Copy of Proposals

Table of Contents:

1. Purpose
2. Fact Amounts
3. Examples
4. User Notes
5. Additional Reports

1. Purpose – Most of the proposals data come from the Cayuse system that NYU uses to manage sponsored program proposals and awards. Information on projects not administered through Cayuse is added from Fame data as described below. Proposals data is updated nightly.

2. Fact Amounts –

- **Proposals Submitted**: Proposal activity is measured by proposal count (line) and proposal value (bar). Hovering over a bar or a point on the line shows the exact numbers. The count of submitted proposals include those with the status "submitted to sponsor" and "funded or not funded" in Cayuse and research project without Cayuse records found in Fame. Both are assigned to fiscal years as described above. Clicking on a bar segment displays a list of the proposals included and additional information about their sponsorship. Non-Cayuse projects are identified by Fame project IDs with the form "Nxxx," which distinguishes them from Cayuse projects with IDs in the form "nn-nnnn." A descending sort on the "proposal number" column brings the non-Cayuse projects to the top of the list. The drop-down filter provides detail on four categories, including new, competitive renewal, resubmission, and other. Other proposals include those categorized in Cayuse as budget revision, continuation, extension, modification, and supplement. The proposals imputed for non-Cayuse projects are classified as new. Federal proposals and those to other sponsors can also be displayed separately.

- **Proposal Status**: The bars in this graph show the number of proposals in the new, competitive renewal, and resubmission categories that are funded, in progress, or not funded. Points show the annual success rate. Clicking on a bar segment displays a list of the proposals included.
  - **Successful/Funded Proposals**: Those with the Cayuse status "funded" and those with expense data in fame but no Cayuse record.
  - **Unsuccessful/Not Funded Proposals**: Those with the status "not funded" or the status "submitted to sponsor" when the submission date recorded or estimated, as described above, is more than a year prior to the current date. The latter exclusion is necessary because many proposals are not explicitly rejected. This rule does not prohibit a proposal accepted more than a year after its submission date from counting as a success. A proposal is classified as successful as soon as its status changes to funded.

- **In Progress**: In progress proposals are those submitted within a year of the dashboard date that are neither successful nor unsuccessful.

- **Proposal Success Rate**: This graph shows the proposal success rate as defined by sponsor type (federal or other) and size bands. Success rate is the ratio of successful to total proposals in the new, competitive renewal, and resubmission categories. This definition was changed in December 2016. Prior to that date, the calculation was successful proposals to the sum of successful and unsuccessful proposals excluding in progress proposals from the denominator.

3. Examples –

4. User Notes –

- **Cayuse Proposal Categories**: Because Cayuse tracks proposals in development and a variety of modifications, not all proposals in the Cayuse system are included in the departmental metrics on proposal activity. Proposals will only be included if they have been submitted to a sponsor or if there is a submission date for the proposal. They will have a status of "submitted to sponsor," "funded," or "not funded." Cayuse proposals omitted from the metrics are:
  - Proposals with the status "unsubmitted" or "withdrawn"
  - Proposals classified as "preliminary proposal," or "letter of intent/whitepaper"
  - Proposals with zero or missing total value

The proposals included are classified in Cayuse as new, supplement, continuation, resubmission, renewal, revision, preliminary proposal, progress report, or transfer. Cayuse proposals classified as preliminary proposal or letter of intent/whitepaper are excluded. Proposals
with zero or missing total value are also excluded. Success rate metrics only include proposals with the types new, resubmission, or renewal.

- **Assigning Proposals to Departments:** Proposals are assigned to departments (and other reporting units) in three ways. The dashboard shows, as a department's proposals: those administered by the department, in the left column, proposals by principal investigators in the department, in the right column, and proposals by principal investigators or co-principal investigators in the departments. The selection of proposals by PIs or by PIs and CoPIs is made at the top of the page. The investigator's department is the department of his/her primary appointment in HRIS or PeopleSync. These alternative selections are also provided for grants.
  - **Example** – A proposal submitted by a principal investigator in Applied Psychology through the Institute for Human Development and Social Change would be attributed in the left column – “Proposals Administered by Department” – to the Institute and in the right column – “Proposals by Department Investigators” – to the Department of Applied Psychology. A proposal administered through the Institute with a principal investigator in Sociology and a co-principal investigator in Applied Psychology would be added in the PIs and CoPIs view. Principal investigators are identified by the Cayuse role lead principal investigator. CoPIs have the Cayuse role principal investigator. The dashboard does not credit proposal activity to faculty with the Cayuse role investigator.
  - **Note**– If there are investigators in different departments, each department receives full credit for the proposal. If there is more than one investigator in a department (or other unit), the proposal is not double-counted. Where there are multiple CoPIs within a department (or other unit) the proposal value is distributed equally among the CoPIs in the drill-to-detail report so that the amounts listed sum to the departmental total.

- **Assigning Proposals to Fiscal Years:** Proposals are assigned to fiscal years based on the submission date. For example, the FY17 success rate measures the success of all proposals submitted in that year regardless of when a grant was actually awarded.

- **Assigning Submission Date:** If a submission date was manually recorded in Cayuse, that date is used to assign the proposal to a fiscal year. If no date was manually recorded, the system-derived proposal submission date is used instead. If a proposal has neither a manually recorded submission date nor a system-derived date but it has the status “submitted to sponsor,” “funded,” or “not funded” then the submit date is estimated to be nine months before the project start date or equal to the current date in a few cases where the project start date is more than nine months in the future.

- **Proposal Value:** The proposal value summed in the metrics is the total funds request recorded in Cayuse or, for non-Cayuse projects, the total project budget recorded in Fame including the awarded and anticipated amounts.

- **Projects Not Administered Through Cayuse:** Grants not administered through Cayuse are included in proposal counts and success rates. A proposal record is created for each non-Cayuse project from the data in Fame. These proposals are classified as new projects and counted as successful. Their dollar value is the total project budget including awarded and anticipated amounts. The administering department is derived from the Fame org. Assignment to a fiscal year is based on the submission date estimated as nine months before the project start date.

5. Additional Reports –