 Featherstone Street	49 Featherstone Street	London			RM1 1AA	GB
Kwik-E-Mart					1235 Main Street	Springfield	OR	76442-4321		US

Every sub award recipient that is specified in the Award file should have an entry in the Sub Award file. A sub awardee could be listed for one or more awards or multiple entries for a single award if there is some distinction that necessitates separating the payment amounts. Sub Award information should be reported at the finest level of granularity possible, down to individual transactions with single dates. Ideally, the data should not be summed and should be single transactions but, if the data is aggregated they should be aggregated to **no more than monthly level**.

Why is this important?

The sub award information is crucial for analysis and reporting on the effectiveness of research investments and to provide economic analysis of the impact of research dollars being spent in the local, regional, and state levels.

Field 1: Period Start Date**Field Submission Name:** PeriodStartDate

Field Purpose: This field provides the means to track, compare, and provide analysis of transactional data for given awards. It allows IRIS to define start and end dates for reporting purposes and, if the data provided is at the transactional level (not summed or rolled up in any way) it allows for the most accurate analysis possible.

Code/Format: YEAR, MONTH, DAY (YYYY-MM-DD)**Type:** Date**Examples:** 2014-02-25
2015-10-30

December 2, 2014 = 2014-12-02

All dates must appear in the following manner: DD must be the number of a day between 01 and 31. YYYY represents the year. Each MM must be one of the following:

01 January	07 July
02 February	08 August
03 March	09 September
04 April	10 October
05 May	11 November
06 June	12 December

Dependencies with other fields: None

Definition: Invoice date of the transaction being reported OR if records are aggregated monthly the first day of the reported monthly period. Ideally, every entry in the Vendor file should represent a single transaction that took place for a given award. Typically these transactions will have the same period start date AND period end date since transactions usually occur at time of payment. IRIS recommends that you do not roll up or sum transactions in any way. Individual transactions are better than any summed (e.g. monthly roll up) transactions.

Field 2: Period End Date**Field Submission Name:** PeriodEndDate

Field Purpose: This field provides the means to track, compare, and provide analysis of transactional data for given awards. It allows IRIS to define start and end dates for reporting purposes and, if the data provided is at the transactional level (not summed or rolled up in any way) it allows for the most accurate analysis possible.

Code/Format: YEAR, MONTH, DAY (YYYY-MM-DD)**Type:** Date**Examples:** 2014-02-25
2015-10-30

December 2, 2014 = 2014-12-02

All dates must appear in the following manner: DD must be the number of a day between 01 and 31. YYYY represents the year. Each MM must be one of the following:

01 January	07 July
02 February	08 August
03 March	09 September
04 April	10 October
05 May	11 November
06 June	12 December

Dependencies with other fields: None

Definition: Invoice date of the transaction being reported OR if records are aggregated monthly the first day of the reported monthly period. Ideally, every entry in the Vendor file should represent a single transaction that took place for a given award. Typically these transactions will have the same period start date AND period end date since transactions usually occur at time of payment. IRIS recommends that you do not roll up or sum transactions in any way. Individual transactions are better than any summed (e.g. monthly roll up) transactions.

Field 3: Unique Award Number**Field Submission Name:** UniqueAwardNumber**Field Purpose:** Where is the money for this award originating? What organization is providing the funding? The CFDA code or a STAR OFS code and award ID should go in this field.**Code/Format:** Text field using any characters.**Length:** 100 Characters**Type:** String**Examples:** 28.124 FSJ1232
47.000 5544111
00.000 1246581
00.200 State Award 1
12.345 0
47.000 0**Dependencies with other fields:** None**Definition:****IMPORTANT: This field should have a matching entry in the Award data file.**

Identifier specifying an award and its funding source, as defined by concatenating the 6-position funding source code—either the CFDA code or a STAR Other Funding Source (OFS) code—with an award identifier—either the federal award ID from the awarding Federal Agency (such as the federal grant number, federal contract number, or the federal loan number) or an internal award ID for non-federal awards—with a space in between the two numbers. The CFDA or OFS code should be associated with the primary sponsor even if the award is a subcontract and the direct sponsor name is included in the funding source field.

In the event that a particular award does not have an official CFDA code, IRIS recommends the use of STAR OFS (Other Funding Sources) codes rather than leaving the field blank.

Please review Appendix A: STAR OFS Codes at the end of this document. Also, the OFS codes can be downloaded from the IRIS technical documentation webpage at the official IRIS website.

Field 4: Recipient Account Number**Field Submission Name:** RecipientAccountNumber**Field Purpose:** This field is used for institutional internal accounting number. This is typically different from the Unique Award Number (Field 4).**Code/Format:** Text field using any characters.**Type:** String**Length:** 50 Characters**Examples:** FS111222555
1234567890**Dependencies with other fields:** None**Definition:** Contributor Institution's internal number for the award. If there is not a separate account number that is used internally it is recommended that the Unique Award Number (Field 4) be copied into this field as well.

Field 5: Object Code or Other Expense Category**Field Submission Name:** ObjectCode**Field Purpose:** Along with the job title it allows us to produce more fine grained information about types of expenditures.**Code/Format:** Text field using any characters.**Type:** String**Length:** 50 Characters**Examples:** B3848.001**Dependencies with other fields:** ObjectCode in Object Codes file.**Definition:** Internal organization object code or other expense type category assigned to transaction. This field is the contributing university's resident object code used for accounting purposes. This is a purely internal categorical field and will vary from university to university. Any data submitted in this field should have a corresponding entry in the "Object Code" file that is submitted as an ancillary file and who's definitions can be found later in this manual.

Field 6: Sub Award ID**Field Submission Name:** OrganizationID**Field Purpose:** This field is helpful for tracking organizations at an institution and reporting on organizations across different awards.**Code/Format:** Text field using any characters.**Type:** String**Length:** 50 Characters**Examples:** BB48566

1233955-8912

660587119.CAM

Dependencies with other fields: None**Definition:** Internal identifier specifying the organization or institution of the sub awardee organization. This is the identification number that is assigned to a sub awardee or organization by the reporting institution. There is no naming convention for this data element so any combination of characters and numbers that represents your institution's id for the organization is acceptable.

Field 7: Sub Award EIN**Field Submission Name:** EIN**Field Purpose:** EIN helps matching organizations to external datasets and across institutions allowing for more robust reporting.**Code/Format:** Text field using any characters.**Type:** String**Length:** 10 Characters**Examples:** 123456789

112233445

987654321

Dependencies with other fields: None**Definition:** The Sub Awardee's 9 digit EIN number. This is the government issued EIN that most businesses should have assigned to them. Each EIN should be unique to the organization. If no EIN is available then this field should be left blank.

Field 8: Sub Award DUNS number**Field Submission Name:** DUNS**Field Purpose:** Allows for better matching to external data sets to external data by connecting DUNS numbers between data sets.**Code/Format:** Text field using any characters.**Type:** String**Length:** 15 Characters**Examples:** 12-345-6789

19-587-6892

22-641-9731

Dependencies with other fields: None**Definition:** The Sub Awardee's DUNS number. The DUNS (Dun and Bradstreet) number is not available for every organization or sub awardee so this field is not required. If you do have a DUNS number for an organization or sub awardee please provide it in this field.

Field 9: Sub Award Payment Amount**Field Submission Name:** SubAwardPaymentAmount**Field Purpose:** Allows for reporting on the total dollar amount paid to a sub awardee or organization related to the specified award.**Code/Format:** Text field using any characters.**Type:** Number**Length:** N/A**Examples:** 15975.45

487296.57

234.96

Dependencies with other fields: None**Definition:** The funds charged to the award by the sub awardee in the specified period. This is a monetary value field of any size, although if you have awards greater than one hundred trillion dollars you should contact us. Do not include commas in the dollar value but always include any of the decimal values (cents). As discussed in the period start date and period end date fields it is important to leave this data at the transactional level if possible. Do not sum or roll up the data in any way if it is not necessary. The dollar amounts reported should be for a single transaction related to the associated award.

Field 10: Org or Institution Name**Field Submission Name:** OrgName**Field Purpose:** Allows for matching and tracking of sub awardee or organizations across awards, institutions, and external data sets.**Code/Format:** Text field using any characters.**Type:** String**Length:** 200 Characters**Examples:** Acme Rockets

LexCorp

Xavier's School for Gifted Children

Dependencies with other fields: None**Definition:** Name of the sub awardee or vendor organization.

Field 11: Org or Institution PO Box**Field Submission Name:** POBox**Field Purpose:** Helps to identify the location or address of the sub awardee or organization.**Code/Format:** Text field using any characters.**Type:** String**Length:** 20 Characters**Examples:** 145
10
243**Dependencies with other fields:** None**Definition:** PO Box number of sub awardee or organization. It is not necessary to include the term “PO” or “PO Box” followed by the number. Any value entered into this field is assumed to be a PO box number.

Field 12: Org or Institution Building Number

Field Submission Name: BldgNum

Field Purpose: Helps to identify the location or address of the sub awardee or organization.

Code/Format: Text field using any characters.

Type: String

Length: 20 Characters

Examples: 1234B
44558
1122

Dependencies with other fields: None

Definition: Building number of sub awardee or organization.

Field 13: Org or Institution Street Number

Field Submission Name: SrtNumber

Field Purpose: Helps to identify the location or address of the sub awardee or organization.

Code/Format: Text field using any characters.

Type: String

Length: 20 Characters

Examples: 1234B
44558
1122

Dependencies with other fields: None

Definition: Street number of institution.

Field 14: Org or Institution Street Name**Field Submission Name:** SrtName**Field Purpose:** Helps to identify the location or address of the sub awardee or organization.**Code/Format:** Text field using any characters.**Type:** String**Length:** 100 Characters**Examples:** Main Street
Packard Ave
Miller Road**Dependencies with other fields:** None**Definition:** Street name of institution. This is the street name without any additional address information (e.g. building number, PO Box, etc).

Field 15: Org or Institution Address**Field Submission Name:** Address**Field Purpose:** Helps to identify the location or address of the sub awardee or organization.**Code/Format:** Text field using any characters.**Type:** String**Length:** 120 Characters**Examples:** 1234 Main Street
608 Packard Street
94 Miller Road**Dependencies with other fields:** None

Definition: Sub awardee or Organization address metadata (alternative to splitting the PO Box, Building Number, Street Number and Street Name into separate columns). This is the combined address made up of the PO Box, Building Number, Street Number, and Street Name. We recommend providing each of those values in their separate data fields but if that is too difficult or if you can concatenate them together you can report the full address here (less the city, state, and zip). Ideally, IRIS would like the individual address components entered into their respective fields (e.g. PO Box in its own field, Street Name in its own field) but it is acceptable to provide the full street address here. Additionally, if you do provide the address components in their designated fields you are still encouraged to concatenate them together and provide them here as well.

Field 16: Org or Institution City

Field Submission Name: City

Field Purpose: Helps to identify the location or address of the sub awardee or organization.

Code/Format: Text field using any characters.

Type: String

Length: 50 Characters

Examples: Ann Arbor
New York City
Hermosillo

Dependencies with other fields: None

Definition: City of the sub awardee or vendor organization.

Field 17: Org or Institution State**Field Submission Name:** State**Field Purpose:** Helps to identify the location or address of the sub awardee or organization.**Code/Format:** Text field using any characters.**Type:** String**Length:** 2 Characters**Examples:** MI
PA
OH**Dependencies with other fields:** None**Definition:** State of sub awardee or vendor organization. This is the two letter state used by United State post office.

Field 18: Org or Institution Zip Code - Domestic**Field Submission Name:** ZipCodeD**Field Purpose:** Helps to identify the location or address of the sub awardee or organization.**Code/Format:** Text field using any characters.**Type:** String**Length:** 10 Characters**Examples:** 48130

48130-5489

49916-5741

Dependencies with other fields: None**Definition:** US Zip Code of sub awardee or vendor organization. You can use the shorter five digit zip code, or the full zip+4 code.

Field 19: Org or Institution Zip Code – Foreign

Field Submission Name: ZipCodeF

Field Purpose: Helps to identify the location or address of the sub awardee or organization.

Code/Format: Text field using any characters.

Type: String

Length: 20 Characters

Examples: CAD128554
122584698
188459672

Dependencies with other fields: None

Definition: Foreign Zip Code of sub awardee or vendor organization.

Field 20: Org or Institution Country**Field Submission Name:** County**Field Purpose:** Helps to identify the location or address of the sub awardee or organization.**Code/Format:** Text field using any characters.**Type:** String**Length:** 2 Characters**Examples:** US
CA
MX**Dependencies with other fields:** None**Definition:** Country of sub-recipient or sub awardee organization. This is the two digit code for a country. For example, US – United States, CA – Canada, MX – Mexico. The size of the field will accommodate larger country codes but the dataset should be limited to two letter country codes.

The two letter country codes can be found here:

<http://www.worldatlas.com/aatlas/ctycodes.htm>

The A2 column of country codes is what should be used.

File description: Object Code

This data file is used to build an identification table of all the submitted objects so they can be matched up with submitted information in each of the UMETRICS data files (Award, Sub-Award, Vendor, and Employee).

An example of sample data for the included fields is shown below.

Sample employee entries:

Object Code	Object Code Description
A44893	Zombie Neutralization Initiative
B495.98	FTL Drive Prototype 3

The data file should contain every object code that has values in any of the primary data files (Award, Sub Award, Vendor, and Employee).

Why is this important?

This information will help IRIS perform analysis and reporting based on how the data is categorized by object code.

Field 1: Object Code**Field Submission Name:** ObjectCode**Field Purpose:** Provides a match to the Object Code field in the Award, Sub-Award, and Vendor files.**Code/Format:** Text field using any characters.**Type:** String**Length:** 50 Characters**Examples:** B3848.001

A5584

Dependencies with other fields: None

Definition: Internal organization object code or other expense type category assigned to transaction. This field is the contributing university's resident object code used for accounting purposes. This is a purely internal categorical field and will vary from university to university. This field should also have a matching "Object Code Definition" as defined on the next page.

Field 2: Object Code Description**Field Submission Name:** ObjectCodeText**Field Purpose:** Describes what the Object Code is that is being used in the Award, Sub-Award, and Vendor files.**Code/Format:** Text field using any characters.**Type:** String**Length:** 200 Characters**Examples:** Large infrastructure project
Moon Destroying Super Laser
Genetically Engineered Velociraptor Project**Dependencies with other fields:** None**Definition:** Text that describes the submitted Object Codes found in the Award, Sub-Award, and Vendor files. Every Object Code submitted should have a corresponding description included here.

File description: Organization Unit

This data file is used to build an identification table of all the submitted Organizational codes (Campus ID and Sub Organizational Unit) so they can be matched up with submitted information in each of the UMETRICS data files (Award, Sub-Award, Vendor, and Employee).

An example of sample data for the included fields is shown below.

Sample employee entries:

Campus ID	Sub Organizational Unit	Campus Name	Sub Organizational Unit Name
11	15	University of Minnesota - Duluth Campus	School of Arts and Sciences
UMA	SNR	University of Michigan - Ann Arbor	School of Natural Resources
M	12	University X - Main Campus	College of Physical Sciences

The data file should contain every campus and every sub organizational unit on those campuses that have values in any of the primary data files (Award, Sub Award, Vendor, and Employee). You could have many entries for each campus if there are many sub organizational units present on those campuses.

Why is this important?

This information will help IRIS perform analysis and reporting based on buckets of data organized around campuses and the schools or colleges within those campuses.

Field 1: Campus ID**Field Submission Name:** CampusId**Field Purpose:** Provides refinement of reported data allowing IRIS to provide reports based on specific campuses for a given University. This is particularly important for University Systems that have many different campuses all under a single university umbrella.**Code/Format:** No required format**Type:** String**Length:** 30 Characters**Examples:** 11

UMF

UMA

UMD

Dependencies with other fields: None**Definition:** Campus to which each award is assigned. Campus ID should be defined in the ancillary file, 'Organization Unit.' For example, if the Campus ID is 11 it is expected that a matching Campus ID of 11 will be found in the 'Organization Unit' file complete with a matching Campus Name.

Field 2: Sub Organizational Unit**Field Submission Name:** SubOrgUnit

Field Purpose: Provides refinement of reported data allowing IRIS to provide reports based on specific sub organizational units within a given University. This is particularly important for if contributing universities would like to examine research investments for specific sub units of a university (e.g. within the college of natural sciences).

Code/Format: No required format

Type: String

Length: 30 Characters

Examples: 15

CPS

CWL

Dependencies with other fields: SubOrgUnitName in Organization Unit file.

Definition: Sub organizational unit of the university campus to which each project is assigned. This unit should be at the college level, not at the level of individual departments. SubOrgUnit should be defined in the ancillary file, 'Organization Unit.' For example, if the SubOrgUnit is 15 it is expected that a matching SubOrgUnit of 15 will be found in the 'Organization Unit' file complete with a matching SubOrgUnitName.

Field 3: Campus Name**Field Submission Name:** CampusName**Field Purpose:** Describes the campus that is referenced in Campus ID code found in the other data files.**Code/Format:** Text field using any characters.**Type:** String**Length:** 200 Characters**Examples:** University of Minnesota - Duluth Campus
University of Michigan – Ann Arbor Campus
University of Michigan – Dearborn Campus**Dependencies with other fields:** None**Definition:** The name of the campus that is referenced in the CampusID.

Field 4: Sub Organizational Unit Name**Field Submission Name:** SubOrgUnitName**Field Purpose:** Describes the Sub Organizational Unit Name that is referenced in the SubOrgUnit that is found in the other data files (Award, Sub-Award, Employee, and Vendor).**Code/Format:** Text field using any characters.**Type:** String**Length:** 200 Characters**Examples:** School of Arts and Sciences
School of Physical Sciences
College of Natural Sciences**Dependencies with other fields:** None**Definition:** This is the text description of the sub organizational unit within the reporting institution.

Appendix A: STAR OFS (Other Funding Sources) Codes

Use these codes in place of an official CFDA code if no CFDA code is available for a given award, vendor, or sub-award.

Funding Source	Other Funding Source (OFS) Code	Notes
Unknown or Generic Non-Federal	00.000	
Federal - Other	00.070	Agencies or federal contracts that do not have CFDA numbers (e.g. CIA)
Institutional Investment	00.100	
State Funding - Home State	00.200	Funding from the state in which the university resides
State Funding - Nonresident State	00.300	Funding from states other than those in which institution resides
<i>Specific Nonresident State</i>	00.3xx	See separate worksheet below for state-specific codes (xx is the FIPS state numeric code)
Local Funding (City/County)	00.400	
Business/For Profit	00.500	Industrial/Commercial
Nonprofit	00.600	Nonprofit funding (e.g. American Heart Association, Lung Association, etc.); use a subcategory, if desired, to be more specific
Philanthropic	00.610	Money given by an individual or corporation that sits in a University Foundation account and is expended to conduct research
Public Foundations	00.620	
Private Foundations	00.630	Funding that is given by such entities as the Annenberg Foundation
Private Associations	00.640	Examples are American Fertility Society, American College of Radiology
Hospital / Medical Centers	00.700	
Universities / Colleges	00.800	Any awards coming from universities and colleges including flow-through funding.
Foreign	00.900	Non-specific foreign funding
Foreign Government	00.910	
Foreign Non-Government	00.920	

State Specific OFS Codes

State	OFS Code	FIPS State Numeric Code	FIPS State Alpha Code
Alabama	00.301	01	AL
Alaska	00.302	02	AK
Arizona	00.304	04	AZ
Arkansas	00.305	05	AR
California	00.306	06	CA
Colorado	00.308	08	CO
Connecticut	00.309	09	CT
Delaware	00.310	10	DE
District of Columbia	00.311	11	DC
Florida	00.312	12	FL
Georgia	00.313	13	GA
Hawaii	00.315	15	HI
Idaho	00.316	16	ID
Illinois	00.317	17	IL
Indiana	00.318	18	IN
Iowa	00.319	19	IA
Kansas	00.320	20	KS
Kentucky	00.321	21	KY
Louisiana	00.322	22	LA
Maine	00.323	23	ME
Maryland	00.324	24	MD
Massachusetts	00.325	25	MA
Michigan	00.326	26	MI
Minnesota	00.327	27	MN
Mississippi	00.328	28	MS
Missouri	00.329	29	MO
Montana	00.330	30	MT
Nebraska	00.331	31	NE
Nevada	00.332	32	NV
New Hampshire	00.333	33	NH
New Jersey	00.334	34	NJ
New Mexico	00.335	35	NM
New York	00.336	36	NY
North Carolina	00.337	37	NC
North Dakota	00.338	38	ND
Ohio	00.339	39	OH
Oklahoma	00.340	40	OK
Oregon	00.341	41	OR

Pennsylvania	00.342	42	PA
State	OFS Code	FIPS State Numeric Code	FIPS State Alpha Code
Rhode Island	00.344	44	RI
South Carolina	00.345	45	SC
South Dakota	00.346	46	SD
Tennessee	00.347	47	TN
Texas	00.348	48	TX
Utah	00.349	49	UT
Vermont	00.350	50	VT
Virginia	00.351	51	VA
Washington	00.353	53	WA
West Virginia	00.354	54	WV
Wisconsin	00.355	55	WI
Wyoming	00.356	56	WY

Appendix B: STAR METRICS Job Classifications

Job Classification Guidelines

Following each of the eight STAR METRICS® job classification categories listed below are guidance for placement of individuals into that category and examples of university employee classifications that are appropriate for the category.

Technician/Staff Scientist

All personnel who did not fit in another defined category and who are contributing to a research project (i.e., involved in supporting/generating or analyzing data)

- All technical staff including animal technicians, machinists, mechanics
- Engineers, statisticians, machinists, mechanics(non--faculty)
- Research associates/scientists
- All non--faculty PhD/MS/BS scientists (employees, not post--graduate trainees or students)
- IT staff working directly on the project
- High school students
- Lab managers

Faculty

All individuals holding an academic professorial rank

- Tenure/tenure track
- Clinical
- Research
- Visiting professors
- Adjunct professors
- Librarians
- Academic specialists

Research Analyst/Coordinator

This category is for individuals involved in large--scale clinical trials/studies who serve as analysts/managers/coordinators/facilitators.

- Research analysts
- Study coordinators
- IACUC coordinators
- Clinical coordinator
- Clinical specialist
- Research specialist
- Lab coordinator

Post Graduate Research

All individuals holding terminal degrees (PhD, MD) who are in temporary training status

- Postdoctoral
- Medical residents/interns/fellows
- Clinical fellowships
- Nutritionists

Undergraduate Students

Students earning baccalaureate/other degrees including fulltime, part time, summer research assistants, work study.

Graduate Students

Students earning advanced degrees

- Graduate students (part time, full time)
- Medical /dental /nursing /students

Clinicians

All non--faculty health care professionals

- Nurses(non--faculty)
- Dieticians(non--faculty)
- Medical technicians
- Nutritionists
- Social workers
- Physical therapists
- Clinical psychologists
- Dental hygienist

Research Support

Individuals in this category should be examined closely, as most administrative research support is funded through university cost recovery (institutional support/ indirect costs). However, there are instances where business / media / marketing / administrative personnel are legitimate / required costs, usually associated with large scale center--level projects.

- operation managers/managing directors
- regulatory staff
- appropriate administrative/clerical staff
- outpatient support