

March 2, 2020

Office of Research Administration  
Annual Report for 2019

This is a report of Caltech's sponsored research proposal and award activity for fiscal year 2019, October 1, 2018 through September 30, 2019. The report consists of a brief narrative summary followed by a series of charts that depict various aspects of Caltech's awards and proposals for FY 2019.<sup>1</sup>

**Awards.** Awards for FY 2019 totaled \$392 million, a 19% increase in research funds awarded in FY 2018. Federal funding increased by 23% for a total of \$289 million. This represents the highest level of Federal funding for the past decade and reflects on the strength of Caltech's proposals as well as on favorable congressional appropriations for the Federal research agencies from whom Caltech receives support. In FY 2019, Federal funding accounted for 91% of all sponsored funds received. Caltech's sponsored research portfolio during FY 2019 comprised 1,618 active awards.

NSF continues to be Caltech's largest Federal sponsor, accounting for 32% of Federal funding; NIH accounted for 23%. Federal "flow-through" funds originate with Federal agencies and are awarded to Caltech by other recipients of Federal funds. Flow-through funds account for slightly more than 20% of all Federal funds and frequently originate at other universities with whom Caltech faculty are collaborating. The report includes a chart showing the origins of the flow-through funds, the majority of which are from NASA and represent funding from JPL for research collaborations between Caltech faculty and their JPL colleagues.

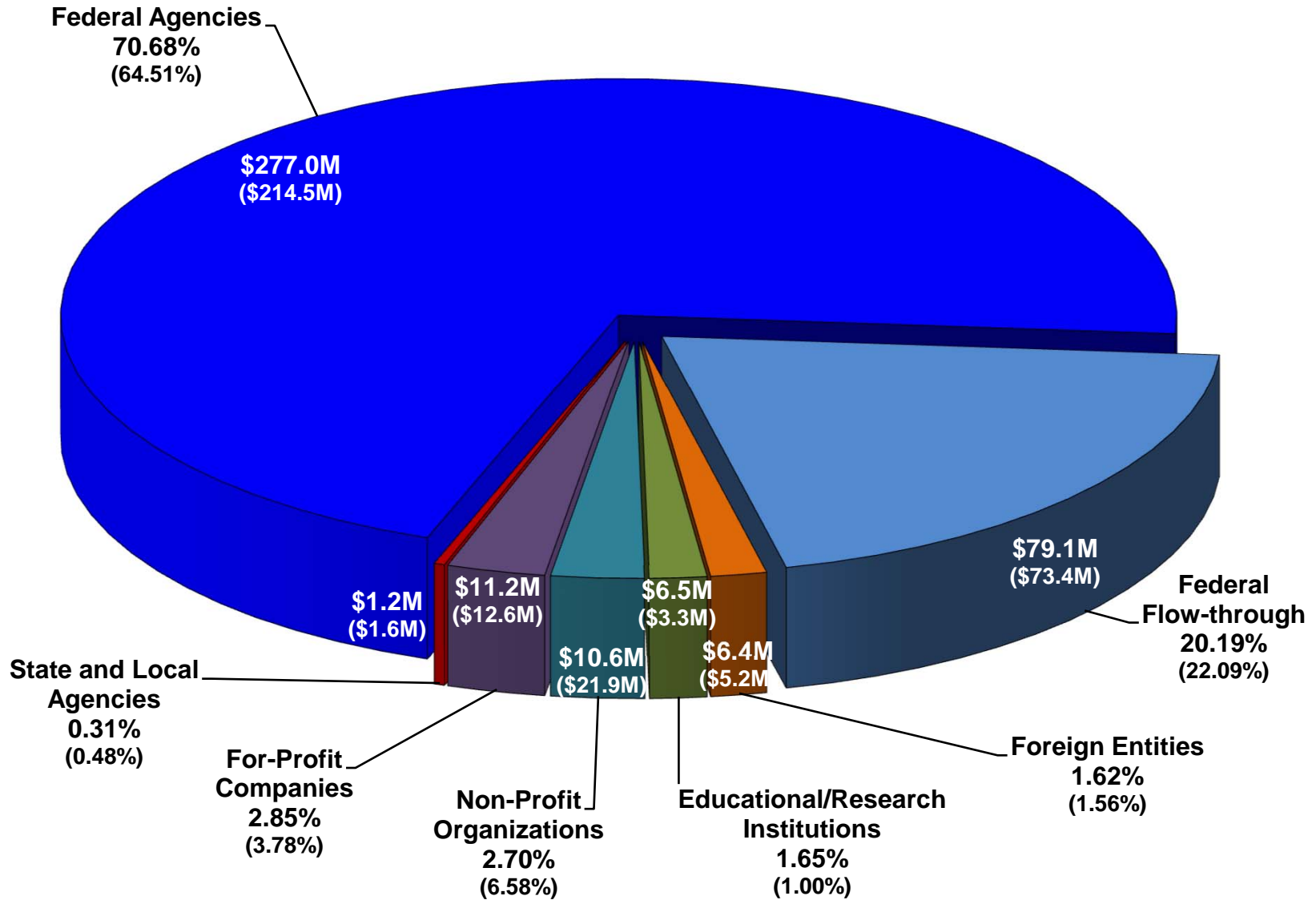
**Proposals.** The number of proposal submissions remained flat at approximately 1,200. For FY 2019, a total of \$900 Million was requested. The report includes information on the success rates for proposals submitted between FY 2004 and FY 2018. As of the end of fiscal 2019, 46% of the competitive proposals submitted in 2018 had been awarded. Caltech faculty continue to do very well in terms of the success of their competitive proposal submissions to NIH and NSF when compared with the nationwide success rates published by those agencies. Caltech investigators exceeded the national success rates of NSF by 22% and of NIH by 14%.

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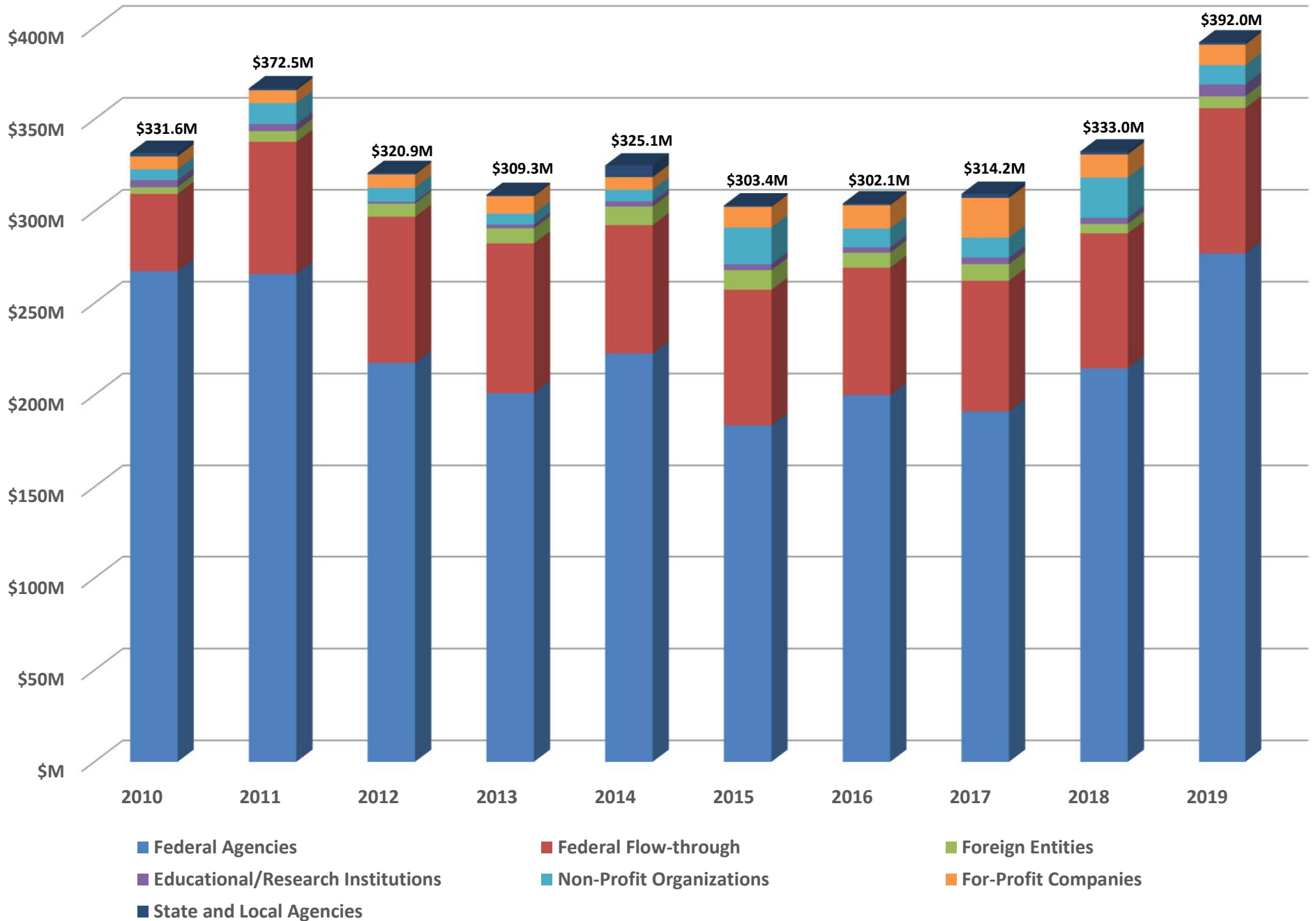
<sup>1</sup> This report does not include information on research awards administered by the Offices of Foundation Relations or of Corporate Partnerships, funding received from the Howard Hughes Medical Research Institute in support of the HHMI Investigator Program, or funding received from NASA for the operation of the Jet Propulsion Laboratory. This report does, however, include funds allocated by JPL in support of collaborative research activities on the Caltech campus.

**California Institute of Technology**  
**Contract and Grant Funding, by Sponsor Type - FY2019**  
 (parenthetical numbers represent previous year)

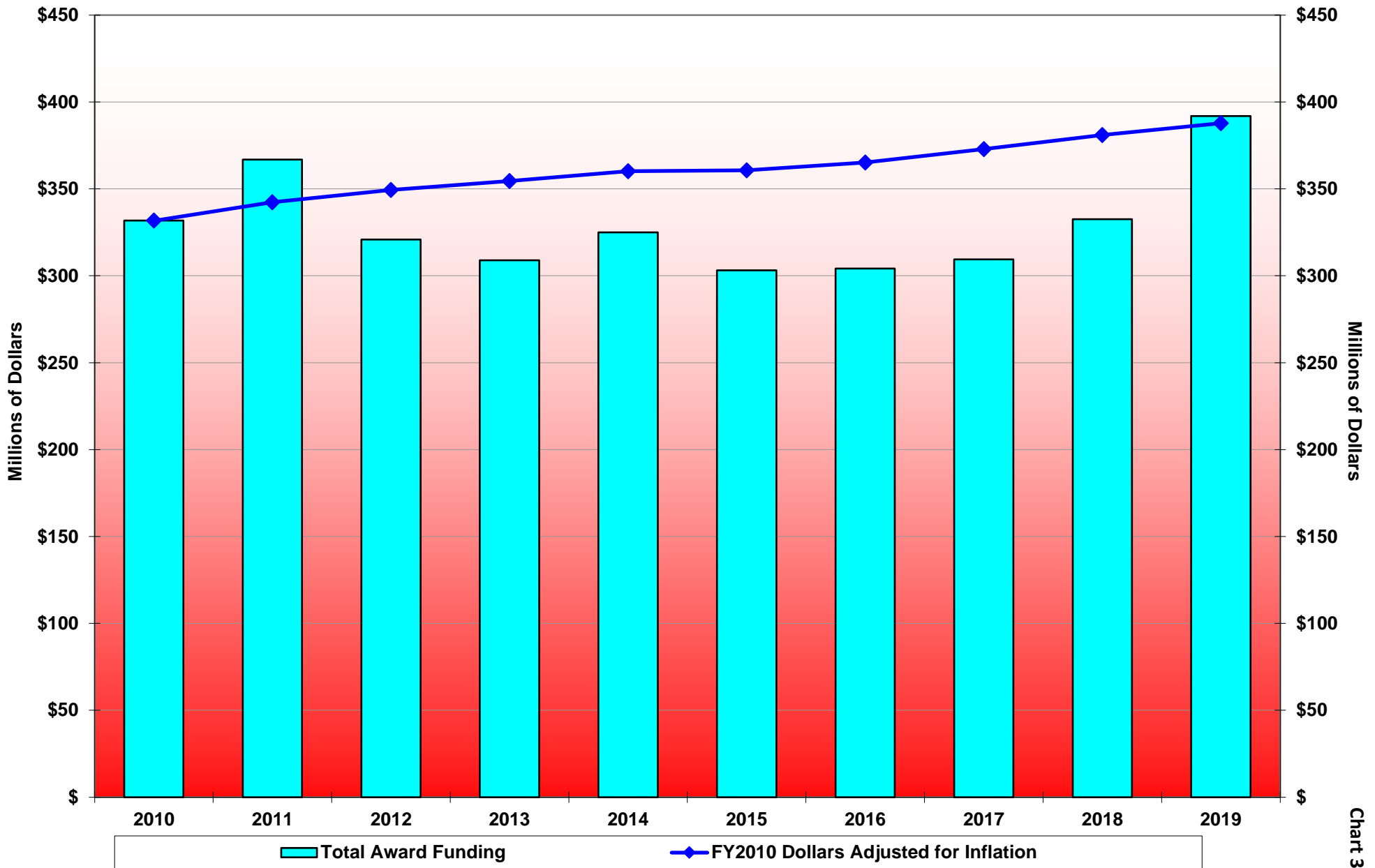
**\$391,893,785**



## California Institute of Technology Contract and Grant Funding, by Sponsor Type - FY2010-FY2019



# 10-Year Contract and Grant Funding: FY2010-FY2019 Compared to FY2010 Dollars Adjusted for Inflation (Inflation Rate Based Upon Average Annual Consumer Price Index)



**California Institute of Technology  
Contract Grant Funding, by Sponsor - FY2019**

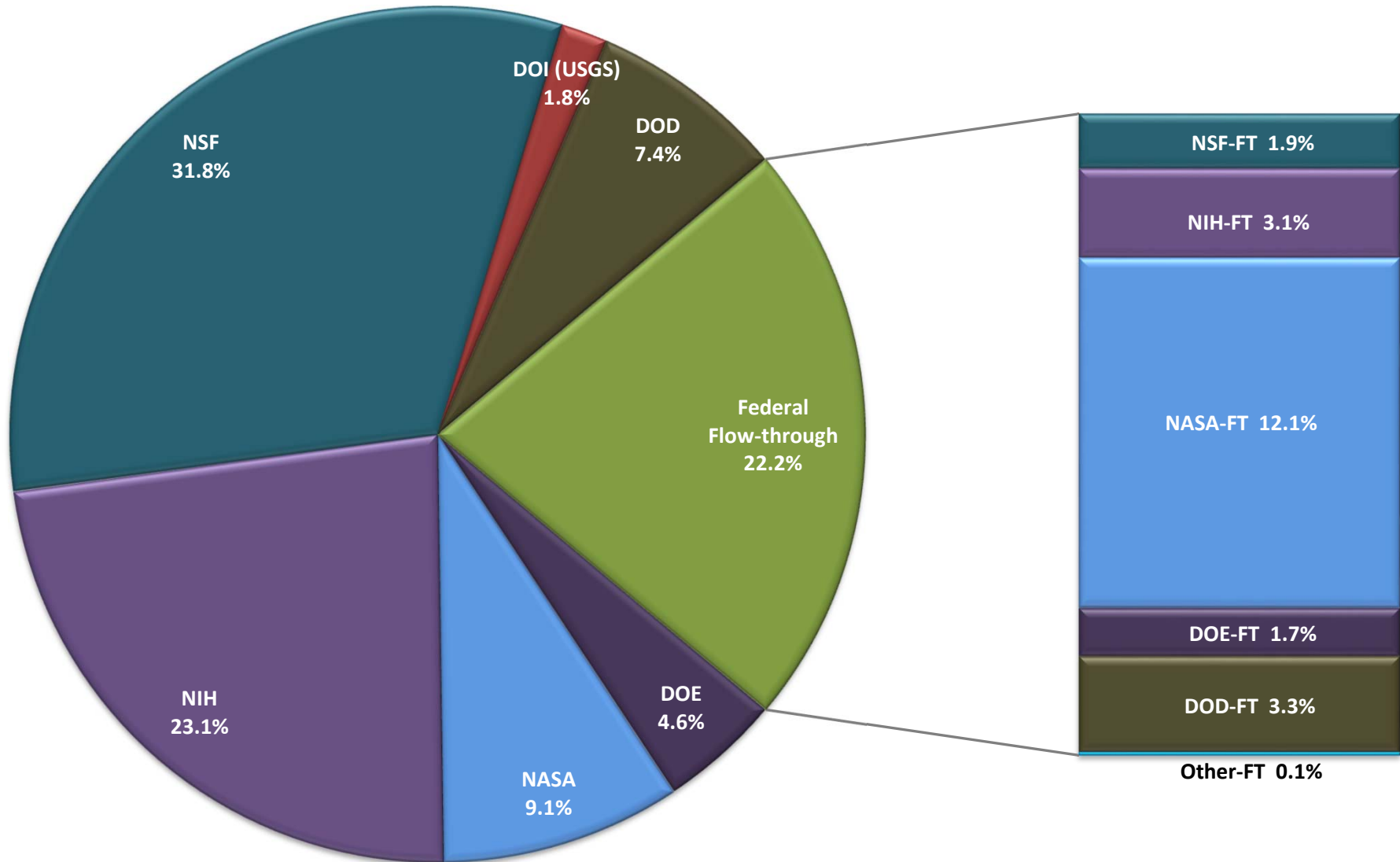
Chart 4

Agency Type	# of Transactions	Funds Awarded	% Change in Dollars from Previous Year
Federal Funding			
Executive and Independent Agencies			
Department of Defense			
Air Force	20	9,593,671	43.8%
Army	20	4,568,900	-7.2%
Defense Advanced Research Projects Agency	10	5,982,942	32.1%
Navy	28	5,985,156	-16.5%
Other DOD	2	300,000	0.0%
<b>Subtotal DOD</b>	<b>80</b>	<b>26,430,670</b>	11.0%
Department of Energy	27	16,259,400	-2.7%
National Aeronautics & Space Administration	141	32,435,919	69.7%
National Institutes of Health	151	82,116,285	21.2%
National Science Foundation	128	113,389,906	38.1%
Department of Interior (USGS)	14	6,276,463	25.7%
Other Federal Agencies	2	100,000	100.0%
<b>Subtotal Executive &amp; Independent Agencies</b>	<b>543</b>	<b>277,008,643</b>	29.2%
Federal Funds From Non-Federal Sponsors			
Educational/Research Institutions	194	29,806,151	14.5%
Non-Profit Organizations	78	12,053,819	29.0%
For-Profit Companies	12	1,162,971	-34.6%
Jet Propulsion Laboratory	320	36,084,285	-0.6%
State and Local Government	0	0	0.0%
<b>Subtotal Federal Funds from Non-Federal Sponsors</b>	<b>604</b>	<b>79,107,226</b>	7.7%
<b>TOTAL FEDERAL FUNDING</b>	<b>1,147</b>	<b>356,115,869</b>	23.7%
Non-Federal Funding			
Educational/Research Institutions	27	6,463,903	94.5%
Non-Profit Organizations	82	10,575,904	-51.7%
For-Profit Companies	40	11,165,900	-11.3%
State and Local Government Agencies	4	1,208,374	-24.2%
Foreign Entities	57	6,363,835	23.0%
<b>Subtotal Non-Federal Funding</b>	<b>210</b>	<b>35,777,916</b>	-19.7%
<b>GRAND TOTAL</b>	<b>1,357</b>	<b><u>\$391,893,785</u></b>	17.9%

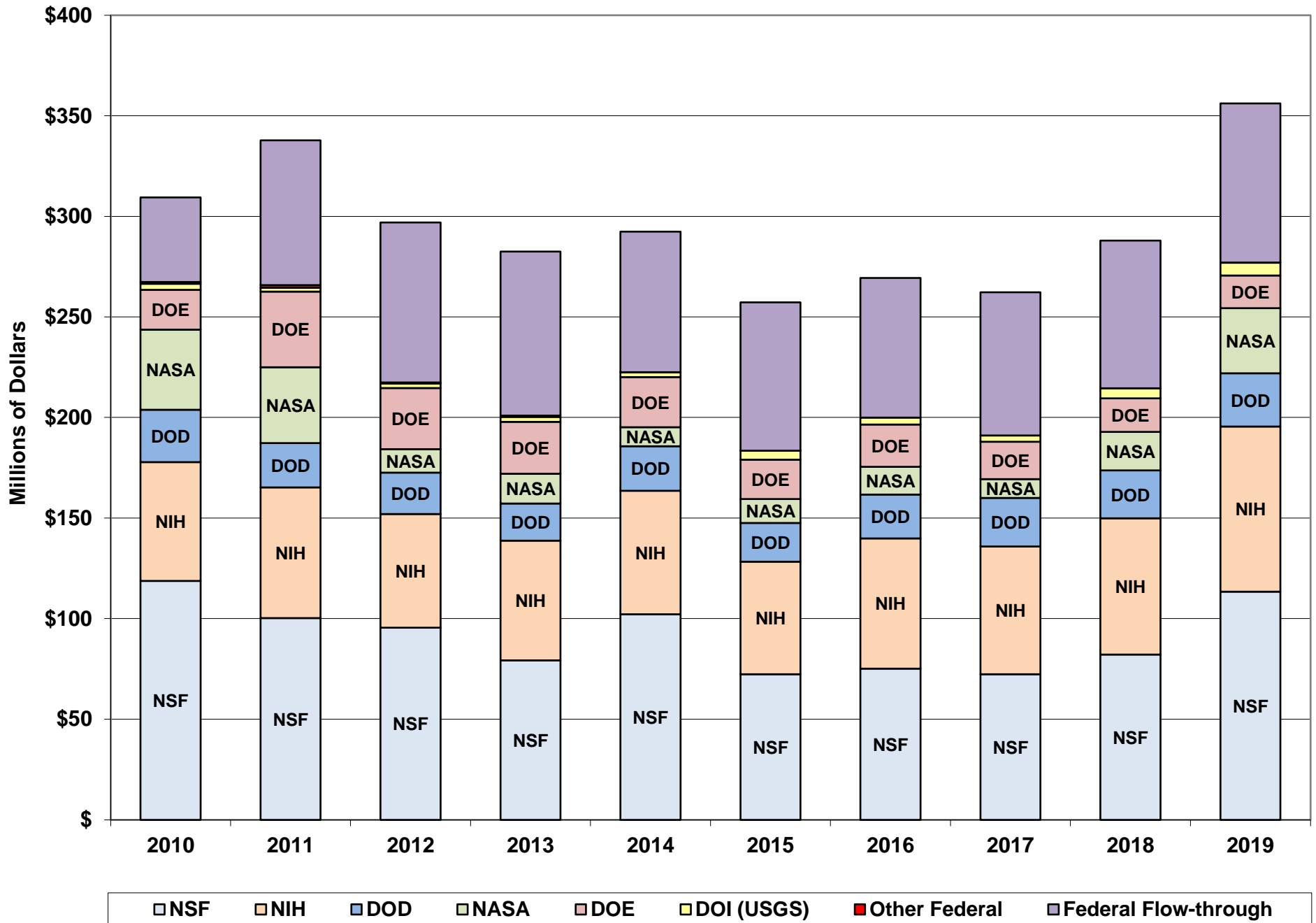
# California Institute of Technology Federal Contract and Grant Funding - FY2019

Total Federal Funding:  
\$356,115,869

Total Federal  
Flow-through Funding:  
\$79,107,226

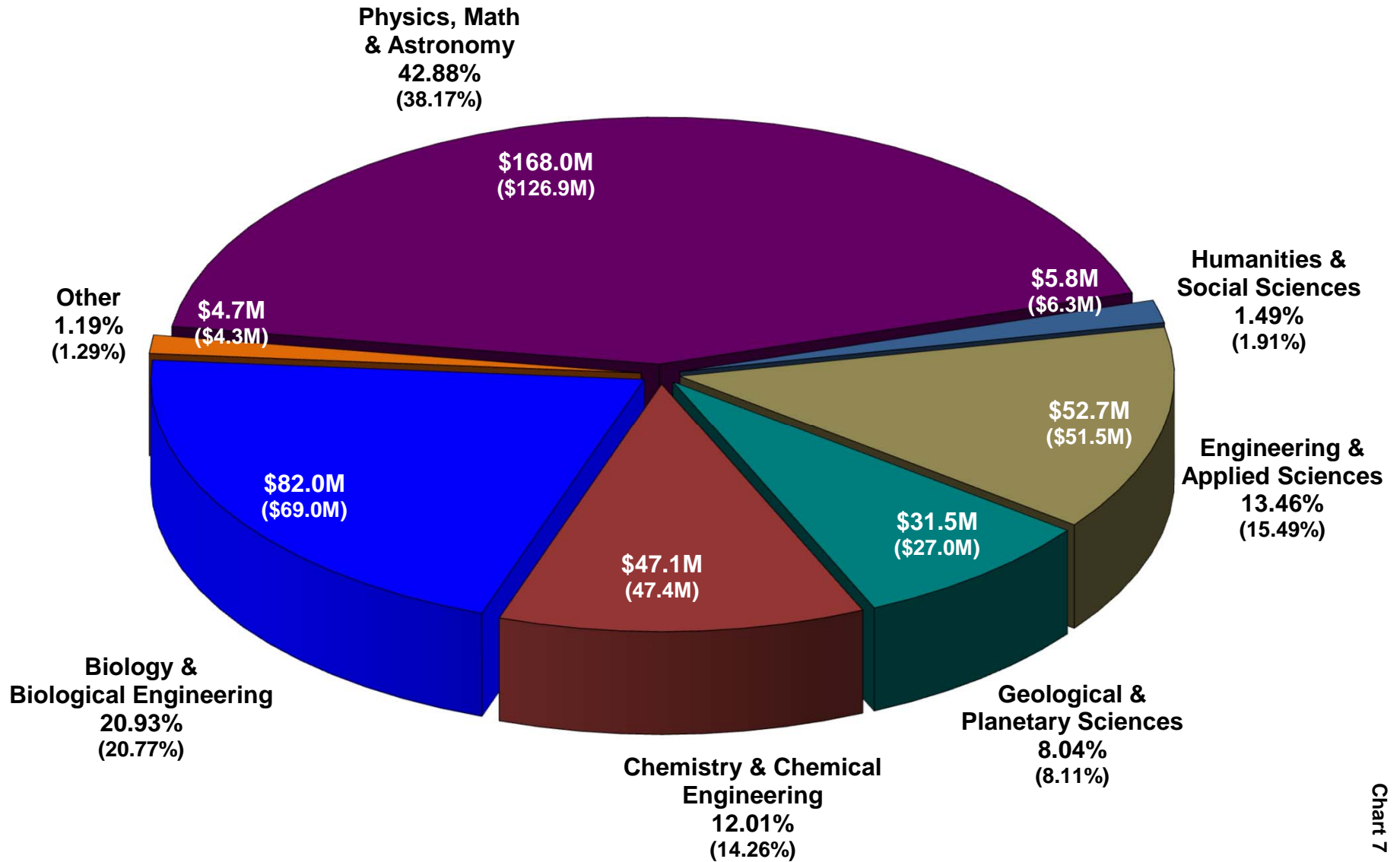


# California Institute of Technology Federal Contract & Grant Funding - FY2010-FY2019



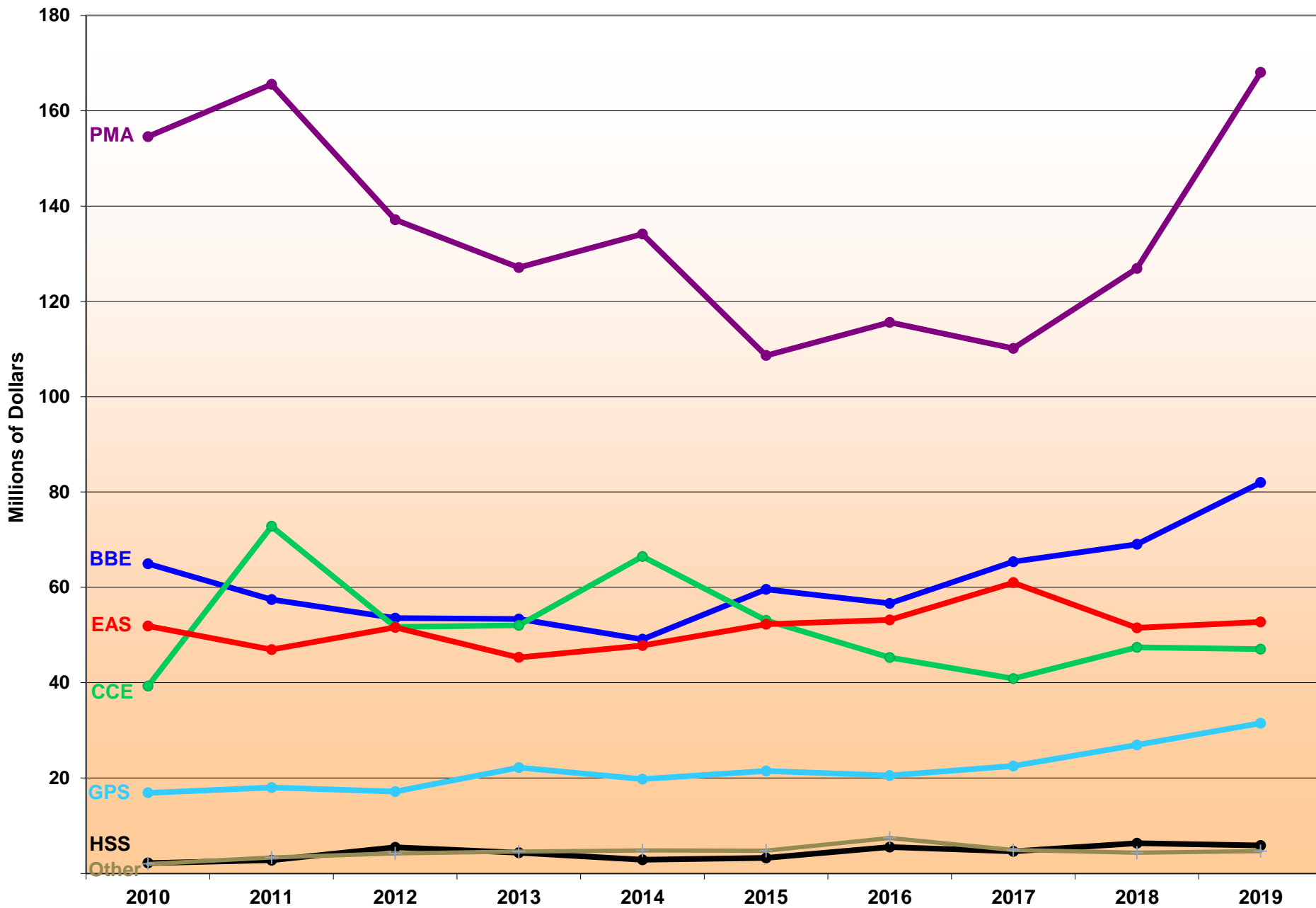
California Institute of Technology  
**Contract and Grant Funding, by Division - FY2019**  
 (parenthetical numbers represent previous year)

\$391,893,785

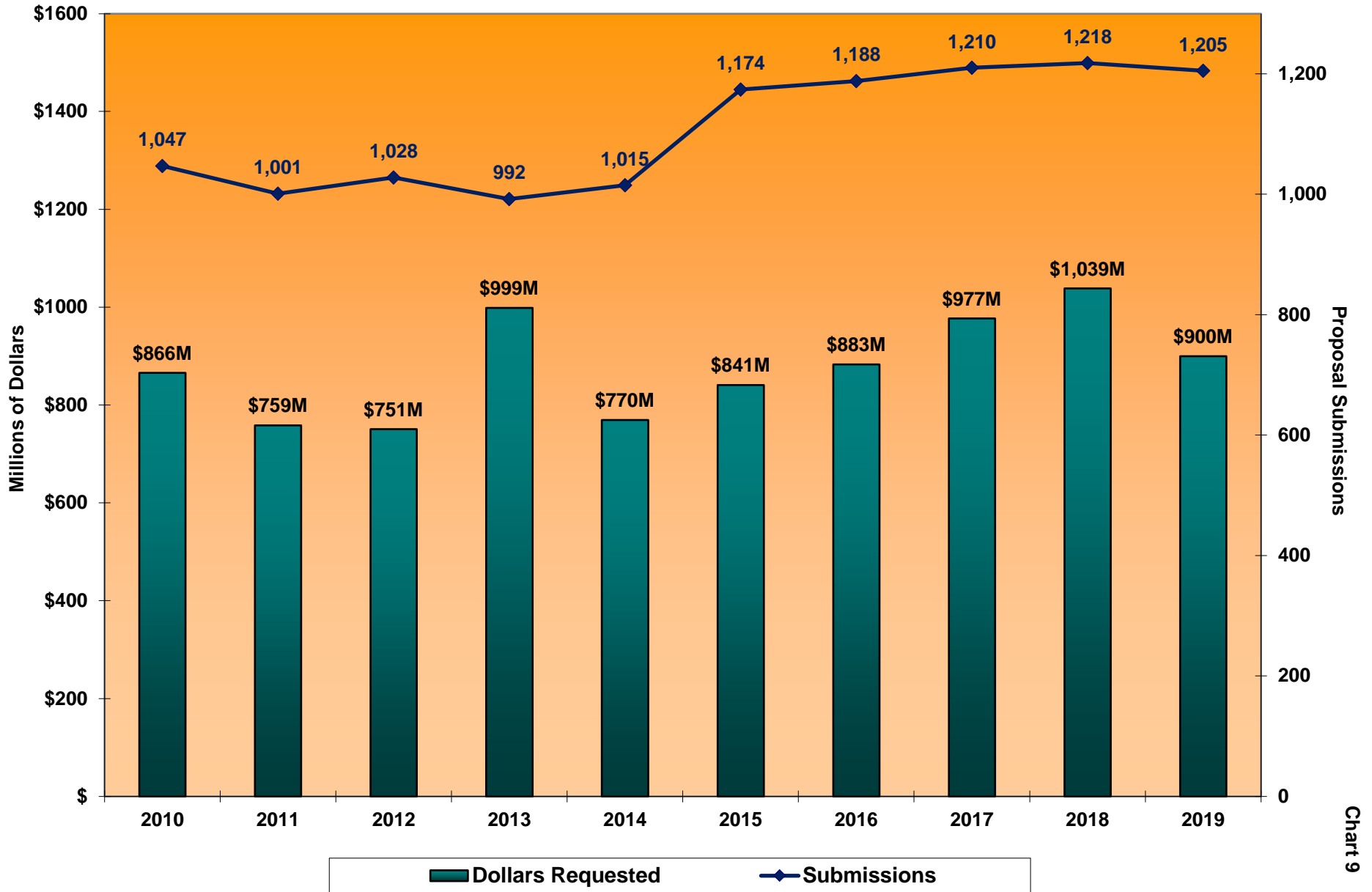




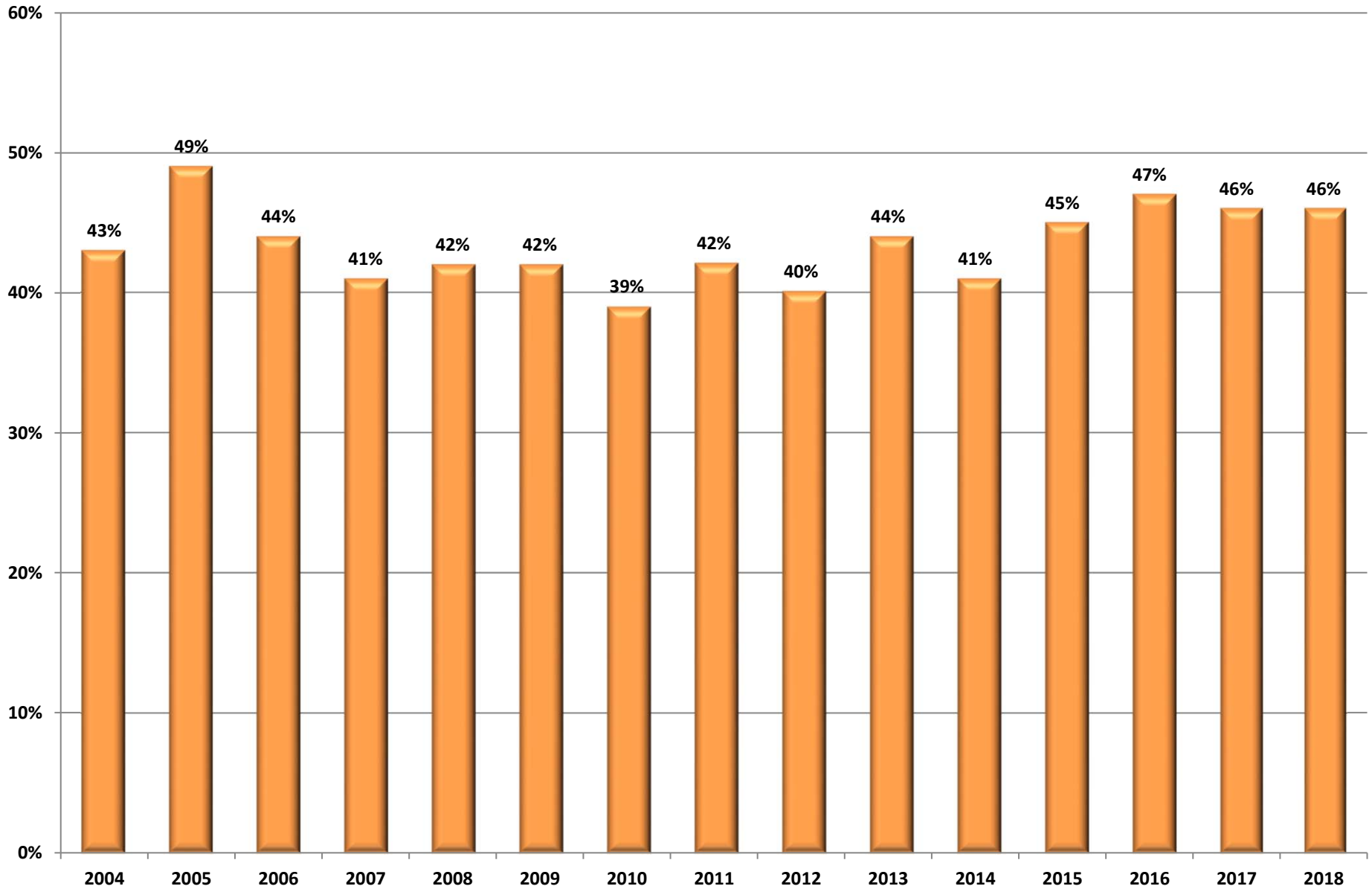
California Institute of Technology  
**Contract and Grant Funding, by Division - FY2010-FY2019**



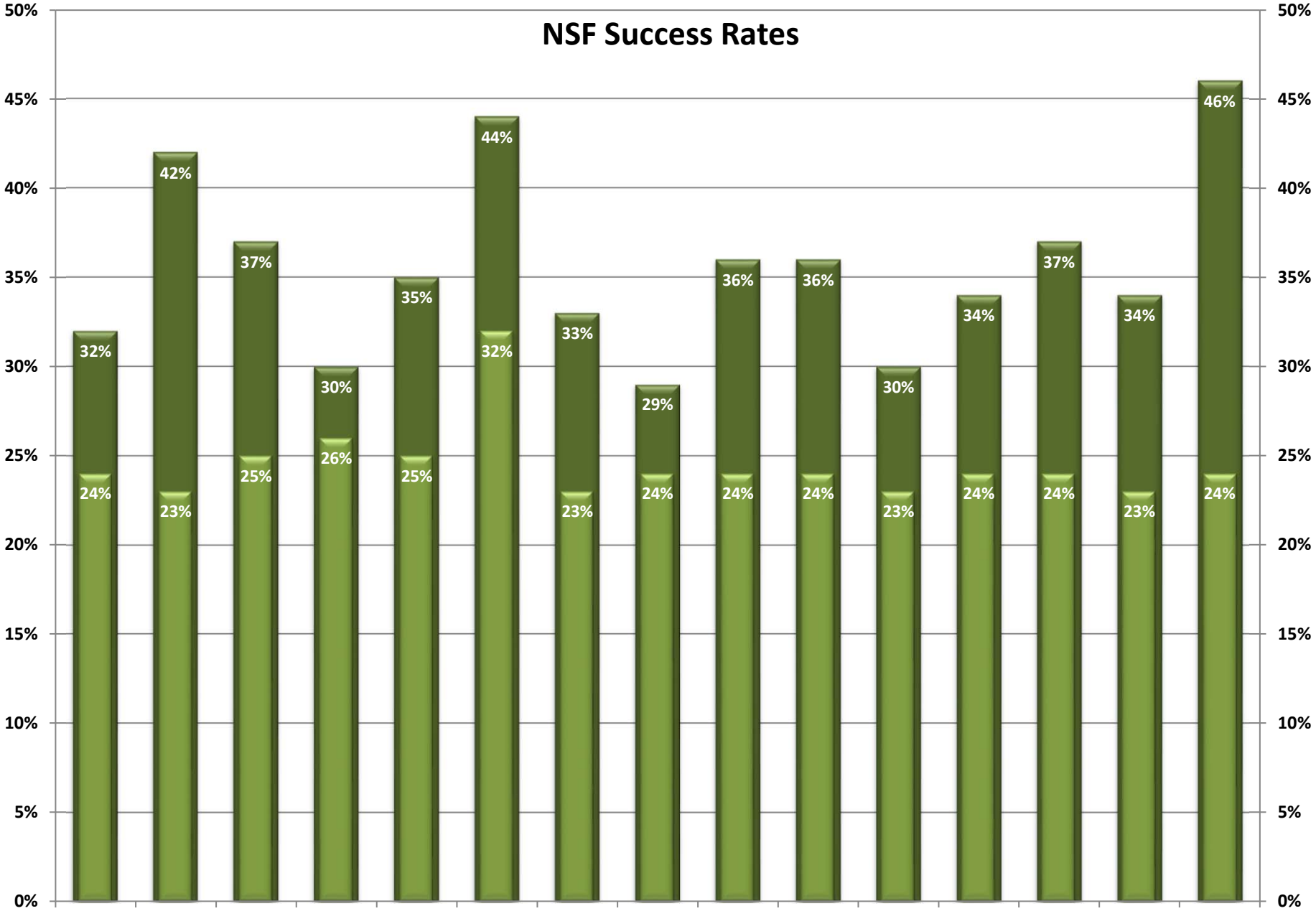
California Institute of Technology  
Contract and Grant Proposal Submissions: FY2010- FY2019



## Success Rate of All Caltech Proposals



# NSF Success Rates



■ NSF-Caltech ■ NSF-National

Chart 11

# NIH Success Rates

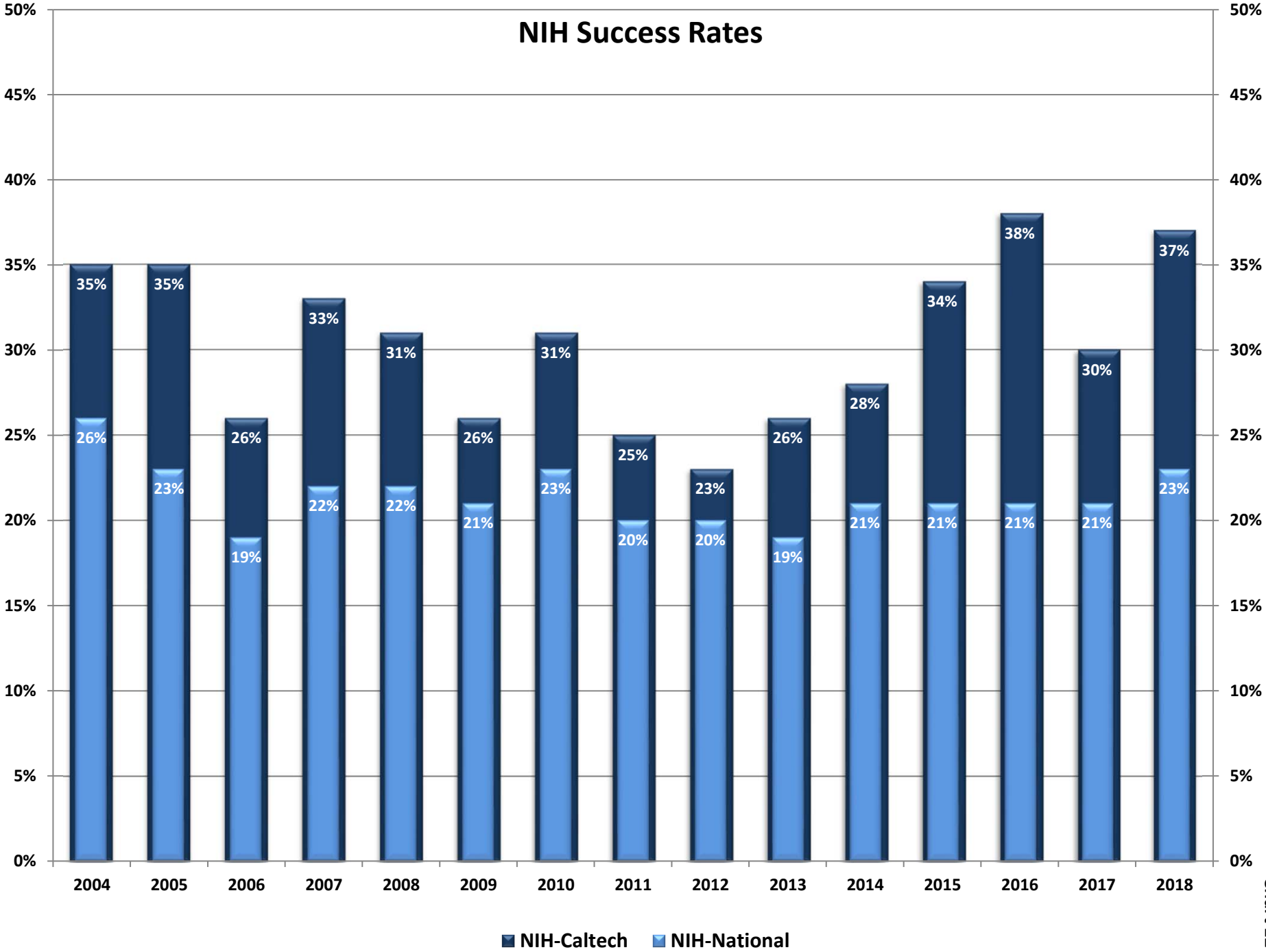


Chart 12