



Industry/University  
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Centers

# Evaluator Responsibilities and Protocol Review

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# Overview

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- Evaluator duties ([www.ncsu.edu/iucrc](http://www.ncsu.edu/iucrc)); “Resources for Evaluators”
- Overview of recent changes to the evaluation protocol
- Discussion and feedback on recent changes
  - Assumptions:
    - Time at this meeting is very limited
    - Emphasis on setting an agenda for detailed discussion and fine tuning at our June evaluator’s meeting



# Reminders about responsibilities

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## Required Activities

- 1) Attend semi-annual evaluators' meetings (typically in January and June);
- 2) Attend semi-annual Industrial Advisory Board meetings; **assist/lead LIFE feedback process.**
- 3) Prepare an "Evaluator's Report" when a new center is born and provide an annual narrative summary of significant Center developments for submission to NCSU and your Center Director;
  - a. Include Evaluator Report Face Sheet; document success stories
- 4) Complete Semi-Annual Meeting Best Practice Checklist at each IAB meeting and attach to Annual Evaluator's Report for each I/UCRC.
- 5) Administer "process/outcome" questionnaires to faculty, and Industrial Advisory Board Members annually;
- 6) Prepare an annual report based on the process/outcome questionnaire data for your Center and submit to your Center Director;
- 7) Forward process outcome questionnaire data to the evaluation team at NCSU;
- 8) Provide information and feedback to NSF; and
- 9) Provide information and feedback to your Center Director.

# Changes in evaluation protocol: Change is hard!



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<b>Change</b>	<b>Format</b>	<b>Finalize</b>	<b>Implement</b>
<b>Update and enhance functionality of LIFE website</b>	New site; new functions	Jan- August, 2012	Fall 2012
<b>Complete Evaluator Report Cover Sheet (Evaluator Report)</b>	Cover sheet;	June 2011; revise now	Immediate
<b>Use revised Industry Process/Outcome Questionnaire</b>	Question naire	August 2012	Fall 2012
<b>Collect expanded quantifiable economic impact data</b>	Interview protocol	August 2012	Fall 2012



# Changes and Upgrades LIFE

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- New easy to remember link created: [www.iucrc.com](http://www.iucrc.com)
- Change PW and retrieve PW functions for administrator
- Expanded options for soliciting feedback and summarizing outputs
  - Feedback:
    - Standard open-ended
    - Comments: Comment, Question, Suggestion
  - Outputs:
    - PDF
    - Word file
    - Excel
  - Instructions:
    - Updated
- Created an option for linking the “Process/Outcome Questionnaire”
  - Link to online P/O will appear as the last link on the meeting
  - Respondent only has to sign in once
- Coming soon (maybe)
  - Optional format: PI has ability to provide responses to specific comments made by the project reviewers
    - Summary page will show comments and responses
    - Need to address PW and confidentiality issues



**Add Meeting**

Date: Month  Day  Year

Center Name:

Host University:  (optional)

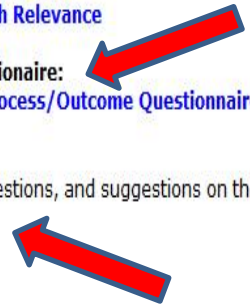
Password:  (optional)

**Form with "Relevance to Company" Field:**  
Example: [Without Relevance](#) and [With Relevance](#)

**Industry Process/Outcome Questionnaire:**  
Check to add a link to the [Industry Process/Outcome Questionnaire](#) on the meeting page

**Comment, Question, Suggestion:**  
Check to add boxes for comments, questions, and suggestions on the evaluation page

[\[Back\]](#)



[\[Back\]](#)

**Meeting of November 14th, 2012**

[Index of Projects](#)

[\[Add Project\]](#)  
[\[PDF Paper Forms\]](#)

[\[Review Meeting\]](#)  
[\[PDF Summary\]](#)  
[\[MS Word File\]](#)  
[\[Spreadsheet\]](#)



Title	PI	University	Admin-Specified ID	Functions
Prop. Presentation 1: Novel Composite Materials Based on Lignin Using UV-Curing Technoloav	Venditti & Gonzalez	NCSU	1.1	<a href="#">[Delete Project]</a> <a href="#">[Edit]</a> <a href="#">[Review]</a>



# Evaluator Report Cover Sheet



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- Minor clarifications to form indicators

Evaluators Report Cover Sheet

[Evaluator's Name]

[Period Covered by This Report: [MM/YY – MM/YY]

[Date]

Center Name: \_\_\_\_\_

Center Director: \_\_\_\_\_

Site	Director	Award Period <sup>1</sup> (MM/YY-MM/YY)	Funding Phase (I, II, or III)
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Membership Activity Table\*

Member Name	Site	Membership Fee Level <sup>#</sup> (Full, Assoc., etc.)	Status: New, Left, Continuing

\* Add additional lines here as necessary. <sup>#</sup> Include in-kind memberships or enhancements if approved by IAB or NSF guidelines.

Membership Support for Site A:	<b>Estimated Budget This Year</b>	<b>Estimated Budget Last Year</b>
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# Revised Industry P/O Survey

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- Goal:
  - Provide more quantitative estimates of center impacts
- Changes:
  - Drop, modify, add questions
    - Drop: “which two projects most interested in”
    - Modify: how many and cost of stimulated projects; percentage of projects actively interested in; checklist concerns
    - Add: cost avoidance; cost savings





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**Research amplification and Cost avoidance: Modified/Added questions:**

**I. Center Research Program:** *think about the \_\_\_\_\_ currently funded Center research projects*

**1a) What percentage of the Center's currently funded research projects do you consider relevant to your organization's current or future R&D needs?**

0-19% (1)	20-39% (2)	40-59% (3)	60-79% (4)	80-100% (5)
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**1b) Think about the typical Center project you consider relevant to your organization.**

**Approximately how many scientist-months (full-time) would it take your organization to plan, conduct, and complete this research project internally?**

**Number of scientist-months:** \_\_\_\_\_

**1c) In your opinion, how many of the Center's research projects would be considered a high enough priority that your organization would conduct them internally or by contract (within the next few years) if the Center was not conducting this research?**

**Number of projects:** \_\_\_\_\_

- Research amplification (Q1 & Q2a)
  - *Percent Rel. x N of Center Proj. x Scien. Months x \$/Scien. Month*  
*(Gray & Steenhuis, 2003)*
- Cost Avoidance (Q2b & 2a)
  - *N of Proj. Avoid x Scien. Months x \$/Scien. Months* *(Gray & Steenhuis, 2003)*



## Cost Savings: Added Questions

### B. Research & Development Benefits

During the past year, has your organization realized any of the following specific benefits? *Please answer yes/no, and if possible estimate the value of the benefit:*

**5a. Accelerated my organization's internal R&D:** Access to Center research findings and outputs has helped accelerate the pace and/or completion of some R&D projects already underway at my organization.

[20]

Yes  No

**5b. Avoided new R&D costs:** Access to Center research findings and outputs helped my organization to decide against initiating a new project we otherwise would have conducted.

[21]

Yes  No

If yes, taking into account personnel, facility and related costs how much would you estimate these accelerated AND/OR avoided project(s) would have cost your organization (check best estimate):

[22-25]

<input type="checkbox"/> \$25K	<input type="checkbox"/> \$50K	<input type="checkbox"/> \$100K	<input type="checkbox"/> \$150K	<input type="checkbox"/> \$200K	<input type="checkbox"/> \$250K	<input type="checkbox"/> \$300K
<input type="checkbox"/> \$400K	<input type="checkbox"/> \$500K	<input type="checkbox"/> \$600K	<input type="checkbox"/> \$700K	<input type="checkbox"/> \$800K	<input type="checkbox"/> \$900K	<input type="checkbox"/> \$1.0Mill
<input type="checkbox"/> \$1.5Mill	<input type="checkbox"/> \$2.0Mill	<input type="checkbox"/> \$2.5Mill	<input type="checkbox"/> \$3.0Mill	<input type="checkbox"/> \$4.0Mill	<input type="checkbox"/> \$5.0Mill	<input type="checkbox"/> Other(specify)



## Stimulated Projects (follow-on funding): Modified question

**5c. Stimulated New or Re-directed Internal R&D:** Access to Center research findings and outputs has triggered the development of new R&D projects at my organization, or significantly redirected current R&D.

[26]

Yes  No

If yes, how many projects: \_\_\_\_\_

What is the combined total dollar value of the projects (check best estimate):

[27-28]

<input type="checkbox"/> \$25K	<input type="checkbox"/> \$50K	<input type="checkbox"/> \$100K	<input type="checkbox"/> \$150K	<input type="checkbox"/> \$200K	<input type="checkbox"/> \$250K	<input type="checkbox"/> \$300K
<input type="checkbox"/> \$400K	<input type="checkbox"/> \$500K	<input type="checkbox"/> \$600K	<input type="checkbox"/> \$700K	<input type="checkbox"/> \$800K	<input type="checkbox"/> \$900K	<input type="checkbox"/> \$1.0Mill
<input type="checkbox"/> \$1.5Mill	<input type="checkbox"/> \$2.0Mill	<input type="checkbox"/> \$2.5Mill	<input type="checkbox"/> \$3.0Mill	<input type="checkbox"/> \$4.0Mill	<input type="checkbox"/> \$5.0Mill	<input type="checkbox"/> Other(specify)

[29-32]

## Areas for Improvement: Modified check list

**8) a. How can the Center improve its administration and operations?**

Please mark areas that need improvement.

<input type="checkbox"/> a. Planning the Research Prog.	<input type="checkbox"/> f. Intellectual Property Management	<input type="checkbox"/> k. IAB Meeting Follow-up
<input type="checkbox"/> b. Project Selection	<input type="checkbox"/> g. Fundraising & Recruit. New Members	<input type="checkbox"/> l. Communications
<input type="checkbox"/> c. Project Devel. and Mgmt.	<input type="checkbox"/> h. IAB Meeting Planning	<input type="checkbox"/> m. Center Personnel
<input type="checkbox"/> d. Dissem. of Results via Pubs.	<input type="checkbox"/> i. IAB Meeting Content	<input type="checkbox"/> n. Other (specify)
<input type="checkbox"/> e. Technology Transfer	<input type="checkbox"/> j. IAB Meeting Execution	

[36]

**b. How can the area(s) be improved?** (Please identify by letter and comment.)



# Sample Findings

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- CPASS
  - Very mature center with new technology path
  - Good response rate (~14)
    - Poised to support phase 2 application
  - Cost avoidance:
    - Member mean: \$946K
    - Center total: \$15.1 M
  - Cost savings:
    - Member mean: \$95K
    - Center total: \$1.5M
  - Stimulated research
    - Member mean: \$225K
    - Center total: \$3.6
- Metamaterials
  - Young (2 years)
  - Ok response rate (~5)
    - Comment: “way too early”
  - Cost avoidance
    - Member mean: \$75K
    - Center total: \$300K
  - Cost savings
    - ?
  - Stimulated research
    - ?

# Expanded Economic Impact Data Collection

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- Goal:
  - To provide early detection and documentation information on Center impacts that may represent significant economic or societal impacts.
- Previous Expectations:
  - Identify and document “success stories” as part of Evaluator Report
- Modified Expectations:
  - Phase 1-2 transition: if a promising “significant” success story is identified, conduct interviews (in person or telephone) to document the “value” of these events
    - Role more of “prospector” than economic assessment
  - Document in evaluator report
- Documentation
  - Full section of instructions and tools under Evaluator Report (3.7)



### 3.7 Identifying and Documenting IUCRC Center Success Stories and Economic Impacts: Guidelines, Scheduling and Supporting Materials

In a recent [report](#), the NCSU IUCRC Evaluation Team was able to demonstrate that they could document significant economic impacts in mature IUCRCs by engaging in a proactive assessment strategy that involved either face-to-face or telephone interview methodology and provision of confidentiality, if requested, to the beneficiary who would be providing the economic estimates. Based on these findings, beginning Fall 2012, all evaluators are expected to attempt to obtain such information as part of their effort to document Center "success stories" within the Evaluators Report. There is no assumption every Center will produce such outcomes, particularly early in their history. However, evaluators should indicate in their report that they attempted to document such impacts. *The NCSU Evaluation Team is prepared to provide consultation including some selected site visits to help evaluators fulfill this new data collection requirement.*

#### Assessment Objective:

To provide early detection and documentation information on Center impacts that may represent significant economic or societal impacts.

The following are assessment guidelines, scheduling guidelines and supporting materials for fulfilling these responsibilities:

#### Assessment Guidelines:

- Impact data collection should become a higher priority for evaluators at Centers as they become more mature with a greater emphasis placed on this activity during Phase 2 and 3 of NSF funding.
- Special effort should be taken to document impacts that appear to have the potential to produce "significant" economic impacts.
- Assessment should emphasize data collection via personal interviews of targeted high impact beneficiaries.
- The evaluator is not expected to perform a precise economic impact assessment. Rather s/he is expected to serve as an informed source who can "prospect" for impacts that appear to be potentially significant and that could be subject to more rigorous assessment by NSF
- Evaluators should confirm with interviewees whether their organization can be identified in their reports or whether they would like their identity to remain confidential. This may require the evaluator to prepare cases where the identity of the beneficiary is kept confidential and/or to restrict access to their evaluator report.
- Evaluators should attempt to document forecasted impacts (impacts the respondent predicts will happen in the future) by conducting follow-up interviews with informants in order to validate these estimates.

#### Scheduling:

Evaluator Reports must be attached to a Center's Annual Report which is due 90 days prior to the Center's award date anniversary. As a consequence, evaluators should typically begin the process of exploring whether a significant Center impact has occurred about 60 days earlier or five months before the Center's award anniversary. Beginning Fall 2012, the NCSU IUCRC Evaluation Project will begin reminding evaluators when they should begin this process. Centers that are submitting Phase II or Phase III proposals will be required to submit their annual report at the same time as their Center's proposal. In these instances, the evaluator may need to produce their report earlier.

The typical sequence of events for the assessment would include:

- Contacting and interviewing the director, faculty or other informants and using archival information to identify a member organization or other

#### Supporting Materials:

The following materials and tools are intended to facilitate the collection of well documented success cases that include credible economic impacts.

[EconImpact 1: Guidelines for identifying beneficiary organizations](#)

[EconImpact 2: Guide for first contact briefing with Center director](#)

[EconImpact 3: Sample guide for interview with Center director](#)

[EconImpact 4: Sample email from Center director to beneficiary](#)

[EconImpact 5: Sample email from evaluator to beneficiary](#)

[EconImpact 6: Guide for pre-screening interview with beneficiary](#)

[EconImpact 7: Guide for interview with beneficiary](#)

[EconImpact 8: Sample summary report of impacts](#)



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# Follow up

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- Schedule enough time at the June 2013 Evaluator's Meeting to discuss the pros and cons of various changes and make adjustments for future data collection