

## Section 3: Funding body

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## 1. Introduction

An FB is an organization that manages and determines the distribution of funds. Funds are provided in various forms, such as research grants, training grants, fellowships, and awards. The FB may be an independent entity with its own sources of funding, or it may be related to another organization and receive funding from that organization.

## 2. Handling Funding Body Records

Elsevier provides a record creation spreadsheet to the supplier that contains FBs for which records are to be created. FB records are created and maintained by the supplier.

### 2.1 Create

FB records are created as requested by Elsevier. These new record requests are batched in an Excel *Core Record Creation* spreadsheet by Elsevier. This spreadsheet contains the basic information required by the supplier to create core records for the batch of FBs, including the populated mandatory and optional FB data. The *Core Record Creation* spreadsheet with the file name (*sup*)*NewCoreRecordDDMMYYYY* (where (*sup*) is the supplier name) is loaded in the Supplier Portal, FDM Funding Content and Reporting section, FB Edit, Creation Request, and Maintenance folder with a email notice sent to the supplier. The supplier confirms receipt of the batch by sending a reply to this email message. After delivering the batch to the FDM supplier will confirm with a second email containing the batch delivery dates and create ID for each requested FB records. The supplier shall maintain and include specific identification information in the notification (for example: OASC List numbers).

**Note:** The supplier is to set Alerts to monitor all the Supplier Gateway funding folders. Plus, status remarks shall be added in the folders' Description column to monitor the progress of these activities. Spreadsheet columns.

The *Core Record Creation* spreadsheet contains these columns:

#### **CrossRef identifier**

Identifier for CrossRef, if provided by Elsevier

#### **Validation remarks**

Remarks from the validating entity

#### **Preferred FB name**

Preferred organization name of the FB, see chapter 8, *Preferred organization name* for more information

#### **Language of Non-English Preferred Name**

Language of the preferred organization name if it is not English, see chapter 8, *Preferred organization name* for more information

#### **Acronym**

Acronyms of the FB name

#### **Language of the non-English acronym**

Language of the acronym if it is not English

#### **Alternate Name(s)**

Any alternative names found for the FB

**Language of Non-English Alternate Name**

Language of the alternative funding body name if it is not English

**Relation Type**

Relation type for this FB to other FBs, see chapter 17, *Related organizations* for more information

**Related Funding Body Name(s)**

FBs to which this FB is related

**Related Funding Body ID(s)**

IDs for any FBs related to this FB

**Home page**

URL of the homepage for this FB

**Derived From**

URL of an approved alternative website for the FB

**Country**

Country where the FB is located

**State or Province**

State for any FB found in Australia, Canada, or the United States of America

**Finance Type**

Type for the FB, see chapter 12, *Funding body finance type* for more information

**Activity Type**

The subtype for the FB, see chapter 13, *Funding body realized activity type* for more information

**Profitability Type**

Indication for an FB that is a profit or non-profit organization, see chapter 14, *Profit or non-profit*.

**Active Status**

Indication for an FB that is still actively providing funding or has closed

**Funding Information**

Information regarding the evidence of funding for an FB

**2.1.1 Preparation**

Before creating a new FB record, suppliers are expected to check that:

- FB data provided is accurate and complete by confirmation with the FB source URL.
- All mandatory elements are populated, see chapter 3.1.1, *Core record information* for more information
- No duplicates are created. To ensure this, the supplier checks:
  - FB batches received against those already being processed by the supplier (the pipeline)
  - If an FB is already in the *Funding Bodies Report* on the Supplier Gateway, these should not be captured again. The supplier reports this duplication by replying to the initial record creation email from Elsevier.
- For non-English FBs, capture the native language(s) of the FB and English, when provided in the record.

**2.1.2 Deliver records**

Records are created using the funding schemas and delivered per record or in batches to the S3 bucket. FDM pulls the content from this directory and ingests it.

Supplier questions regarding the creation of FBs are emailed to Elsevier with CC: [fundingoperations@elsevier.com](mailto:fundingoperations@elsevier.com). The subject line must begin with:

***Funding: (sup)- FB Creation Query***

where (*sup*) is the acronym for the supplier.

When the supplier has a delivery batch number, the subject line must begin with:

***Funding Data: (sup)- FB Creation Query - Batch ##***

where (*sup*) is the acronym for the supplier.

## **2.2 Extended record creation spreadsheet**

Elsevier provides an Excel spreadsheet to the supplier for an extended record creation request which includes the tier, opportunity, and award URLs. The spreadsheet is loaded in the Supplier Portal, FDM Funding Content and Reporting section, FB Edit, Creation Request, and Maintenance folder.

Elsevier emails a notice of the request for an extension record to the supplier, after loading the *Extended Record Creation* spreadsheet with the file name (*sup*)*ConvertCoreRecordsToExtendedRecordsDDMMYYYY*; where (*sup*) is the supplier name. This spreadsheet contains the information required to convert a core record to an extended record for a batch of FBs. The supplier confirms receipt of the batch by sending a reply to the original email message with a record delivery date.

Elsevier may also request an extended record through a request for validation. Elsevier emails a notice and loads a spreadsheet with the file name (*sup*)*ExtendedRecordsForValidationDDMMYYYY*; where (*sup*) is the supplier name. This record is requested for validation with the required information for an extended record for a batch of FBs. The supplier confirms receipt of the batch by sending a reply to the original email message and reports the validation results. Elsevier will then confirm the creation request.

### **FB record maintenance**

Record maintenance is required when requested by Elsevier or when the supplier identifies required changes.

#### **2.2.1 Request**

Elsevier requests FB record maintenance in a batch in the (*sup*)*EditsExistingFBRecordsDDMMYY* spreadsheet ; where (*sup*) is the supplier acronym and *DDMMYY* contains the date including the three-letter month name. The spreadsheet is loaded in the Supplier Portal, FDM Funding Content and Reporting section, FB Edit, Creation Request, and Maintenance folder. Maintenance requests from Elsevier can also request the addition of information such as relation types or acronyms to an FB record.

The (*sup*)*EditsExistingFBRecordsDDMMYY* spreadsheet usually contains three columns, additional columns are added as needed:

**Funding Body ID**

FB identifier

**Funding Body name**

Name of the FB

**Remarks - Type of edit to be made**

Edit required to the FB

The supplier confirms receipt of the batch and replies to the original email with a delivery date.

### 2.2.2 Identified

Suppliers create updates for FB records when an FB website change is identified or a main data capture source URL has changed. The supplier reports the updates or queries in the *FB Maintenance* spreadsheet. The supplier prepares *FB Maintenance* spreadsheets for the core FB and extended FB records including the opportunity, award, or publication output changes or queries. The spreadsheets are loaded in the Supplier Portal, FDM Funding Content and Reporting section, FB Edit, Creation Request, and Maintenance folder. A notice is sent to Elsevier with CC: <mailto:fundingoperations@elsevier.com>. The message subject line must begin with:

***Funding: (sup) –(Core/Extended) FB Maintenance ddmmyyyy***

where *(sup)* is the acronym for the supplier, *(Core/Extended)* indicates the type of maintenance sheet if specific for core FB or extended FB records, and *ddmmyyyy* is the day on which the spreadsheet is sent.

The *FB Maintenance* spreadsheet contains seven columns:

#### **Funding Body Name**

Name of the FB (or Sponsor) to be edited or for which there is a query

#### **Funding Body ID**

FB identifier or FB ID

#### **Area of Query**

List all area(s) affected: FB Core Record, FB Extended Record, Opportunities, and Awards

#### **Query or type of edit with recommendation**

Explain the query or type of edit to be completed. Include a comprehensive description of the analysis made that resulted in the recommended updates and resolution presented.

#### **Screenshots or examples**

Include screen shots, website examples, additional analysis, or supporting materials to validate the information.

If the information is too large to insert in the column, type "*see next sheet for additional information*" in the column, then add and label the information in a new worksheet.

#### **Confidence Factor**

Confidence factor (use: high, medium, or low) the supplier has for recommending the proposed change. High confidence indicates that the supplier is positive that the recommended update is correct. Medium indicates the supplier has concerns about the recommended update and low indicates the supplier is not confident the recommended update is correct.

#### **Elsevier Comment (Date)**

Feedback from PMD after review

Elsevier reviews the updates or queries with recommendations submitted by the supplier and returns the spreadsheet with the **Elsevier Comment** column completed.

When submitting a query for an extended FB, the supplier must check and report on the status of linked opportunities and awards as well as the FB information.

URL changes for items such as extensions, extra pages, and minor changes are not included in the spreadsheet if they are considered part of the approved FB or generic opportunity URL. These types of updates are considered part of standard supplier FB maintenance. For example:

- checking other locations in the website to see if funding information has moved
- trying various truncations of the URL address
- searching and selecting alternative menu options

The supplier must ensure that maintenance of the FB records includes a comprehensive review of the record, including verification and updating (if necessary) of relationships, opportunities, and awards.

**Note:** When creating a new record because of a name change or a replacement record, ensure that:

- Previous relations and active opportunities are carried over to the new record to prevent loss of data.
- Reciprocal relationships are validated between new and previous FB records.

### 2.2.2.1 Name Changes

For minor name changes or typos, shifts in word order, and punctuation corrections; plus, the User would use the same search key words/phrases to locate FB: the supplier recommends editing the Preferred Name and adds the previous name as an Alternative Name. For example:

*Steven G. AYA Cancer Research Fund to Steven G. Cancer Foundation*  
*Alabama Humanities Foundation to Alabama Humanities Alliance.*

For structure or major name changes, plus, the User would need new or alternative search words/phrases to locate FB: the supplier recommends creating a new FB record with the new name and uses the relation types as described in *Table 5*, with transfer of active opportunities to the new FB record with new name. For example:

*Corporation for National and Community Service to AmeriCorps.*

### 2.2.2.2 Evaluate scope

Extended record updates resulting in an FB name change must confirm that there is no change in scope. Changes that result in an FB ceasing to fund opportunities do not require an extended FB record. The update is done to create a new FB core record which includes a remark in the comment regarding the reason for the update, as shown in the example below:

***FB home page indicated a change in scope, FB discontinued funding when name changed from (previous FB name) extended to core, date (DD-MMM-YYYY).***

where *(previous FB name)* is the name of the FB before the change and *(DD-MMM-YYYY)* is the date of the change.

### 2.2.2.3 Stop capture request

Extended record updates resulting from an Elsevier request to stop capture of opportunities or awards must have the values in the required properties `awardDataset` with property `capture`, and `opportunityDataset` with property `capture` changed from "true" to "false". Add a remark in the `comment` property, see chapter 85, *Basic record information provenance*, regarding the reason capture was stopped as shown in the example below:

***Stop (type) capture per Elsevier request, date (DD-MMM-YYYY), (reason).***

where *(type)* indicates that opportunities, awards, or both are stopped, *(DD-MMM-YYYY)* is the date of the change, and *(reason)* is the reason for stopping capture.

## 2.2.3 Hide

When requested by Elsevier, the supplier uses the `hidden` property in the **Provenance** object to indicate that a record is no longer to be displayed in products and services, for example when an FB is invalid.. See chapter 85, *Basic record information provenance* for more information. See *Table 5* for descriptions of relation types.

### 2.2.4 Delete

Suppliers assign the "DELETE" value to the property `status` in the **Provenance** object to a record only when Elsevier requests it, see chapter 85, *Basic record information provenance*. A deleted record is no longer valid.

If during maintenance the supplier determines that an FB is no longer valid, an email is sent to Elsevier with CC: [fundingoperations@elsevier.com](mailto:fundingoperations@elsevier.com). The subject line must begin with:

***Funding: (sup)- Query - Invalid FB found***

where (*sup*) is the acronym for the supplier. Elsevier investigates the FB and replies by email.

**Warning:** Do not delete a record unless expressly requested to do so by Elsevier. Deleted records cannot be reactivated.

### 2.2.5 Deliver records

Maintenance records are delivered as described in Document name.

## 3. Record types

There are two types of FB records, *core records* and *extended records*. An FB can have only one record at a time and either record type can be created for an FB initially. Core records can also be updated to become extended records when required; this is requested by Elsevier.

**Note:** The supplier uses the JSON schema and data provided in the *Hydra Ingestion API* to determine the values of properties and which properties are mandatory or optional. If the *Hydra Ingestion API* shows an asterisk (\*) next to a property, it is mandatory. If there is no asterisk for the property, but the sub-properties within this property do contain an asterisk, these sub-properties are mandatory when the main property is used.

### 3.1 Core record

Core records are created to build and maintain a global list of funders. Core records contain a limited amount of information.

#### 3.1.1 Core record information

Core records may contain the following information, capture all found, mandatory information must be captured:

- FB ID (created by supplier, mandatory)
- Revision history (mandatory)
- Preferred organization name (mandatory)
- Home page or derived from (mandatory)
- Country (mandatory)
- State
- Finance type (mandatory)
- Activity type (mandatory)
- Profitability type
- Alternative FB names
- Acronym
- Related organizations
- Comment

### 3.2 Extended record

Extended records contain all the core record information and are extended with further data to capture awards, opportunities, and publications.

#### 4. Funding body ID

object	<b>FundingBody</b>
property	<code>fundingBodyId</code>

Property `fundingBodyId` contains the unique identifier for the created FB, using the range of IDs provided by Elsevier.

#### 5. Standard funding body record information

object	<b>FundingBody</b>
property	<code>hasProvenance</code>

All standard details for the FB records, such as the supplier details, status of the record, and the creation and update details are found in chapter 85, *Basic record information provenance*.

#### 6. Funding body home page

object	<b>FundingBody</b>
property	<code>homePage</code>

Property `homePage` is used to capture the FB website homepage URL. Not all FBs have a website. If the official FB website cannot be identified, an alternative website URL that documents activities of the FB may be captured.

Note: For a bilingual FB capture the root main domain name homepage URL.

#### 7. Funding body status

object	<b>FundingBody</b>
property	<code>status</code>
values	"ACTIVE" or "INACTIVE"

Property `status` is used to indicate whether an FB is active or inactive. "ACTIVE" indicates whether the funder is currently providing funding. "INACTIVE" indicates a past funder that is no longer providing funding or no longer exists. The default value is "ACTIVE".

#### 8. Preferred organization name

object	<b>FundingBody</b>
property	<code>preferredName</code>

Property `preferredName` contains the name of the organization for an FB record. The organization uses this name when presenting itself to the public. Usually, this name is the primary name used on the organization website.

In hierarchies, the preferred name is the smallest organizational unit providing funding. These smaller units are linked to the parent or higher-related organization(s) in a structured hierarchy. Many organizations do not have a structured hierarchy, so they do not have a parent or higher-related organization, see chapter 17, *Related organizations* for more information about hierarchy relations.

This property contains the object **StringWithLanguage**, see chapter 83, *String with language* for more capture information.

These additional rules apply for capturing content in `preferredName`:

- Ampersands are written as *and*.
- Prefixes such as *The* and suffixes such as *Inc.* are removed. Capture the official FB name as it appears in the source without suffixes or abbreviations, as shown in the examples below:



- The Elsevier Foundation is captured as Elsevier Foundation.
- The Lullaby Trust is captured as Lullaby Trust.
- The Gheens Foundation, Inc. is captured as Gheens Foundation.
- The names of centers, departments, or foundations within organizations that are not uniquely identifiable will be recorded together with the name of the parent organization as shown in the sample below:
  - Center for Creative Photography, University of Arizona
  - Department of Electrical and Computer Engineering, Boston University

### 8.1 Non-Roman alphabet names

When the preferred name of an FB is in a non-Roman alphabet, such as Greek, it is captured in the `alternateName` property. Capture the Roman alphabet version of the name if provided in the property `preferredName`.

## 9. Alternative funding body names

object	<b>FundingBody</b>
property	<code>alternateName</code>

The property `alternateName` contains alternative name(s) of the FB organization. If multiple alternative names are available, capture them all using a new **StringWithLanguage** object for each, see chapter 83, *String with language* for more capture information.

Alternative name examples include:

- English names for preferred FB non-Roman, non-English names (capture first if more than one Alternative)
- Non-English names for preferred FB English names
- Concise names for long and complex preferred FB names
- Accepted alternative spellings for a preferred FB name
- Corporate or official name variations for FB name (use the entire name, including prefixes and suffixes)
- Abbreviations for FB name
- Name used in publications
- Other synonyms for FB name
- Previous or former name of the FB

## 10. Acronym

object	<b>FundingBody</b>
property	<code>acronym</code>

Property `acronym` contains an acronym or multiple acronyms for the FB. If multiple acronyms are available, capture them all using a new **StringWithLanguage** object for each, see chapter 83, *String with language* for more capture information.

These additional rules apply for capturing `acronym`:

- When there is more than one acronym, select and capture first the one that corresponds to the preferred FB organization name.
- Capture additional acronyms after the first one, matching the relevant alternative FB name property.
- When an acronym is the full, official name of the FB, capture the acronym in the `preferredName` property. An example of an FB which an acronym as preferred name is SPIE, the international society for optics and photonics.
- Capture acronyms first with no periods, regardless of their appearance.

**Example:**

```
"acronym": [{"language": "en", "value": "CPO"}, {"language": "fr", "value": "KTA"}]
```

Table 1 contains examples of government FB acronyms.

**Table 1 - Acronym examples**

Agency Name	Capture format
National Institutes of Health	NIH
National Science Foundation	NSF
City University of Hong Kong	CityU
Fundación Mexicana para la Salud	FUNSALUD
Water Research Australia	WaterRA

**11. Abbreviated**

object **FundingBody**

property abbrevName

The property `abbrevName` contains abbreviated name(s) of the FB organization, using the object **StringWithLanguage**.

**This property is a legacy field and no longer used for data capture.**

**12. Funding body finance type**

object **FundingBody**

property `financeType`

Property `financeType` is used to capture the type of FB described. The captured values are described in Table 2.

**Table 2 - Values for property `financeType`**

Values for <code>financeType</code>	Description
"GOV"	Publicly-funded FB
"PRI"	Privately-funded FB

FBs can collect money from different sources. FBs are reviewed on a case-by-case basis and selection depends on the source of financing, for example:

Public funding comes from a Federal, State, or other public funding agency or organization, and are given the value "GOV" as they are funded by public money, for example:

- FBs that collect money from government sources, whether Federal, State, Regional, or International Governments.
- Universities can be private or public. Public universities are often referred to as a *State university* and are financed through government sources.

- Public foundations receive their funds from a variety of sources, such as fundraising activities, corporations, individuals, and other foundations. Most of the funds must come from a public source.
- Public companies or corporations have shares available to the general public in a stock market.

Private funding does not use public funds and may include grants, gifts, or donations from an identified private source(s), depending on the organization's mission, and are given the value "PRI" as they are funded by private money, for example:

- A private university that is not funded or operated by the government.
- Private foundations are normally endowed by an individual or family.
- Private companies are owned by a non-governmental entity, individual, or a group of individuals and does not offer or trade its stock in a stock market.

Indications about whether an FB type is publicly funded can be derived from the URL of the FB website. Use of the .gov and .mil domains, for example, is restricted to government entities and these are given the value "GOV". For other cases it is necessary to read through the description of an FB to decide.

### 13. Funding body realized activity type

object                      **FundingBody**  
property                    activityType

The property activityType contains the type of activity of the FB. The values are described in *Table 3*.

**Table 3 - Values for activitytype**

ID value	FB category	Descriptions
"ACADEM"	Academic institutions	Institution whose main activity is providing education, conducting research, and conferring degrees. These include both private and public educational institutions. Variations include <i>university, academy, college</i> , and (academic research) <i>institute</i> .
"ASSSOC"	Professional associations and societies	Professional association whose objective is to promote an academic discipline, advance a specific profession or the interests of individuals in that profession, or raise public interest in that profession. Variations include <i>body, organization, society, learned society, scholarly society</i> , and <i>academic association</i> .
"CORPOR"	Corporate companies, businesses, or industry	For-profit organization engaged in entrepreneurial economic activity and commercial operations at the national or international level. Variations include <i>company, business, enterprise, industry, corporation, franchise, practice, group</i> , and <i>consortium</i> .
"FOUNDA"	Public and private foundations, charities, and trusts	Non-governmental organization that provides funds and other types of support to organizations, individuals, or for its own charitable purposes. Variations include <i>charity, charitable trust</i> , and <i>non-profit corporation</i> .
"GOVFED"	Federal or national government	Governmental institution operating at a national level. Variations include <i>body, organization, agency, bureau</i> , and <i>department</i> .

ID value	FB category	Descriptions
"GOVNON"	Non-federal government or local government	Governmental institution operating at a sub-national level, such as state, province, region, or city. Variations include <i>body, organization, agency, bureau, and department</i> .
"RESINS"	Research institutes and centers	Research institute and centers (both profit and non-profit), <i>not related to academic activities</i> . Laboratories fall into this category.
"INTERN"	International organizations	Organization with international (multinational) membership. These include both intergovernmental organizations that are made up of sovereign states, such as the United Nations, and non-governmental, non-profit organizations that operate internationally, such as the International Committee of the Red Cross.
"ARCHIVE"	Libraries and data archiving organizations	Data libraries, data archives, or data repository organizations.
"OTHERN"	Other non-profit organizations	Other non-profit and non-governmental organizations that do not fall into any of the categories. Variations include <i>non-business entity</i> .

Supplier questions regarding FB or activity types are emailed to Elsevier with CC: [fundingoperations@elsevier.com](mailto:fundingoperations@elsevier.com). The subject line must begin with:

***Funding: (sup) (FB) (type) Query***

where ***(sup)*** is the acronym for the supplier, ***(FB)*** is the name of the FB, and ***(type)*** is finance or activity type. Elsevier investigates and replies by email.

## 14. Profit or non-profit

object                    **FundingBody**  
property                profitabilityType  
values                    "PROF" or "NONPROF"

Property `profitabilityType` is used to indicate whether an FB is a profit or non-profit organization. An explanation of the values is described in *Table 4*. If not provided by the source, do not use this property.

***Table 4 - Values for property profitabilityType***

ID value	FB category	Descriptions
"PROF"	Profit FB	A for-profit organization is an organization that aims to earn a profit.

ID value	FB category	Descriptions
"NONPROF"	Non-profit FB	A nonprofit organization (NPO) also known as non-business entity, not-for-profit organization, or nonprofit institution, is an organization that is not conducted or maintained for the purpose of profit. Nonprofits are tax-exempt or charitable. Usually this is clearly stated on the FB source, for example in the mission page, about section, or in the contact page.

## 15. Country

object                      **FundingBody**  
property                      country

Property `country` is used to capture the code for the country where the FB has its headquarters. Capture the 3-letter codes in lowercase from *Country Codes for OPSBANK (2 and 3 letters)*.

## 16. State

object                      **FundingBody**  
property                      state

Property `state` is used to capture the code for the state, province, or territory where the FB has its headquarters. For states or provinces in the USA, Canada, and Australia, use the codes in uppercase found in *USA, Canada and Australia Province/State Abbreviations*.

## 17. Related organizations

object                      **FundingBody**  
property                      relation

Organizations related to the FB are verified to confirm accurate relations and captured in property `relation` using the appropriate relation property, described in *Table 5*.

All FBs in a hierarchical relationship are captured and their relations to each other are captured as related organizations, as shown in the example below:

```
{ "fundingBodyId": 100012578, "preferredName": [ { "language": "en", "value": "Grasslanz Technology Limited" } ], "relation": { "partOf": [ 50100012578 ] } }
```

where:

- Grasslanz Technology Limited is the FB
- "100012578" is the Elsevier ID for Grasslanz Technology Limited
- "partOf" is the relation of the Grasslanz Technology Limited to the parent FB

**Note:** FB relations are listed and can be reviewed in the *Funding Bodies Report*.

### 17.1 Candidate funding body

To name and link an FB to another FB (for example, for a merger or to show a hierarchical relationship) using the `relation` property, the FB to be linked to must have a record in the FDM. If there is no existing record for the organization to be linked to, contact Elsevier and submit the candidate FB record in a spreadsheet to PMD at [fundingoperations@elsevier.com](mailto:fundingoperations@elsevier.com). The subject line must begin with:

***Funding: (sup) - Candidate FB: (name) for Relation Query***

where (*sup*) is the acronym for the supplier and (*name*) is the name of the candidate FB.

## 17.2 Hiding related record

When Elsevier instructs the supplier to give one of the following values to an FB record for a related organization:

- `isReplacedBy`,

the FB that has one of the above relations gets the value "true" for property `hidden`, see chapter 85, *Basic record information provenance*.

## 17.3 Reciprocal FBs

When a record creation or edit request is received that requires the addition or change of a relation type, the supplier adds or changes the reciprocal `relation` to the second record involved. For example, if asked to create record X with relation `continuationOf` for record Y, the supplier also adds the reciprocal relation, `renamedAs` in record Y.

### 17.3.1 Missing reciprocal relations

If a reciprocal relation cannot be made for both FB records because one record is outside the supplier's collection, the supplier compiles a monthly spreadsheet of the records requiring relations that are not in their collection.

Spreadsheet columns:

- FB ID outside Supplier CMS
- FB `preferredName` outside Supplier CMS
- Missing reciprocal relation type
- FB `preferredName` within Supplier CMS
- FB ID within Supplier CMS
- Supplier Comments

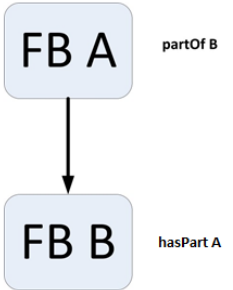
The spreadsheet is emailed to Elsevier with CC: [fundingoperations@elsevier.com](mailto:fundingoperations@elsevier.com). The subject line must begin with:

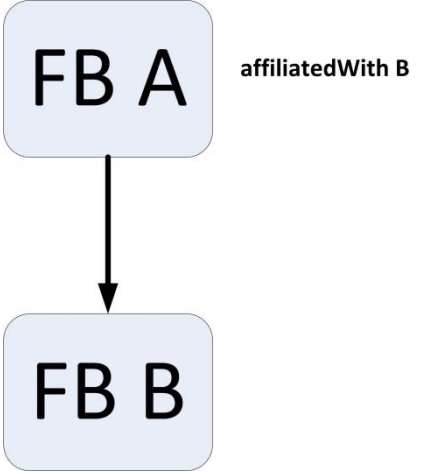
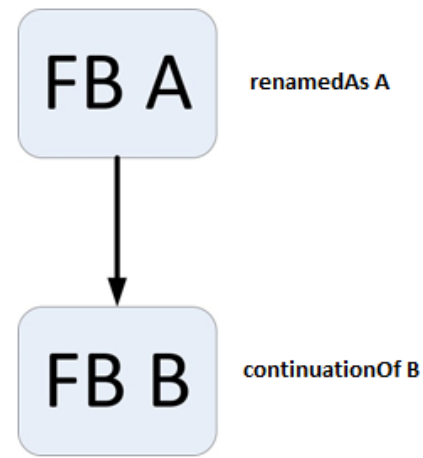
***Funding: (sup) (FB) Reciprocal Relation Query***

where (*sup*) is the acronym for the supplier and (*FB*) is the name of the FB.

Elsevier adds the change to the FB record in the *(SUP)EditsExistingFBRecordsDDMMYY*.

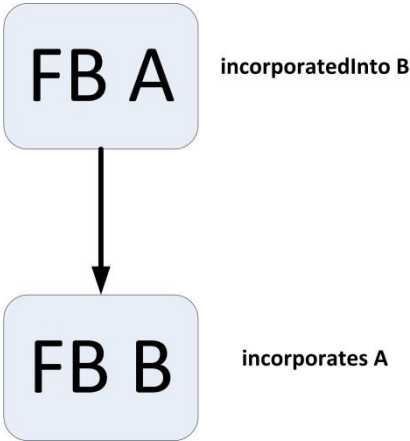
Table 5 - Descriptions of values for relation

Relation	Description	Example	Note	Used for:	Visualization
<code>partOf</code>	<p><code>partOf</code> is used to indicate a hierarchical relation between two FBs. This can be expressed in a child-parent relation.</p> <p>When FB A is part of the larger FB B, whose structure is known to Elsevier, record FB A contains <code>partOf</code> B.</p>	FB A is a part of FB B	<p><code>partOf</code> should only be used when B is also an FB.</p> <p>A reciprocal relation indicating FB B as a parent of FB A is needed.  <code>hasPart</code> may be used as the reciprocal relation of <code>partOf</code>.</p>	Hierarchical Relation	
<code>hasPart</code>	<p><code>hasPart</code> is used to indicate a hierarchical relation between two FBs. This can be expressed in a parent-child relation.</p> <p>When FB B, whose structure is known to Elsevier, is parent of the smaller FB A, record FB B contains <code>hasPart</code> A.</p>	FB B is the parent of FB A	<p><code>hasPart</code> should only be used when A is also an FB.</p> <p>A reciprocal relation indicating FB A as a part of FB B is needed.  <code>partOf</code> may be used as the reciprocal relation of <code>hasPart</code>.</p>		

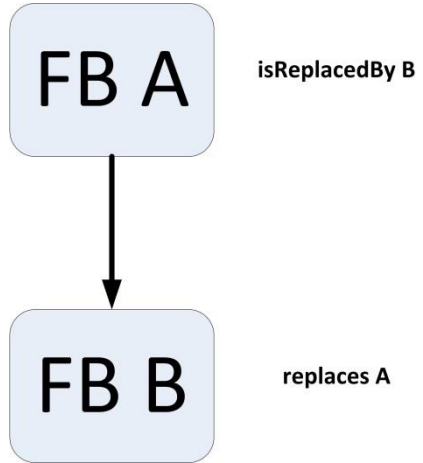
Relation	Description	Example	Note	Used for:	Visualization
affiliatedWith	<p>affiliatedWith is used to indicate a non-hierarchical relation between two FBs.</p> <p>If FB A is related to FB B, but it is not a part of the FB B hierarchical structure, or if the FB B hierarchical structure is unknown, record FB A contains affiliatedWith FB B.</p>	FB A is affiliated with FB B	A reciprocal relation indicating the relation of FB B to FB A is not needed.	Non-Hierarchical Relation	
renamedAs	renamedAs is used to indicate that there has been a name change to an FB, and that the old FB is continued under a new name.	FB A is renamed as FB B	<p>Old name (FB A) is an existing record.</p> <p>The old FB A record is as INACTIVE.</p> <p>Old FB A awards stay with FB A.</p>	Name changes	



Relation	Description	Example	Note	Used for:	Visualization
continuationOf	<p>continuationOf is used to indicate that an existing FB record has continued as a new FB record, expressing a link between a new FB ID and an existing FB ID in FDM.</p> <p>A new FB record contains continuationOf an existing old FB record.</p>	FB B is a continuation of FB A	Old name (FB A) is an existing record.		
mergedWith	<p>mergedWith is used to represent a combination of two or more FBs into one, where the two merged FBs will cease to exist and become a new FB.</p> <p>When two FBs (A and B) are merged to form a new FB C, record A contains mergedWith B, and incorporatedInto C; record B contains mergedWith A, and incorporatedInto C.</p>	FB A and FB B merge to become FB C	<p>In this unusual case, mergedWith is a reciprocal relation to incorporatedInto and mergerOf. Relation property incorporates is not used.</p> <p>The records FB A and FB B are INACTIVE.</p>	Merger of FBs	
mergerOf	<p>mergerOf is used to indicate an FB created when two FBs merge, creating one FB and for which the former FBs will be hidden.</p> <p>FB C is a mergerOf FB A and FB B.</p>	FB C is a merger of FB A and FB B	mergerOf is a reciprocal relation to mergedWith		

Relation	Description	Example	Note	Used for:	Visualization
<code>incorporatedInto</code>	<p><code>incorporatedInto</code> is used to indicate inclusion of an FB into another (larger) FB. As a result, FB A when incorporated into FB B, will no longer exist as its own FB, but continue under the name of FB B.</p> <p>When FB A is incorporated into FB B, record FB A contains <code>incorporatedInto</code> FB B and record FB B contains <code>incorporates</code> FB A.</p>	FB A is incorporated into FB B	<p><code>incorporatedInto</code> is a reciprocal relation to <code>incorporates</code>.</p> <p>The difference between <code>partOf</code> and <code>incorporatedInto</code> is that in the latter case, the FB incorporated into another FB ceases to exist as a separate entity.</p> <p>The record FB A is INACTIVE.</p>		
<code>incorporates</code>	<p><code>incorporates</code> is used to show that a (larger) FB has incorporated a (smaller) FB and the (smaller) FB no longer exists after incorporating into the (larger) FB.</p> <p>When FB B incorporates FB A, record FB B contains <code>incorporates</code> FB A and record FB A contains <code>incorporatedInto</code> FB B.</p>	FB B incorporates FB A	<code>incorporates</code> is a reciprocal relation to <code>incorporatedInto</code> .		

Relation	Description	Example	Note	Used for:	Visualization
splitInto	<p>splitInto is used to indicate that an FB is split and continues as two or more FBs.</p> <p>When there is a split of an FB A into FB B and FB C, record A contains splitInto B and splitInto C, and both records B and C contain continuationOf A.</p>	FB A split Into FB B and FB C	Reverse relation of mergedWith.	Splitting of FBs	<pre> graph TD     A[FB A] --&gt; B[FB B]     A --&gt; C[FB C]     B --- B1[splitFrom A continuationOf A]     C --- C1[splitFrom A continuationOf A]     A --- A1[splitInto B splitInto C] </pre>
splitfrom	<p>splitfrom is used to indicate that FB A is split and continues as two or more FBs.</p> <p>When there is a split of an FB A into FB B and FB C, records FB B and FB C contain splitfrom FB A. Both records FB B and FB C also contain continuationOf FB A.</p>	FB B and FB C split from FB A	Reverse relation of mergerOf.		

Relation	Description	Example	Note	Used for:	Visualization
isReplacedBy	<p>isReplacedBy is used to indicate that a record is duplicate to another record (the latter will stay active and open for maintenance, while the former will solely retain historical significance with no further maintenance).</p> <p>When FB A is replaced by FB B, record FB A contains isReplacedBy FB B. Record FB B contains replaces FB A.</p>	FB A is replaced by FB B	<p>A reciprocal relation isReplacedBy to replaces.</p> <p>The record FB A is hidden.</p>	Duplicate FBs	 <p>The diagram illustrates the relationship between two funding blocks. A light blue rounded rectangle labeled 'FB A' is at the top. A black arrow points downwards from 'FB A' to another light blue rounded rectangle labeled 'FB B'. To the right of 'FB A' is the text 'isReplacedBy B'. To the right of 'FB B' is the text 'replaces A'.</p>
replaces	<p>replaces is used to indicate that a record is an active substitute to its duplicate record.</p> <p>In case of two identical FBs, when the use of FB A is stopped in favor of FB B, record FB B contains replaces FB A, and record FB A contains isReplacedBy FB B.</p>	FB B replaces FB A	A reciprocal relation replaces to isReplacedBy.		<p><b>Note:</b> These two relations are only used by the supplier when requested by Elsevier for duplication corrections.</p>

## 18. Attached datasets

object	<b>FundingBody</b>
property	registry
sub-property	fundingBodyDataset, opportunityDataset, awardDataset, publicationDataset

The property `registry` contains the information regarding datasets attached to an FB record. When a record has been extended by Elsevier request, it contains the required `opportunityDataset`, `awardDataset` and the `publicationDataset`. Every record contains the `fundingBodyDataset` with more information regarding the FB record.

### 18.1 Funding body dataset

property	<code>fundingBodyDataset</code>
sub-property	<code>collectionCode</code> , <code>extended</code> , <code>tier</code> , <code>source</code>

The property `fundingBodyDataset` contains all additional information regarding the FB. The property `collectionCode` contains the code for the supplier that captured the data for the FB record. The property `extended` is Boolean, with value "true" indicating that the record is extended by Elsevier request. The default value is "false". The property `tier` indicates the Elsevier-provided tier for an FB record, the default is "4". The property `source` contains the object **MasterRecordSource**, see chapter 88, *Master record source* for more information.

#### JSON example:

```
"fundingBodyDataset": {
  "collectionCode": "SUP001",
  "extended": false,
  "source": [
    {
      "captureEnd": "2020-10-23T13:29:04.177Z",
      "captureStart": "2019-10-23T13:29:04.177Z",
      "comment": "string",
      "frequency": "SIGNAL-BASED",
      "name": "NIH Website",
      "status": "ACTIVE",
      "url": "https://grants.nih.gov/funding/"
    }
  ],
  "tier": 1
}
```

#### 18.1.1 Tier info

The property `tier` contains one of the values "1", "2", "3", or "4" to indicate the tier assigned to this FB. Elsevier assigns the FB tier. Tier 4 is used for core FB records. Changes in the tier information are made at the request of Elsevier.

### 18.2 Opportunity dataset

property	<code>opportunityDataset</code>
sub-property	<code>capture</code> , <code>collectionCode</code> , <code>source</code>

The property `opportunityDataset` contains all information regarding the opportunities that are related to this FB. The property `capture` is Boolean, with value "true" indicating that opportunities are being captured for this FB. The default value is "false". The `collectionCode` contains the code for the supplier code capturing the opportunity data for the FB record, the default value is "NOTSPECIFIED". The property `source` contains all information regarding the opportunity capturing in object **MasterRecordSource**, see chapter 90, *Master record source* for more information.

If a URL is not working, the supplier takes immediate action as part of standard FB maintenance to find a new URL for monitoring and capture of opportunities.

If no opportunities are found at a previously active URL, the supplier searches for alternative URLs within the same domain name, as shown in the example below:

#### Non-working URL:

<http://www.paul-mellon-centre.ac.uk/fellowships-and-grants/opportunities/season/spring-2018>

#### Replacement working URLs:

<https://www.paul-mellon-centre.ac.uk/fellowships-and-grants/individuals>

<https://www.paul-mellon-centre.ac.uk/fellowships-and-grants/institutions>

### 18.3 Award dataset

property                `awardDataset`

sub-property           `capture, collectionCode, source`

The property `awardDataset` contains all information regarding the awards that are related to this FB. The property `capture` is Boolean, with value "true" indicating that awards are being captured for this FB record. The default value is "false". The `collectionCode` contains the code of the supplier code capturing the award data for the FB record, the default value is "NOTSPECIFIED". The property `source` contains all information regarding the award capturing in object **MasterRecordSource**, see chapter 90, *Master record source* Master record source for more information.

### 18.4 Publication dataset

property                `publicationDataset`

sub-property           `capture, collectionCode, source`

The property `publicationDataset` contains all information regarding the publications that are related to this FB. The property `capture` is Boolean, with value "true" indicating that awards are being captured for this FB record. The default value is "false". The `collectionCode` contains the code of the supplier code capturing the publication data for the FB record, the default value is "NOTSPECIFIED". The property `source` contains all information regarding the publication capturing in object **MasterRecordSource**, see chapter 90, *Master record source* for more information.

## 19. Organizational identifiers

object                   **FundingBody**

property                `identifier`

sub-property           `type, value`

The property `identifier` is a container property for referencing other organizational identifiers. The property `type` has the following values:

- CROSSREFID (ID that matches with a record in the Crossref database, list supplied by Elsevier)
- GRID (not in use)
- ROR (not in use)
- ISNI (not in use)
- WIKIDATA (not in use)
- USEIN (United States/Employer Identification Number)
- CHARITYREGISTRATIONNUMBER
- ABN
- GRANTFORWARDSPONSORID

The EIN is a nine-digit taxpayer identification number in the United States. This number is generally listed in the following format: 00-0000000 or 000000000 and is captured when available. Capture the number as nine digits without any other characters (000000000).

The property `value` contains the referencing ID from the entity names in the `type` property.

### Example:

```
identifier[{
  "type": "CROSSREFID", "value": "1000000001"},
  {"type": "GRID", "value": "grid.431093.c"},
  {"type": "ROR", "value": "021nxhr62"},
  {"type": "ISNI", "value": "00000000119587073"},
  {"type": "WIKIDATA", "value": "Q304878"},
  {"type": "USEIN", "value": "411868372"},
  {"type": "GRANTFORWARDSPONSORID", "value": "36539"}
}]
```

## 20. Vat Number

object	<b>FundingBody</b>
property	<code>vatNumber</code>

The funder-specific VAT number is captured in the property `vatNumber` when found in the source.

## 21. Funding body description

object	<b>FundingBody</b>
property	<code>description</code>

The property `description` contains a description of the FB activities and its mission statement. The property contains the object **StringWithLanguageAndSource**, see chapter 84, *String with language and source* for more information.

The description preferably includes information about the FB, its activities, and possibly the vision and mission of the organization. It may tell the story of the organization, including the reason why it was created, what they do, how they do it, and why they do it.

The mission statement (or *Our mission*, *Mission*, or *Mission statement*) can usually be found on the organization website in pages that describe the organization. FBs may use the other terms, such as *our goal*, *the goal*, or *the aim* of the organization for their mission statement.

Do not capture the title, heading, or paragraph titles of this section, as shown in the examples below:

## 21.1 Description examples

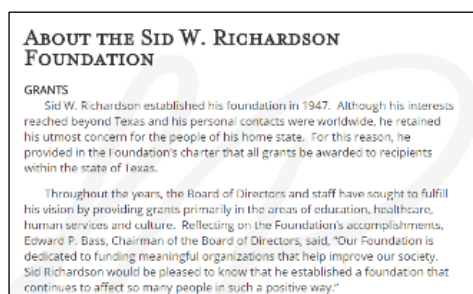


Figure 1 - Sid W. Richardson Foundation

Capture the text from "Sid W. Richardson established his foundation in 1947..." The title "About the Sid W Richardson Foundation" and the paragraph title "Grants" are not captured in the text field.

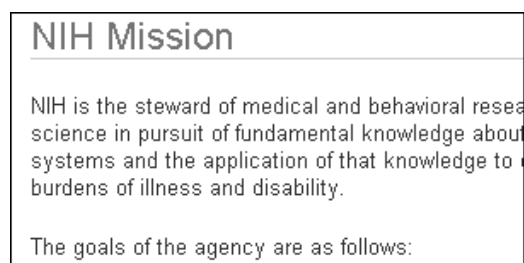


Figure 2 - The NIH Mission Statement

## 22. Funding policy

object	<b>FundingBody</b>
property	<code>fundingPolicy</code>

The property `fundingPolicy` contains the object **StringWithLanguageAndSource**, see chapter 84, *String with language and source*, to capture information about funder-specific funding policies. This property contains information on the funding policy of an FB. This can be referred to as *grant policy*, *research strategy*, *research policy*, and *proposal guide*. This information can be quite long, especially for government agencies. Capture the introduction part of the policy, or if relevant information is available elsewhere, capture that instead.





**NIH** National Institutes of Health  
Office of Extramural Research

## NIH Grants Policy Statement

Revised October 2017 This document applies to all NIH grants and cooperative agreements for budget periods beginning on or after October 1, 2017

Search NIH Grants Policy Statement

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**Introduction**

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### 1 INTRODUCTION

The *National Institutes of Health Grants Policy Statement* (NIHGPS) is intended to make available to NIH recipients, in a single document, the policy requirements that serve as the terms and conditions of NIH grant awards. This document also is designed to be useful to those interested in NIH grants by providing information about NIH—its organization, its staff, and its grants process. The NIHGPS is available online at <https://grants.nih.gov/policy/nihgps/index.htm>. This version includes many links within the document as well as links to some web resources outside of this document. Users are strongly encouraged to use the on-line version of this document to benefit from these links.

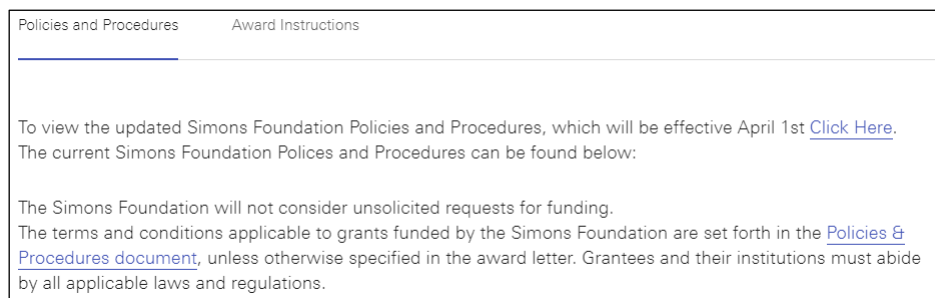
#### NIHGPS ORGANIZATION

The NIHGPS has three parts, which allows general information, application information, and other types of reference material to be separated from legally binding terms and conditions:

- **Part I: NIH Grants-General Information.** Part I (chapters 1 and 2) contains a glossary defining commonly used terms and abbreviations used throughout the document; describes NIH and its relationship to other organizations within the Department of Health and Human Services (HHS); specifies recipient, NIH, and other HHS staff responsibilities and outlines the grant application and review processes.
- **Part II: Terms and Conditions of NIH Grant Awards.** Part II (chapters 3-19) includes generally applicable terms and conditions (Part IIA). This part also specifies the terms and conditions that apply to particular types of grants, recipients, and activities that differ from, supplement, or elaborate on the standard terms and conditions (Part IIB). These requirements, in separate chapters, pertain to multiple PD/PI applications and awards; construction, modernization and major alteration and renovation grants; research training grants and fellowships; career

**Figure 3- NIH Grants Policy: capture the introduction paragraph text**

Do not capture hyperlinks that will not work in captured text. In the example in *Figure 3*, remove the hyperlink and in *Figure 4*, remove the first sentence entirely and do not capture "Policies & Procedures document" as a link.



**Figure 4 - Example with hyperlinks that must be removed.**

## 23. Award success rate

object	<b>FundingBody</b>
property	awardSuccessRate
sub-property	description, percentage

When an FB makes information on award success rates available, it is captured in `awardSuccessRate`. An award success rate is the percentage of successful grant applications out of all grant applications for an FB. This information is captured in the property `description` using the object **StringWithLanguageAndSource**, see chapter 84, *String with language and source*. The percentage can be given for all opportunities of the FB combined or for each grant category. Capture only a combined percentage in the `percentage` property in `awardSuccessRate`.

When information on multiple years is given by the FB website, success rates for the most recent year are captured. When the award success rates are provided by the FB in a range, the lower boundary of the range is captured, for example:

*award success rate = 30/35%*  
capture: 30%

If an FB links to an external website for its success rates, send an email to Elsevier with CC: [fundingoperations@elsevier.com](mailto:fundingoperations@elsevier.com). The subject line must begin with:

***Funding: (sup) (FB) - External website success rates Query***

where *(sup)* is the acronym for the supplier and *(FB)* is the FB name. PMD will review and indicate whether the external link can be used for `awardSuccessRate` information.

**Note:** The award success rates of a parent FB are not used for the records of related child FBs.

### 23.1 Award success rate example

## 24. Organization information

NIH Institutes / Centers	Mechanism / Funding Source	Activity Code	Number of Applications Reviewed	Number of Applications Awarded	Success Rate	Total Funding <sup>4</sup>
Roadmap	Other - Direct	UL1	2	0	0.0%	\$0
Roadmap	Other - Direct	Mechanism Total	103	26	25.2%	\$35,989,998
All NIH	RPG, Other, Superfund		67,641	13,590	20.1%	\$5,199,704,826

Figure 5 - NIH gives award success rates for all grant categories combined.

object **FundingBody**  
 property establishment  
 sub-property country, description, establishmentYear

Property `establishment` contains the information about how, when, and where an FB organization was founded. The property `country` contains the country where the funder was established. Capture the 3-letter codes in lowercase from *Country Codes for OPSBANK (2 and 3 letters)*. Capture the description of the FB establishment in the property `description` using the **StringWithLanguageAndSource**, see chapter 84, *String with language and source*. The property `establishmentYear` contains the year when the FB was founded.

### Examples of establishment information:

<b>Our History</b>	The Ford Foundation was established on Jan. 15, 1936, with an initial gift of \$25,000 from Edsel Ford, whose father Henry, founded the Ford Motor Company. During its early years, the foundation operated in Michigan under	<b>FORD FOUNDATION 70</b> VIEW OUR INTERACTIVE
<b>Our Leadership</b>		
<b>From the President</b>		

Figure 6 - The Ford Foundation: capture "1936".

In 1847, a group of leading physicians founded The New York Academy of Medicine as a voice for the medical profession in the metropolitan area. The Academy	<b>Historical Timeline</b> <a href="#">View a timeline</a>
---	---

Figure 7 - The New York Academy of Medicine: capture "1847".

## 25. Funding body contacts

object **FundingBody**  
 property contactInformation  
 sub-property hasPostalAddress, link

Property `contactInformation` contains contact information for the FB. Capture the FB URL that points to contact addresses in `link`. The property `hasPostalAddress` contains object **PostalAddress**, see chapter 88, *Contact details postal address*, for contact address capturing instructions.