Data to understand, explain and improve the public value of research and higher education
Welcome!

We are delighted to welcome your institution as a member of the Institute for Research on Innovation and Science! IRIS is a national source of credible data and rigorous findings about the productivity and public value of higher education and research. For more information, please visit our website: iris.isr.umich.edu.

This new member handbook is intended to help your institution think through common questions and issues about IRIS membership. It also identifies the appropriate people at IRIS to contact for assistance on these topics.

To make the most of your IRIS membership, we strongly recommend designating a champion on your campus who can bring the right people together and who will also disseminate the reports you will receive from IRIS to the appropriate units. To get started, that person should identify and convene key stakeholders who are responsible for the relevant datasets. IRIS staff will schedule a conference call with this group to discuss process and technical questions in preparation for the first data submission.

This handbook is meant to address topics that come up with some regularity for new IRIS members. If you have questions we haven’t yet considered, please reach out to us at IRIS-info@umich.edu.

Contents

Cost and details of membership .......................................................................................................................... 3
Data transmission to IRIS ................................................................................................................................. 3
IRIS reports and products ................................................................................................................................. 4
Access to the IRIS dataset ................................................................................................................................. 6
Questions about FOIA ........................................................................................................................................ 8
Questions about FERPA ................................................................................................................................. 8
Protection of data privacy and confidentiality ................................................................................................. 8
Data security at IRIS .......................................................................................................................................... 9
Governance and member participation ........................................................................................................... 11
The IRIS Team (partial list) ............................................................................................................................ 11
Sample Internal Announcement on IRIS Membership ................................................................................ 12
Sample External Press Release on IRIS Membership .................................................................................... 13

Approximately 100 people attended the 2019 IRIS Summit in Ann Arbor, MI.
Cost and details of membership

Membership for a single institution (or for a university system that provides a single data stream) is $25,000 per year. This fee covers the infrastructure costs at IRIS, which include staff salaries, new data product development, computer software and hardware, overhead, and the like.

Please note: A significant benefit of IRIS membership is that researchers on your campus will have free access to the de-identified IRIS dataset that is released each year for research, a value of $1,250 per person per year. For more information about research using IRIS data, see iris.isr.umich.edu/research-data/. For details about how to access the data, visit iris.isr.umich.edu/research-data/access/. See the figure below for an outline of data flow from members to users.

As part of this orientation material, we have included an announcement meant for internal campus audiences to bring the availability of IRIS data to the attention of relevant researchers. Our hope is that this would be distributed to appropriate departments on your campus.

The membership period is August – July, so if your institution signs an IRIS Member Agreement after August, we prorate the fees for the first year as described in the Agreement. The following August, your institution will be billed for the coming year. Each contract thus covers the first, prorated year, plus three additional years and is renewable.

Once you have reviewed the Agreement with your Office of General Counsel (or the appropriate legal/contract representative on your campus), send your signed or redlined Agreement to Nancy Calvin-Naylor (nbirk@umich.edu) and Karen Woollams (woollams@umich.edu).

Once the Agreement has been submitted to IRIS, the IRIS managing director will contact the person designated as the decision-maker to talk with you about getting started. We strongly recommend that a group of key stakeholders who are responsible for the relevant datasets be convened for an initial meeting. The managing director and technical director will schedule a call with your team to discuss process and technical questions in preparation for the initial submission of data.

When the Agreement is fully executed, your membership period will begin, and we will initiate the process by sending an invoice to the person you designate to handle payment.

Data transmission to IRIS

The task of compiling and transmitting administrative data from your HR, procurement, and research systems may feel daunting. Some institutions have systems operating on very different platforms and are challenged at the thought of integrating disparate data sets, while others express concern about having to commit significant resources to compiling data.

At IRIS, we have worked with institutions that are quite diverse in how they manage data and we will walk through all of these issues with your data point of contact. Our technical director, Kevin Bjorne (kbjorne@umich.edu), has an outstanding record of helping institutions manage this process effectively. Kevin estimates the initial data transmission may take about 40 hours of institutional effort, and considerably less time for subsequent data transmissions. For institutions that participated in the federal STARMETRICS program this time can be much reduced by adapting existing scripts, as IRIS data are based on STARMETRICS data formats. Please contact us at IRIS-info@umich.edu to schedule an individual phone call or conference call to review the process if you have not done so already.
IRIS reports and products

IRIS will provide reports on several aspects of your institution’s research enterprise, including vendor spending and economic development, and the career paths of research-funded employees. The underlying data of these reports are also easily accessed by member institutions. Most reports include benchmarking information on peer institutions.

The uses of IRIS reports and data depend to a great extent on the internal and external priorities of your institution. With each report, IRIS supplies a press release template meant to help you disseminate the information to relevant audiences. Some reports are geared toward specific groups of decision-makers or stakeholders such as congressional delegations.

Many IRIS members have found it useful to empower a team that meets regularly to manage its relationship with IRIS and to deploy IRIS products. Here are some examples from organizations that have benefited from IRIS data:

**Internal uses**
- Acquire better understanding of suborganizational units, e.g., schools, colleges, institutes, etc.
- Generate knowledge of how research funds are expended, e.g., what staff, what equipment, which vendors
- Understand movement of faculty, staff, and students supported by research funds and the networks they form, etc.
- Generate analytic decision-making tools for research management, e.g., growth areas, start-up resource requirements, staffing needs, graduate student program development, etc.

**External uses**
- Tools for conversations with external stakeholders, e.g., legislators, boards of regents, donors, public, etc.
- Institutional promotion for development, recruitment, student admissions
- Benchmarking institutional growth and development

Working with your university’s government relations office is often an excellent approach. Liaison with unit and institutional development officers is also useful, and your public relations office and speechwriters will want to have access to information to include in talks, institutional publications, press releases, and social media.

A gallery of use cases is available on the IRIS website at [http://myumi.ch/qgZ71](http://myumi.ch/qgZ71).

IRIS will email members new reports as they come out; all reports are available via the IRIS web portal at [https://irisweb.isr.umich.edu/](https://irisweb.isr.umich.edu/). Reports can be shared via a web link or a downloadable PDF. The underlying data is available to download through the portal. IRIS staff is also available to provide an overview of the reports through a conference call with stakeholders on your campus. Below is a summary of our reports, and examples of some of the visualizations can be found on the opposite page.

**Spending Report**
The Spending Report focuses on federal research spending for each institution. It shows the individuals paid on research funds, the funders that provided the support, and the national and regional distributions of research expenditures to vendors and subawardees. It also features maps showing spending by state and by congressional district.

**Vendor Profile Report**
Linking member institutions’ data to the Orbis dataset of businesses from Bureau Van Dijk, this report gives details on the companies that provide goods and services in support of sponsored research projects. The report shows which geographic areas and industries benefit the most from research-related contracts, and provides details about vendors such as number of employees, average wages, and whether they are owned by women or minorities.

**Employee Profile Report**
Using Census-linked data, this report presents information about the employment and earnings of research-trained employees, allowing institutions to track the flow of people into the economy. It provides top state destinations for research-trained employees who leave member institutions to take jobs elsewhere, as well as details about the employment sectors in which they find work, and subsequent earnings.
The Spending Report breaks down employment on sponsored research projects broken down by job classifications. The report also displays regional and national distribution of vendor and subawardee expenditures (not shown). This image shows data from a fictional "IRIS University."

The Vendor Profile Report provides detailed information on the businesses that provide goods and services for university research projects, such as industry sector and total amount received from member universities. The report also illustrates the geographical distribution of vendor spending across the country (not shown).

The Employee Report shows the industry sector and average earnings of research-trained employees after they leave member institutions. The report also displays the geographic destination of such employees (not shown).
Government Relations Reports
Several IRIS reports are geared toward government relations, summarizing research impact by state, legislative district, or congressional district. Images of some examples can be found on the opposite page.

Research Spending Fact Sheet
This report provides a quick overview of member institutions’ research spending, including top funding agencies, percentage of students on federal awards, portion of research-trained employees that stay in-state after leaving a university, and research vendor spending broken down by congressional district.

State Legislative Fact Sheet
This report shows research spending and impact broken down by state legislative district for the last fiscal year, as well as the past five fiscal years combined.

Congressional District Fact Sheet
For any congressional district in the country in which your university had contracts or subcontracts for research-related goods and services, this report details that spending. It also shows the number of university employees and students in each district.

Access to the IRIS dataset
One of the main benefits of IRIS membership is free access to the IRIS dataset for anyone at your institution.

The dataset contains deidentified data on approximately 480,000 funded research awards; $107 billion in award spending; wages to about 790,000 employees, and payments to about 880,000 vendors.

Researchers in economics, sociology, complex systems, industrial and operations engineering and many other domains have found the dataset to be useful in producing dozens of published, peer-reviewed papers and 3 books. Some of the research topics investigated using the data include:

- Exploring the relationship between research outputs (patents, publications, startups established) and funding sources, specifically the differences in private sector funding of academic research
- The role of collaboration networks in science productivity
- The degree to which team structure and ethnic diversity influence scientific productivity
- Economic outcomes for people who conduct interdisciplinary research in STEM

The data are also available for non-research uses such as program evaluation.

The data are accessed through our Virtual Data Enclave (VDE), which is available from any computer on your campus. Data users must fill out a short Data Application Access Form — an online version is available at https://irisweb.isr.umich.edu/researcher/.

Researcher data users are asked to provide a list of collaborators and co-applicants; a description of the research be done; the scientific benefit expected from the research; a description of any additional data that will be used; and an IRB approval if applicable.

Access to the IRIS dataset is also available to those with Census Bureau Special Sworn Status through the Federal Statistical Research Data Center system (FSRDC). For more information, visit https://www.census.gov/fsrdc.
The Impact of Research-Related Spending and Higher Education
California’s 21st Congressional District

4 community colleges and universities

3,487 higher education faculty and staff

7,302 undergraduate students

$69,704,42 spending on research-related goods and services, 2016 - 2020

54 businesses receiving research-related contracts or subcontracts, including:
- 4 small businesses
- 1 minority-owned business
- 3 woman-owned businesses

The Congressional District Detail Report provides information on a variety of higher education and research impacts by congressional district.

Top Industries Receiving Federal Research-Related Spending

<table>
<thead>
<tr>
<th>Industry</th>
<th>Total District Employment</th>
<th>Spending</th>
</tr>
</thead>
<tbody>
<tr>
<td>Health Care and Social Assistance</td>
<td>24,459</td>
<td>$34,529,04</td>
</tr>
<tr>
<td>Other Services (except Public Administration)</td>
<td>7,218</td>
<td>$7,129,45</td>
</tr>
<tr>
<td>Transportation and Warehousing</td>
<td>6,815</td>
<td>$18,432,76</td>
</tr>
<tr>
<td>Public Administration</td>
<td>Not Available</td>
<td>$147,840,59</td>
</tr>
<tr>
<td>Administrative and Support and Waste Management and Remediation Services</td>
<td>10,277</td>
<td>$119,209,29</td>
</tr>
</tbody>
</table>

The Congressional Fact Sheet shows research spending by congressional district and top federal research agencies by employment...

Top 5 Federal Research Funding Agencies, by Employment

<table>
<thead>
<tr>
<th>Agency</th>
<th>Employees</th>
<th>% students</th>
</tr>
</thead>
<tbody>
<tr>
<td>National Institutes of Health</td>
<td>8,024</td>
<td>23%</td>
</tr>
<tr>
<td>National Science Foundation</td>
<td>2,856</td>
<td>36%</td>
</tr>
<tr>
<td>Department of Defense</td>
<td>1,313</td>
<td>35%</td>
</tr>
<tr>
<td>Department of Energy</td>
<td>646</td>
<td>46%</td>
</tr>
<tr>
<td>Centers for Medicare and Medicaid Services</td>
<td>384</td>
<td>28%</td>
</tr>
</tbody>
</table>
Questions about FOIA

Private institutions often have concerns about FOIA. In 1994, the State of Michigan passed the Confidential Research and Investment Information Act (CRIIA) to protect confidential research, intellectual property, and trade secret records maintained by any public university or college in Michigan. Under CRIIA, data provided to a public university in Michigan by a private external source may be withheld from disclosure if all the following conditions are met:

(a) The information is used exclusively for research, testing, evaluation, and related activities;
(b) The information is designated as confidential by the external source before or at the time it is received;
(c) The University has entered into an authorized agreement to keep the information confidential; and
(d) A document containing a general description of the information to be received under the confidentiality agreement, the term of the agreement, the name of the external entity with whom the agreement was made, and a general description of the nature of the intended use for the information, is recorded by the University within 20 regular working days after it is received.

The University of Michigan's General Counsel and FOIA Office have determined that your data submission meets the requirements for an exception to FOIA requests under CRIIA. Our Agreement specifies that all FOIA requests will be reviewed accordant to any applicable FOIA exceptions, including, to the extent the institution depositing data with IRIS is a private entity and the materials have been clearly designated as confidential, the Confidential Research and Investment Information Act (CRIIA).

Questions about FERPA

Universities often ask us about FERPA. We leave the determination of whether your data are protected by FERPA up to you and your Office of General Counsel. If you decide your data are protected by FERPA, IRIS will protect them as outlined in the Member Agreement, consistent with FERPA requirements under the study exception.

Protection of data privacy and confidentiality

IRIS is committed to the responsible use of restricted data. We do not share your identifiable data with anyone other than our partner, the Census Bureau, and IRIS Nodes (see IRIS Member Agreement for more details).

Once your data are sent to the Census Bureau and matches with their datasets have been made, results generated from matched data are rigorously screened by the Census Bureau in a process called “disclosure proofing.” Disclosure proofing procedures are designed to prevent re-identification of an individual or organization from the reports you receive. Disclosure proofing of results from analyses of restricted Census data is required by federal law. Some specific details of the disclosure proofing process are also protected by law and cannot be shared. With that said, the disclosure process influences the reports you receive in several ways.

1. **Individual Data.** Information on individual employees can only be released if it is based on a sufficient number of cases to insure that no single person can be identified in the data. Low match rates combined with fine categories in some panels of your reports mean data points cannot be disclosed.

2. **Vendor and Subaward Data.** Information on business establishments can only be released when it is based on a large enough number of establishments and when the concentration rate is low. In the kinds of spending data we report, a concentration rate would be high if a small number of vendors accounted for a large percentage of spending in a particular category. Hypothetically, if your institution has a contract with an airline that means most travel expenses are charged to that vendor, then even if your employees use many airlines, we may not be able to disclose spending information because of high concentration rates. Spending in some NAICS codes cannot be reported because of these issues.

3. **Secondary Disclosure and Implicit Samples.** Effective disclosure proofing requires attention to the possibility that data in a single report, or data disclosed in more than one report can be used to infer information about individuals or organizations. For instance, if we were to issue an updated report that differed from the data in your prior reports by only one or two data points, comparing reports would allow you to identify information about those data points, compromising privacy and confidentiality.
We continue to work with our University partners and with the Census Bureau to produce the most detailed and valuable reports that conscientious attention to privacy and confidentiality concerns will allow.

Non-Census Partners
We follow the same privacy protection and confidentiality principles with our other data partners as we do with the Census Bureau. All data transmitted to partners are encrypted at the file level. Personally identifiable information is destroyed after the matching process is complete. Data are returned to IRIS at the individual record level and IRIS determines disclosure thresholds on these data in accordance with Census Bureau standards.

Data security at IRIS
IRIS has a robust data management and security plan. The IRIS data infrastructure is managed centrally from within the Institute for Social Research (ISR) at the University of Michigan. The ISR is the world’s largest academic social science survey and research organization. Established in 1949, ISR has a long history of gathering, managing, disseminating, and protecting valuable research data, including personally identifiable information.

The safeguarding and protections of data are based on a defense-in-depth architecture. Firewalls, secure remote application access platforms, and other boundary controls are implemented based on a risk-based approach that adheres to a least privilege access control model. Specific configuration controls are safeguarded on a strict “need-to-know” basis.

The IRIS client-server environment is protected from intrusions, malicious software, denial-of-service attacks, and insider misuse using a combination of administrative, physical, and technical controls. Access to server resources once inside the network is based on a role-based directory service architecture. Host-level security includes antivirus and malware protection software that is centrally managed to allow for rapid incident response. Access to all data storage and management systems is restricted to only 4 personnel.

All IRIS enterprise servers are located in separate, secured rooms with access limited to authorized administration staff. Server rooms are locked at all times with access restricted to only IT personnel utilizing electronic proximity access badges to gain entry. Licensed restricted-use dataset access is tightly controlled in accordance with security requirements. Access to the general systems is limited to IRIS employees. Visitors are accompanied by IRIS staff throughout their visit and not allowed access to the internal network.

In order to be a responsible trustee of contributed university data, the data are stored and accessed in a manner consistent with stakeholder concerns and follows evolving data management practices in the United States and within Data Management Association (DAMA International) standards, as well as relevant government regulations and laws (for example, the Family Educational Rights and Privacy Act, or FERPA).

A core aspect of IRIS is making de-identified data available for research purposes. There is a balance between protecting the privacy of stakeholders while also granting access to this information (all while abiding by legal guidelines). We use the four A’s to meet these requirements: authenticate the user’s source, understand what they’re authorized to do, create an account and audit their activities.

Authorization
In allowing access for researchers, IRIS weighs the merits of each research project and determines whether there is a valid need for access to the data. Each researcher has an approved area of focus and his/her permissions reflect defined, appropriate views of the data.
Access
Access to the full data repository is restricted to the participating NODE institutions, the Census Bureau, IRIS Technical Director, and ISR Data Security personnel. Access to the de-identified data set is restricted to qualified research individuals that have been vetted and approved through IRIS research data use application process. All individuals are required to sign affidavits of non-disclosure before gaining access to the data. User access will be revoked upon termination of employment or at the end of the approved research timeframe.

Access will be monitored to compile data about who is accessing information for compliance auditing, and to detect unusual or suspicious behavior. Confidential information will be more strictly monitored. The data are secured on site within the IRIS enclave at the ISR facility on the University of Michigan campus.

Authentication
Each member has been effectively verified as being who they say they are.

Audit
Auditors must be independent of the data and/or the process involved. In addition to any external auditors required, we will provide internal auditing to keep quality standards high. Responsibilities include reporting on the “State of Data Security,” by verifying that activities are in compliance with regulations, and comparing our procedures against best practices. Auditing is not a substitute for data security management; rather it is a support process that will occur regularly.

Destruction of Data Post-Project
Upon the date of expiration or termination of this Agreement, the parties mutually agree that Michigan shall, at Michigan's expense, remove any identifying elements from the Materials in Michigan's possession (the “De-identified Materials”). Michigan agrees to send a statement certifying the de-identification of the Materials to the Depositor within 30 days of their de-identification. Michigan agrees that no data from the Materials, or any parts thereof, except in the form of the De-identified Materials, shall be retained unless written authorization from Depositor for the retention of such files has been received and confirmed.

Let us know if you still have questions about data security. We're happy to share the IRIS Data Management Plan, the IRIS Business Continuity Plan, and the IRIS Incident Response Plan.
Governance and member participation

IRIS is governed by a Board of Directors elected by member institutions. The board oversees the management of the affairs, business, and activities of IRIS, and establishes policies and directives governing the business and programs of IRIS.

The 10-member Scientific Advisory Board provides recommendations on the scientific direction of IRIS, proposals for partnerships, and decisions related to data and data linkages.

The Policy and Outreach Committee was created in 2019 to, among other things, help streamline the membership process, offer guidance on marketing, generate best practices and uses cases for data, reporting and advocacy; expand communities of support among members; help translate new research findings for various IRIS stakeholders, and contribute to the planning of IRIS meetings.

The Technical Advisory Group recommends directions for technical aspects of IRIS, such as product development and the testing of new products and services.

Current membership of these bodies is posted at iris.isr.umich.edu/about/governance/.

If anyone at your institution is interested in serving on these boards or committees, please contact IRIS-info@umich.edu.

The IRIS Team (partial list)

Jason Owen-Smith
Executive Director
jdos@umich.edu
734-936-0463

Nancy Calvin-Naylor
Managing Director
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734-615-7464

Meg Weideman
Administrative Assistant
megdw@umich.edu
734-615-0015

Natsuko Nicholls
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734-763-0447

Amy Butchart
Lead Programmer
butchart@umich.edu
734-647-1729

For a complete list of IRIS staff, see iris.isr.umich.edu/about/our-team
Sample Announcement on IRIS Membership

Suggested for on-campus audiences potentially interested in accessing the IRIS dataset

Contact: Dan Meisler, IRIS Communications and Marketing Coordinator, 734-647-3587, dmeisler@umich.edu

University's membership in IRIS data consortium provides on-campus access to dataset on the value of sponsored research

The University has joined the Institute for Research on Innovation and Science (IRIS), a consortium of America's leading higher educational institutions focused on providing data to demonstrate the public value of sponsored scientific research.

The University's membership means that all researchers on campus will have no-cost access to the rich and detailed dataset IRIS has developed on the impact of funded research — including economic development and the career paths of faculty, students and employees.

IRIS will also supply the University with detailed reports on research spending, research vendors, and the employment and earnings of research-trained employees.

INSERT QUOTE FROM UNIVERSITY REPRESENTATIVE

“One of the main benefits of membership in IRIS is that researchers on member campuses have free access to the IRIS dataset that has proven useful in the publications of numerous books and peer-reviewed articles in the fields of sociology, economics, complex systems and others,” said IRIS Executive Director Jason Owen-Smith, a professor of sociology at the University of Michigan.

He added that researchers have found the dataset useful in investigating a wide range of subjects, including the relationship between research outputs (patents, publications, startups established) and funding sources; the role of collaboration networks in science productivity; the degree to which team structure and ethnic diversity influence scientific productivity; and economic outcomes for people who conduct interdisciplinary research in STEM, among other topics.

The 2019 release of the IRIS-UMETRICS dataset includes transaction-level information on nearly 400,000 sponsored projects that represent more than $83 billion of direct cost expenditures and employ more than 643,000 people at 31 universities. These data are linked to information on scientific outcomes at multiple levels of analysis. Linkages to federal employment and earnings data are available through the Federal Statistical Research Data Center (FSRDC) system administered by the U.S. Census Bureau. Researchers interested in accessing the data can find more information at https://iris.isr.umich.edu/research-data/access/. Data are deidentified before being made available for researcher access via the IRIS virtual data enclave.

IRIS was founded in 2015 with initial funding from the Ewing Marion Kauffman Foundation and the Alfred P. Sloan Foundation. Ongoing support comes from member contributions and federal and non-federal sponsored projects. IRIS was created to sustainably expand the Universities Measuring the Effects of Research on Innovation, Competitiveness and Science (UMETRICS) initiative developed in collaboration with the Committee on Institutional Cooperation. IRIS is housed at the University of Michigan's Institute for Social Research, the world's largest academic social science survey and research organization. IRIS is a consortium of research universities organized around an IRB-approved data repository.

For more information, visit iris.isr.umich.edu, or get in touch with your University contact.
Sample Press Release on IRIS Membership
Suggested for external audiences

Contact: Dan Meisler, IRIS Communications and Marketing Coordinator, 734-647-3587, dmeisler@umich.edu

University joins IRIS data consortium focused on demonstrating the value of higher education and research

The University has joined the Institute for Research on Innovation and Science (IRIS), a consortium of America’s leading higher educational institutions focused on providing data to demonstrate the public value of sponsored scientific research.

The University’s membership means that all researchers on campus will have no-cost access to the rich and detailed dataset IRIS has developed on the impact of funded research — including economic development and the career paths of faculty, students and employees.

IRIS will also supply the University with detailed reports on research spending, research vendors, and the employment and earnings of research-trained employees.

INSERT QUOTE FROM UNIVERSITY REPRESENTATIVE

“The benefits of IRIS membership are two-fold. First, we provide in-depth reports on the public impact of research that helps universities demonstrate the value of their research enterprises to internal and external decision-makers and stakeholders,” said IRIS Executive Director Jason Owen-Smith, a professor of sociology at the University of Michigan. "And secondly, researchers on member campuses have free access to the IRIS dataset that has proven useful in the publications of numerous books and peer-reviewed articles in the fields of sociology, economics, complex systems and others."

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For more information, visit iris.isr.umich.edu or contact IRIS-info@umich.edu.
IRIS Board Members

Elizabeth Adams
Director, Office of Research and Project Administration, Princeton University
Term: June 1, 2019-March 31, 2022

Richard Greeley
Associate Director of Licensing, Office of Technology Transfer, University of Michigan
Term: July 1, 2021-June 30, 2024

Jeni Hart
Dean of the Graduate School, Vice Provost of Graduate Studies, University of Missouri
Term: July 1, 2021-June 30, 2023

Keith Herzog
Director, Electronic Research Administration, Office for Sponsored Research, Northwestern University
Term: July 1, 2021-June 30, 2024

James Hilton
Vice Provost for Academic Innovation, University Librarian & Dean of Libraries, University of Michigan
Term: April 1, 2017-

Michael Holland
Vice Chancellor for Science Policy and Research Strategies, University of Pittsburgh
Term: June 1, 2019-March 31, 2022

José Román
Vice President of Research Administration, Rutgers University
Term: July 1, 2021-June 30, 2023