

IUCRC Center Director Annual Survey

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Send comments regarding this burden estimate and any other aspect of this collection of information, including suggestions for reducing this burden, to: Suzanne H. Plimpton, Reports Clearance Officer, National Science Foundation, 2415 Eisenhower Ave., Suite W18200, Alexandria, VA 22314; telephone (703) 292-7556; or send email to splimpto@nsf.gov.

Survey Overview

The Industry-University Cooperative Research Center (IUCRC) Center Director Annual Survey collects information on Industry-University Cooperative Research Center (IUCRC) structure, membership, funding sources, operating expenses, workforce development, academic and commercial outcomes, research activities, and personnel ***during the last full, annual, period of performance of an IUCRC Center.***

The survey is divided into 14 sections. Directors from Lead Sites will be prompted to answer all 14 sections, while directors from partner sites answer sections 1-2, 10-12, and 14. Due to the specialized nature of each section, it might require collaboration between directors of lead and partner sites. While each Lead Site Director of an IUCRC is asked to compile and report most of the information for the Center, each partner site of an IUCRC also needs to complete the survey (albeit a shorter one).

Section 1. [All Sites] Contact Information

1-1. Who is the survey coordinator?

The survey coordinator is the person responsible for gathering all requested information, ensuring instructions are followed, and submitting the completed survey. This is also the person NSF should contact if additional information or clarification is needed.

Name (Last, First):

Title (or Role at the IUCRC):

Telephone:

Email Address:

Section 2. [All Sites] Center Lead/Partner Site Identification

2-1. Select the NSF IUCRC Award number from the list:

2-2. Provide the IUCRC Center information below:

Name of the IUCRC Center:

Phase (I/II/III):

2-3. Is the IUCRC Site for which you are submitting this survey a *Lead site* or *Partner site*?

Section 3. [Lead Site Only] Center Structural Information

In this section, the Lead Site will be asked to report the following information:

1. Lead and Partner sites (U.S. only)
2. International sites

Lead/Partner Sites (U.S. only)

3-1. List each NSF-funded Site and the corresponding site director for [the IUCRC Center]:

(Note: the list will be allowed to expand if the Center has more than 5 partner sites)

	Institution	Site Director (Last Name, First Name)
Lead Site	<input type="text"/>	<input type="text"/>
Partner Site (1)	<input type="text"/>	<input type="text"/>
Partner Site (2)	<input type="text"/>	<input type="text"/>
Partner Site (3)	<input type="text"/>	<input type="text"/>
Partner Site (4)	<input type="text"/>	<input type="text"/>
Partner Site (5)	<input type="text"/>	<input type="text"/>

International Sites

Active International Sites are defined as Sites in your Center that are located in countries outside the United States, where ongoing research projects recommended by the Industry Advisory Board (IAB) of [the IUCRC Center] took place during the period of performance.

3-2. How many *active international sites* were associated with [the IUCRC Center] during the period of performance?

Number of active international site(s):

3-3. [If a value other than 0 were selected in 3-2] Provide the names of the country, institution, and Site Director for each active international site.

	Country	Institution	Site Director (Last Name, First Name)
International site (1)	<input type="text"/>	<input type="text"/>	<input type="text"/>
International site (2)	<input type="text"/>	<input type="text"/>	<input type="text"/>
International site (3)	<input type="text"/>	<input type="text"/>	<input type="text"/>

Section 4. [Lead Site Only] Center Members

In this section, the Lead Site will be asked to report the following information for [\[the IUCRC Center\]](#):

1. Names of the member organizations serving on your Industry Advisory Board (IAB)
2. Employer Identification Number (EIN) of each organization
3. Type of Organization (Private Sector, Public Sector, Non-Profit, Others)
4. Size of Organization – (Micro, Small, Medium, Large, NA)

Members of an IUCRC are composed of organizations including private sector companies, government agencies, non-profits, and others interested in working together to collaboratively to advance knowledge in the Center’s targeted area and support faculty and students to conduct research in areas of common interest. An organization can become an IUCRC member by signing the Center’s membership agreement, paying a membership fee, and attending bi-annual meetings of the Center. Members make up a Center’s Industry Advisory Board (IAB).

The **Employer Identification Number (EIN)**, also known as the Federal Employer Identification Number (FEIN), is a unique nine-digit number assigned by the Internal Revenue Service to business entities operating in the United States for the purposes of identification. For Foreign companies, simply enter ‘NA’ in the field. EIN can be obtained directly by contacting the IAB member or use the *search feature* of the website: eintaxid.com

Type of Organization: Indicate whether each member belongs to: Private Sector, Public Sector – Federal, Public Sector – State/Local, Public Sector – Non-U.S., Joint (Public-Private) Sector, Foundation or Non-profit, or Others

Size of Organization: Select NA for all the Public Sector choices, and only report the organization size for private, non-profit, and others.

4-1. Provide the names of the organizations serving on your IAB during the period of performance, and their corresponding EINs. Use the drop-down menus to indicate the type and size of the organization.

(Note: the list will be allowed to expand if the Center has more than 5 Members)

	Name of Organization	EIN	Organization Type	Organization Size
Member (1)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Member (2)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Member (3)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Member (4)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Member (5)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Section 5. [Lead Site Only] Recruitment, Retention, and Turnover of Members

In this section, the Lead Site will be asked to report:

1. Membership status of current IAB members
2. List of members that have left the Center

5-1. Use the drop-down menu to select the membership status (New, Existing, or Returned) that best describe each current IAB member during the performance period.

New: IAB members that joined during the Center during the period of performance

Existing: IAB members that were present during the previous period and renewed their membership in current period

Returned: IAB members that left the Center at some point but re-joined in the current period

Status (Current members)

Member (1)	<input type="text"/>
Member (2)	<input type="text"/>
Member (3)	<input type="text"/>
Member (4)	<input type="text"/>
Member (5)	<input type="text"/>

5-2. Enter the name of any IAB member that left the Center during the period of performance. If no member left, enter 'None'

(Note: the list will be allowed to expand if the Center has more than 5 Members)

Name of Organization

Lost Member (1)	<input type="text"/>
Lost Member (2)	<input type="text"/>
Lost Member (3)	<input type="text"/>
Lost Member (4)	<input type="text"/>
Lost Member (5)	<input type="text"/>

Section 6. [Lead Site Only] Membership Fees Structure

In this section, the Lead Site will be asked to report on Membership fees structure.

6-1. What is the membership fee structure (cash contributions only) of [the IUCRC Center]? List the dollar value associated with each tier.

Primary (Full) Membership Level: \$

Secondary Level: \$

Tertiary Level: \$

Other Level(s), please describe:

6-2. How does [the IUCRC Center] handle in-kind membership? Mark only one.

- Same as cash fee structure as listed in 5-1
- Different from cash fee structure
- Do not allow in-kind memberships

Section 7. [Lead Site Only] Membership Type, Membership Fees Paid, and Voting Status of Current Members

Each member organization determines the **type (cash, in-kind, or both)** and level of membership (full or partial) and the number of memberships it would like to have. Based on their selection, members will fall into one of two categories: **voting** or **non-voting**. Centers may also include both voting and non-voting members. A voting member is eligible to recommend which projects the Center would like to do get funded, while a non-voting member is ineligible. The category into which a member falls depends on the nature of the organization, the type, whether a member elects to vote, and amount of contribution the member provides to the Center.

In this section, the Lead Site will be asked to report on the type, level, and voting status of each current IAB member in the Center.

A note about Voting Status: Not all IAB members have voting rights. Some members may not vote due to their internal organizational policies. Some are excluded from voting due to conflicts of interest either with the institution(s) of higher learning involved or with faculty/researchers who have ownership/leadership positions in one of the member organizations. Voting eligibility for in-kind members varies from Center to Center, and is defined in the bylaws of each Center. For IAB members allowed to vote on Center research projects, select “Voting”, for those that are not, select “Non-voting”.

7-1. Report the following information on each member organization:

Membership Type: Indicate which type of membership the member organization has purchased:

- Cash
- in-kind
- both cash and in-kind

Membership Fees: Report the membership fees paid (in USD) by the member organization, in cash, in-kind equivalent, or the combination of cash and in-kind contribution. Exclude any additional funding from members beyond membership fees, those will be reported in a later section.

Voting status: Select the voting the status for each member organization.

	Membership Type	Membership Fees	Voting Status
Member (1)	<input type="text" value=""/>	<input type="text" value="\$"/>	<input type="text" value=""/>
Member (2)	<input type="text" value=""/>	<input type="text" value="\$"/>	<input type="text" value=""/>
Member (3)	<input type="text" value=""/>	<input type="text" value="\$"/>	<input type="text" value=""/>
Member (4)	<input type="text" value=""/>	<input type="text" value="\$"/>	<input type="text" value=""/>
Member (5)	<input type="text" value=""/>	<input type="text" value="\$"/>	<input type="text" value=""/>

Section 8. [Lead Site Only] Center Income

In this section, the Lead Site will be asked to report on Center program income for the performance period from 4 major categories:

1. Membership fees
2. Funding(s) from NSF
3. Other funding sources
4. In-kind contributions

8-1. Provide the total amount of cash received in membership fees from IAB members listed in Question 7-1. Do not include any other funds or resources outside of membership fees that members may have contributed to the center.

Total Membership Funding received:

8-2. Provide the amount of cash the Center received from NSF. This amount excludes money transferred through NSF from other Federal Agencies (MIPRs¹, IAAs²). For multi-year payments, report annualized totals. Enter 0 if no funding was received in that category.

NSF IUCRC Award: Base Funding received from the NSF IUCRC program.

NSF IUCRC Grant Supplements: Funding received from other NSF grant supplements (e.g. REU, INTERN, others).

Other NSF Support: Other NSF grants awarded to the Center because of the collaborations developed within the Center that are provided by other NSF programs outside of the IUCRC Program. The award must be for research that is shared with Center members, and not just NSF awards to Center-affiliated PIs.

NSF IUCRC Award:

NSF IUCRC Grant Supplements:

Other NSF Support:

¹ MIPR (Military Interdepartmental Purchase Request, used as a means to transfer funds from other Federal agencies to the Center via NSF).

² IAA (Interagency Agreement, also used as a means to transfer funds from other Federal agencies to the Center via NSF)

8-3. Provide the amount of cash the Center received from other funding sources during the period of performance. Enter 0 if no funding was received in that category.

Additional Member Support: Additional member funding (enhancement, donations, and etc.) that is applied to the Center as a whole (i.e. income that results in outcomes shared equally by all IAB members). This includes support (in addition to the membership fees paid) provided by members through MIPRs or IAAs. For multi-year payments, report annualized totals.

Funding received by Center from:

- **Federal agencies other than NSF**
- **State government agencies or programs**
- **Local government agencies or programs**
- **Foundations or other non-profit organizations**

The funding must be for research that is shared with IAB members in the Center, and not just funding to Center-affiliated PIs. For multi-year payments, report annualized totals.

Other Cash Support: Funds not included in any of the above categories. These could be funds provided by the institutions involved in the Center, grants, or gifts from outside entities not specified in any of the other funding categories.

Other Funding Sources	Amount Received (in USD)
Additional Member Support	\$
Federal Agencies other than NSF	\$
State Government Agencies or Programs	\$
Local Government Agencies or Programs	\$
Foundations or Non-Profit Organizations	\$
Other Cash Support	\$

8-4. What was the total value of in-kind contributions made to [the IUCRC Center] during the period of performance?

In-kind contributions: non-monetary contributions of goods, services, or personnel offered for free or at a reduced billable rate. These may include facilities, equipment or software, raw materials (used in Center research), consulting services, and/or personnel (the time of a researcher/staff person who is not paid from Center income)

In-kind Contributions:

Section 9. [Lead Site Only] Operating Expenses

In this section, the Lead Site will be asked to report on amount spent on Center administrative activities from:

1. NSF IUCRC Award
2. Membership Fees + Other Funding Sources

Administrative activities include: holding IAB meetings, marketing the Center, creating and maintaining a website and promotional materials, and paying for secretarial or administrative support, etc.

9-1. Of the NSF IUCRC base award reported in Question 8-2, how much was spent on Center administrative activities? Estimates are acceptable.

Amount spent on Center administration:

9-2. Of the amount collected from membership fees (reported in Question 8-1) and other funding sources (the sum of all categories reported in Question 8-3), how much was spent on Center administrative activities? Estimates are acceptable.

Amount spent on Center administration:

Section 10. [All sites] Workforce Development

In this section, you will be asked to report the post-graduation plans of students who were trained at the IUCRC Program, and have received one of the following degrees during the period of performance:

1. Bachelor's degree (B.S. or B.A.)
2. Master's degree (M.S. or M.A.)
3. Doctoral degree (Ph.D.)

10-1. How many students who were trained at the IUCRC Program, and have received a ... during the period of performance?

Bachelor's Degree:

Master's Degree:

Doctorate Degree:

10-2. What best describe the post-graduation status of the graduates from Question 10-1? For each class of graduate, indicate how many pursued each of the career categories listed below.

	Bachelors	Masters	Doctorates
Hired by Industry Firms—IAB Center members			
Hired by Government Agencies—IAB Center members			
Hired by Non-profit Organizations—IAB Center members			
Hired by Industry Firms—non-Center members			
Hired by Government Agencies—non-Center members			
Hired by Non-profit Organizations—non-Center members			
Hired by Other Enterprises not listed above			
Starting Their Own Business			
Accepted a Faculty Position	NA		
Accepted a Postdoc Position	NA	NA	
Enrolling in a full-time degree program			NA
Career Outcomes Unknown/Not Reported			

Section 11. [All sites] Academic & Commercial Outcomes

In this section, report the academic and commercial outcomes of the Site.

Academic events refer to publications of the results of your Site's research in the peer reviewed literature; presentations of your Site's research results at academic conferences, educational seminars, workshops, and symposia; presentation and/or communication of the results of your Site's research to K-12 or organizations involved in communicating science and engineering to the public; and any other activities associated with non-commercial, academic, public outreach, educational environments in which members of your Site have participated during the performance period.

11-1. How many academic events of the following categories in which members of the IUCRC Site were involved? Only count those that are related to Center research. Enter 0 if none.

Published in peer-reviewed journals:

Presented in academic conferences, workshops, and/or seminars:

Presented in Grades 8-12 classrooms:

Presented or had interactions with public education organizations/museums:

Given invited talk(s):

Attended public outreach events:

11-2. Of the number of publications reported in the first box of Question 11-1, how many were co-authored with the following parties? Enter 0 if none or not applicable.

Employees of IAB Member Organizations:

Students/Postdoc working on the project:

Faculty and/or students from other Sites in the Center:

Commercial outcomes refer to outcomes and communications by members of your Site on your Center's/Site's research in venues in the commercial realm. These include invention disclosures, patent applications, patents granted, licensing agreements, inventions producing royalties, software copyrights, presentations and/or posters and outreach at industry conferences, expos, tradeshow; and publications in trade journals, as well as spinoff companies formed.

11-3. How many commercial events of the following categories in which members of the IUCRC Site were involved? Only count those that are related to Center research. Enter 0 if none.

Commercial Events	Count
Filed Invention Disclosure(s)	
Filed Patent Application(s)	
Received Patent(s)	
Filed Licensing Agreement(s)	
Inventions Producing Royalties	
Presented Poster(s) or Gave Presentation(s) at industry conferences, expos, or tradeshow	
Published in trade journal(s):	
Attended industry outreach event(s):	

11-4. Report the amount of money received from any royalty-producing inventions. Estimates are acceptable. Enter 0 if none.

Amount received from royalty-producing inventions:

11-5. List out all the spinoff/spinout/startup companies created as a consequence of research results and/or intellectual property developed at your Site during the period of performance. If none, write in 'None'.

Name of startup company:

Name of startup company:

Name of startup company:

Section 12. [All sites] Personnel

In this section, report the number of people at the Site that were involved in IUCRC research during the period of performance, as well as individuals that have been supported by NSF supplement awards.

12-1. Report the number of individuals—involved in IUCRC Center research during the period of performance—that have been supported by the following NSF supplements. Enter 0 if none.

REU: The Research Experiences for Undergraduates program supports active research participation by undergraduate students in any of the areas of research funded by the National Science Foundation

Number of REU students:

INTERN: Supplemental funding for graduate students participating in Non-Academic Research Internships

Number of INTERN students:

RET: Research Experiences for Teachers, provide teachers an opportunity to conduct center-related research at IUCRC Site or intern at IUCRC IAB member organizations

Number of RET recipients:

VRS: Research Experiences for Veterans/Teachers, provide support to student and/or teacher who has served in the U.S. military an opportunity to conduct center related research at IUCRC Site or intern at an IUCRC IAB member organizations

Number of VRS recipients:

12-2. Report the number of individuals—involved in IUCRC Center research during the period of performance—that have either (a) received any of the Center funding reported, (b) conducted Center-funded research, or (c) used Center facilities. Enter 0 if none. DO NOT include individuals reported in Question 12-1.

Site Directors:

Research Scientists:

Faculty Members:

Post-docs:

Doctoral Students:

Master Students:

Undergraduate Students:

High School Students:

Administrative Staff:

12-3. Report the number of individuals from IAB member organizations serving as industry mentors on research projects at your Site.

Industry mentors:

Section 13. [Lead Site Only] Center Projects

This section requests information on Center research projects selected during the performance period. Center-associated projects are research projects proposed by Center faculty to the Center IAB which are voted upon and recommended by the IAB for support by their membership funds and other Center program income.

13-1. During the performance period, how many projects proposals were presented for vote in the IAB meeting?

Number of projects presented for vote:

13-2. Of the project proposals reported in Question 13-1, how many of them did IAB members recommended for funding?

Number of projects recommended:

Section 14. [All sites] Survey Reporting

In this section, we are asked to collect logistic information regarding the survey:

14-1. Approximately how long did it take for you to complete this annual update?

Time (minutes):

14-2. How can NSF better meet your needs? Please describe areas where we can improve on this annual Center Director survey, and other concerns you might have.