Copy of Research Funding Pipeline

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1. Purpose – The Research Funding Pipeline page combines data on grants and proposals to project the future trajectory of research expenditure. Three resource categories are shown: the remaining balance in current grant budgets, additional funds that are anticipated because the sponsor has awarded funds that are not yet released, and the value of proposals in progress. The graphs display a straight-line projection into the future of actual and requested research funding. No attempt is made to incorporate the actual burn rate of current or anticipated resources.

This dashboard page utilizes grant budget and actual expense data from Fame and proposals data from Cayuse. Grant and proposal data is updated nightly.

2. Fact Amounts –

- **Forecast Expenditure Graph:** This graph depicts the trajectory of research expenditure for the current and next six fiscal years. Only a few projects and proposals extend further into the future. The y-axis shows projected daily expenditure in thousands of dollars. For example, a grants remaining balance of $40,000 ($40 on the graph) indicates that if the department spent the remaining balance in its budgeted grants distributed evenly over their remaining life it would spend $40,000 a day. A drop-down menu permits the selection of a proposal success rate. The default assumes that 100% of proposals in progress will be funded but the alternatives of 33%, 50%, or 67% may be selected. A department’s actual success rate is shown on the page.

  - **Note** – The rates shown include successful proposals imputed from grants data. Their inclusion raises the success rate above what is likely to be achieved for proposals recorded as “in progress” in Cayuse. See the Proposals page metadata for further explanation.

- **Forecast Expenditure by Fiscal Year:** This table summarizes projected daily expenditure at the fiscal year level to display the dollar amounts and provide access to detail on the contribution of individual projects and proposals. As in the graphs, only the current and next six fiscal years are included. Clicking on a column heading – “grants remaining balance,” “anticipated awards,” or “proposals in progress” – reveals project-level data on the composition of the departmental aggregate in the current and next six years. Clicking on a row heading provides project-level detail on the contribution of each resource category to the fiscal year total.

  - **Note** – The tables accessible by drilling include considerable detail, such as the PI, project name, and start and end dates. Columns may be reordered or removed for a simple presentation. For example, PI, project, and the dates could be removed to provide a summary by sponsor. To remove a column, hover above the heading to reveal the editing bar, right click, and select the “exclude column” option. Clear customizations and reload the table to return excluded columns.

3. Examples –

4. User Notes – Please note that the detail on the pipeline’s proposals in progress does not match the Proposals page. In the pipeline proposals’ value is spread to all days between the proposed start date and the proposed end date. Therefore when pipeline data is compiled after a proposal’s proposed start date its value in the pipeline is less than its total value because some value is attributed to past days. In addition, the proposals page could include a proposal in progress whose proposed end date has already passed. It will then not be included in the pipeline data.

  - **Projection:** Each type of research funding is projected into the future by spreading the funding amount across the days for which it is available. For example, if a grant with a remaining balance of $30,000 today terminates in 30 days, $1,000 of remaining balance is assigned to each of the next 30 days. The daily allocations are summed across projects to estimate the funding available on each future day. The graphs and tables display data for the current and six future fiscal years. They do not display the total amounts for project extending further into the future. For projects with multiple grant years, the expenditure allocation is within the grant year. For example, if a project anticipates $100,000 in the second grant year and $200,000 in the third grant year, each of the same length, then the daily allocation will be twice in the third year than what it is in the second year.
• **Remaining Balance**: The first type of future funding is the amount remaining in a grant's authorized budget, which is calculated as budget minus actual expense. Encumbrances are not taken into account because this analysis estimates when actual expenditure will occur. Deducting the encumbrance of personnel expense early in the fiscal year would remove funding that will be available for expenditure throughout the year.

• **Anticipated Awards**: Fame records funding that has been awarded but not yet received. The value of these anticipated awards is calculated as grand total budget period, the total award for the project, minus budget, the amount already budgeted.

• **Proposals**: The value of proposals in progress is captured in Cayuse. This category excludes funded proposals – whose value is included as remaining balance and/or anticipated award – and unsuccessful proposals. Metadata for the Proposals page explains how proposals in progress are identified. By default, the pipeline graphs and tables value proposals while assuming that 100% of the requested funding is received but alternative success rates may be selected.

• **Sponsor Category**: Currently, the federal grants are identified differently for proposals and grants in the Departmental Metrics dashboard. Grants whose original sponsor is a federal agency are classified as federal regardless of whether the funding comes to NYU directly from a federal agency or via a subcontract from another university. For example, expenditure from an NSF grant received by Columbia or the NYU School of Medicine on which an NYU Washington Square department is a subcontractor is categorized as federal bit the sponsor for a Cayuse proposal, initiating a similar project, would be "college or university."

• **Assigning Grants to Departments**: As on the other dashboard pages, grants are assigned to departments (and other reporting units) in two ways. The first is to the department that administers and has fiscal responsibility for the grant, as shown on the "Grants by Administering Department page." The second is to the department of the principal investigator, as shown on the "Grants by Department of Principal Investigator page."
  - **Example** – If the Arts and Sciences dean's office retains fiscal responsibility for a grant for which a Chemistry faculty member is the principal investigator, the Chemistry department receives credit for the grant in the assignment by principal investigator but not by administering department. The principal investigator's department is the department of his/her primary appointment in HRIS or PeopleSync. The dual allocation is also provided for proposal submissions.

• **Identifying the Principal Investigator**: The principal investigator is assigned to a project for a specific period. If there is more than one principal investigator assignment during a fiscal year, the project is attributed to the last principal investigator. Grants for which no principal investigator is assigned during a fiscal year are omitted from Grants by Department of Principal Investigator metrics for that year and listed in the detail report for Grants by Administering Department with missing data for the principal investigator name and department.

5. Additional Reports –