

December 19, 2017

Office of Research Administration
Annual Report for FY 2017

This is a report of Caltech's sponsored research proposal and award activity for Fiscal Year 2017, October 1, 2016 through September 30, 2017. The report consists of a brief narrative summary followed by a series of 12 charts that depict various aspects of Caltech's award and proposal activity for FY 2017.¹

Awards. A modest increase of 4% in total research funds awarded was recorded for FY 2017. The Federal funding was off by less than 1% from the previous year. Federal funding still accounts for more than 84% of all funds received. Non-Federal funds, as a portion of total funding, increased by 5%. As has been the case for the past three years, Federal funding has been nearly flat, while non-Federal funding has continued to increase.

Information on the detailed transactions and dollars by sponsoring agencies shows that among the Federal agencies, Caltech's largest sponsors continue to be NSF and NIH, followed by DOD, DOE, NASA, and USGS. Federal funds awarded to Caltech by non-Federal agencies, mostly other universities with whom Caltech faculty collaborate, are known as "Federal flow-through funds" and account for nearly one third of all Federal funding received. The report includes a chart that shows the origins of the flow-through funds, the majority of which originate with NASA and represent the funds that Caltech faculty receive from their JPL colleagues for research collaborations.

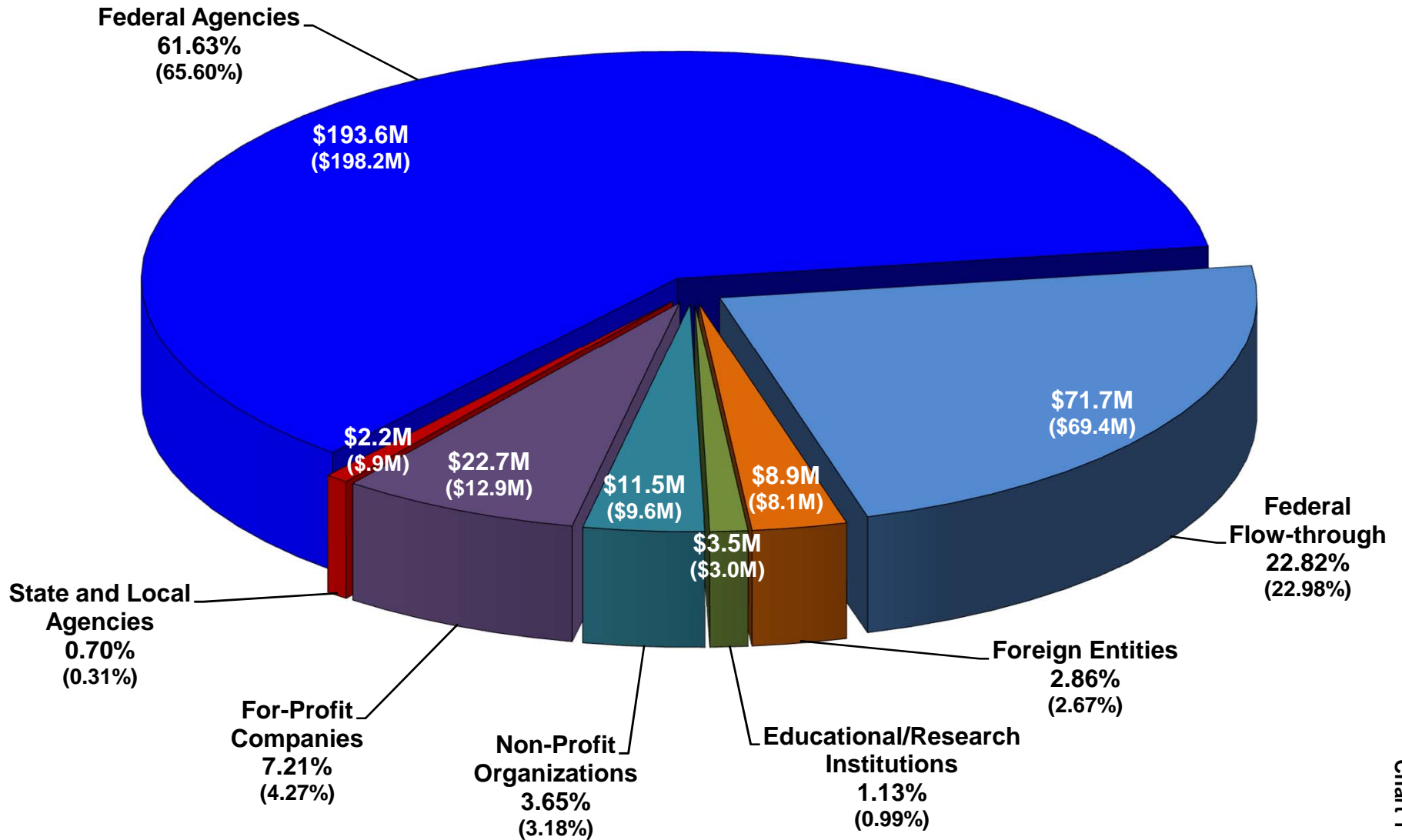
Information on awards received by Caltech's six academic Divisions for both the current year and the past ten years is included in this report. FY 2017 shows increases in both the number of award transactions and the dollars awarded for the majority of the Divisions.

Proposals. Both the number of proposals submitted and the total dollars requested have continued to increase over the past four years. Of particular significance is the success rate for Caltech research proposals submitted between FY 2004 and FY 2016. As of the end of calendar 2017, 47% of the competitive proposals submitted in FY 2016 have been awarded. Caltech faculty appear to be doing very well in terms of the success of their NIH and NSF proposals when compared with the nationwide success rates published by those agencies.

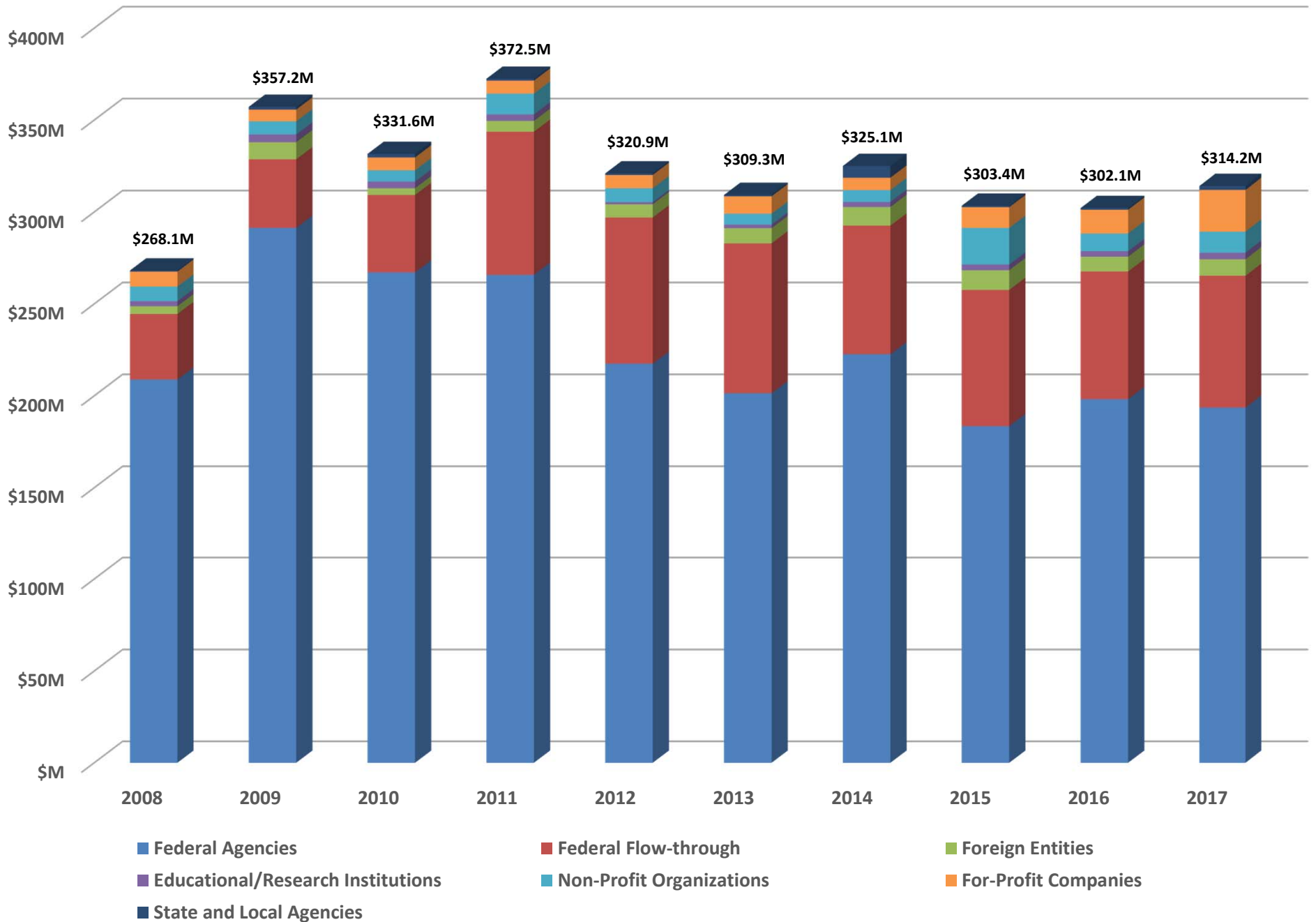
¹ This report does not include information on research awards administered by the Office of Foundation Relations, funding received from the Howard Hughes Medical Research Institute, or funding received from NASA for the operation of the Jet Propulsion Laboratory.

California Institute of Technology
Contract and Grant Funding, by Sponsor Type - FY2017
 (parenthetical numbers represent previous year)

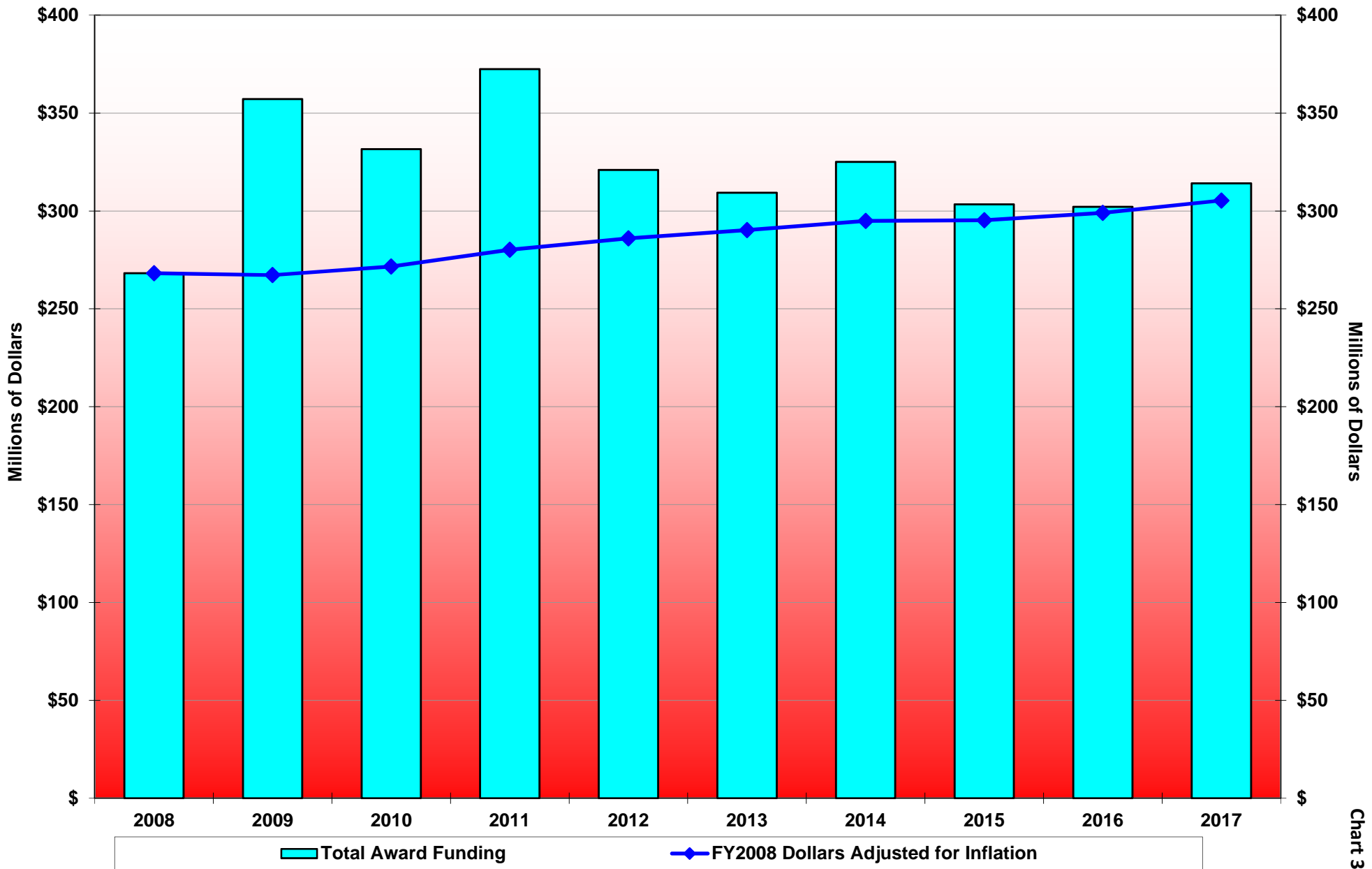
\$314,158,060



California Institute of Technology Contract and Grant Funding, by Sponsor Type - FY2008-FY2017



10-Year Contract and Grant Funding: FY2008-FY2017 Compared to FY2008 Dollars Adjusted for Inflation (Inflation Rate Based Upon Average Annual Consumer Price Index)



**California Institute of Technology
Contract Grant Funding, by Sponsor - FY2017**

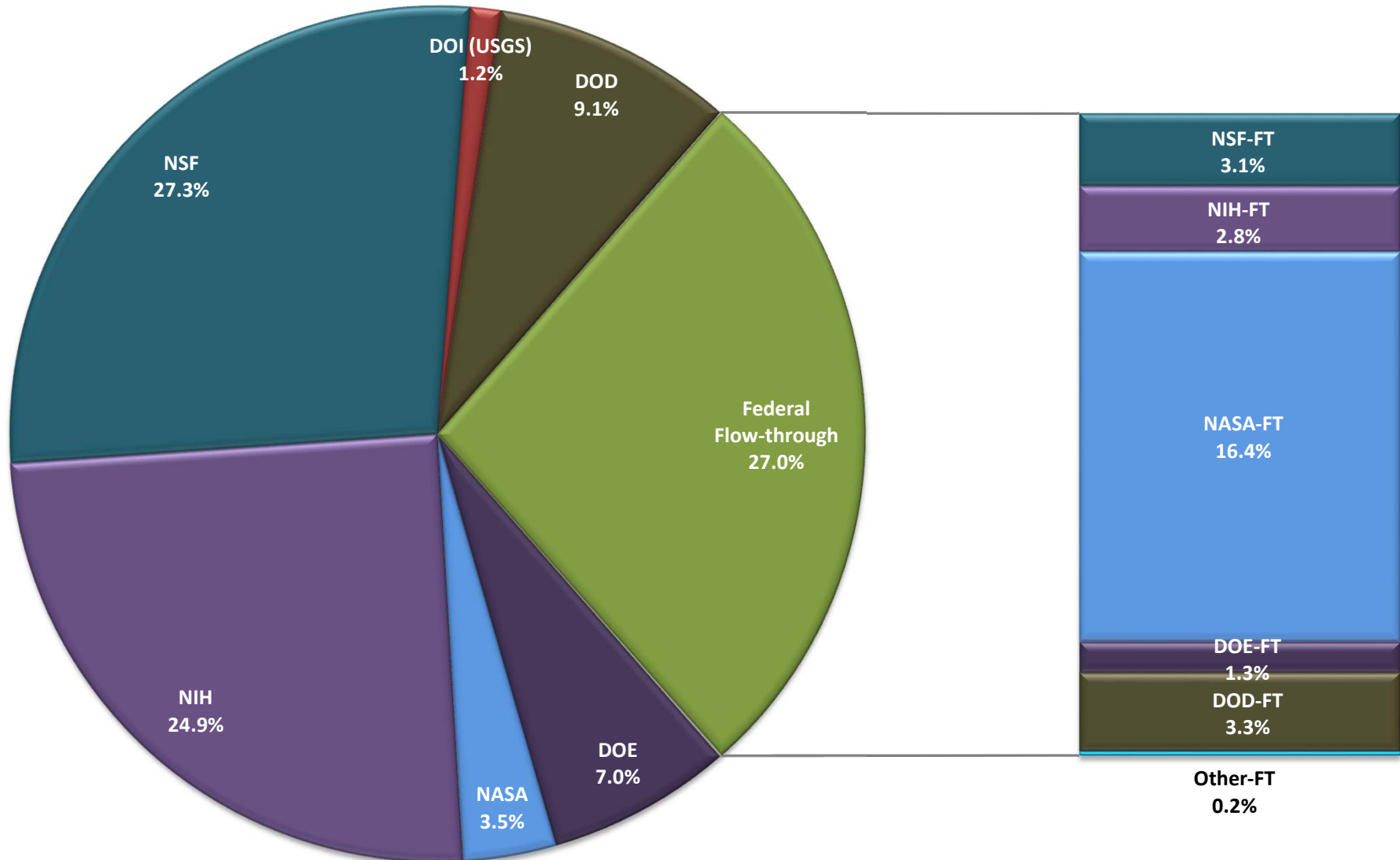
Chart 4

Agency Type	# of Transactions	Funds Awarded	% Change in Dollars from Previous Year
Federal Funding			
Executive and Independent Agencies			
Department of Defense			
Air Force	18	4,810,006	7.5%
Army	21	8,177,492	287.5%
Defense Advanced Research Projects Agency	7	5,899,490	-29.5%
Navy	44	5,235,205	-19.5%
Other DOD	0	0	0.0%
Subtotal DOD	90	24,122,193	10.5%
Department of Energy	26	18,585,894	-12.9%
National Aeronautics & Space Administration	83	9,341,717	-32.2%
National Institutes of Health	201	65,987,987	5.4%
National Science Foundation	113	72,450,934	-3.6%
Department of Interior (USGS)	7	3,113,199	-10.3%
Other Federal Agencies	0	0	0.0%
Subtotal Executive & Independent Agencies	520	193,601,924	-2.3%
Federal Funds From Non-Federal Sponsors			
Educational/Research Institutions	168	22,955,559	-7.4%
Non-Profit Organizations	75	8,071,865	11.8%
For-Profit Companies	20	3,060,621	64.3%
Jet Propulsion Laboratory	256	37,614,915	5.8%
State and Local Government	0	0	0.0%
Subtotal Federal Funds from Non-Federal Sponsors	519	71,702,960	3.3%
TOTAL FEDERAL FUNDING	1,039	265,304,884	-0.9%
Non-Federal Funding			
Educational/Research Institutions	20	3,566,529	19.2%
Non-Profit Organizations	83	11,458,425	19.2%
For-Profit Companies	50	22,658,611	75.5%
State and Local Government Agencies	5	2,182,904	142.4%
Foreign Entities	58	8,986,707	11.3%
Subtotal Non-Federal Funding	216	48,853,176	41.6%
GRAND TOTAL	1,255	<u>\$314,158,060</u>	4.0%

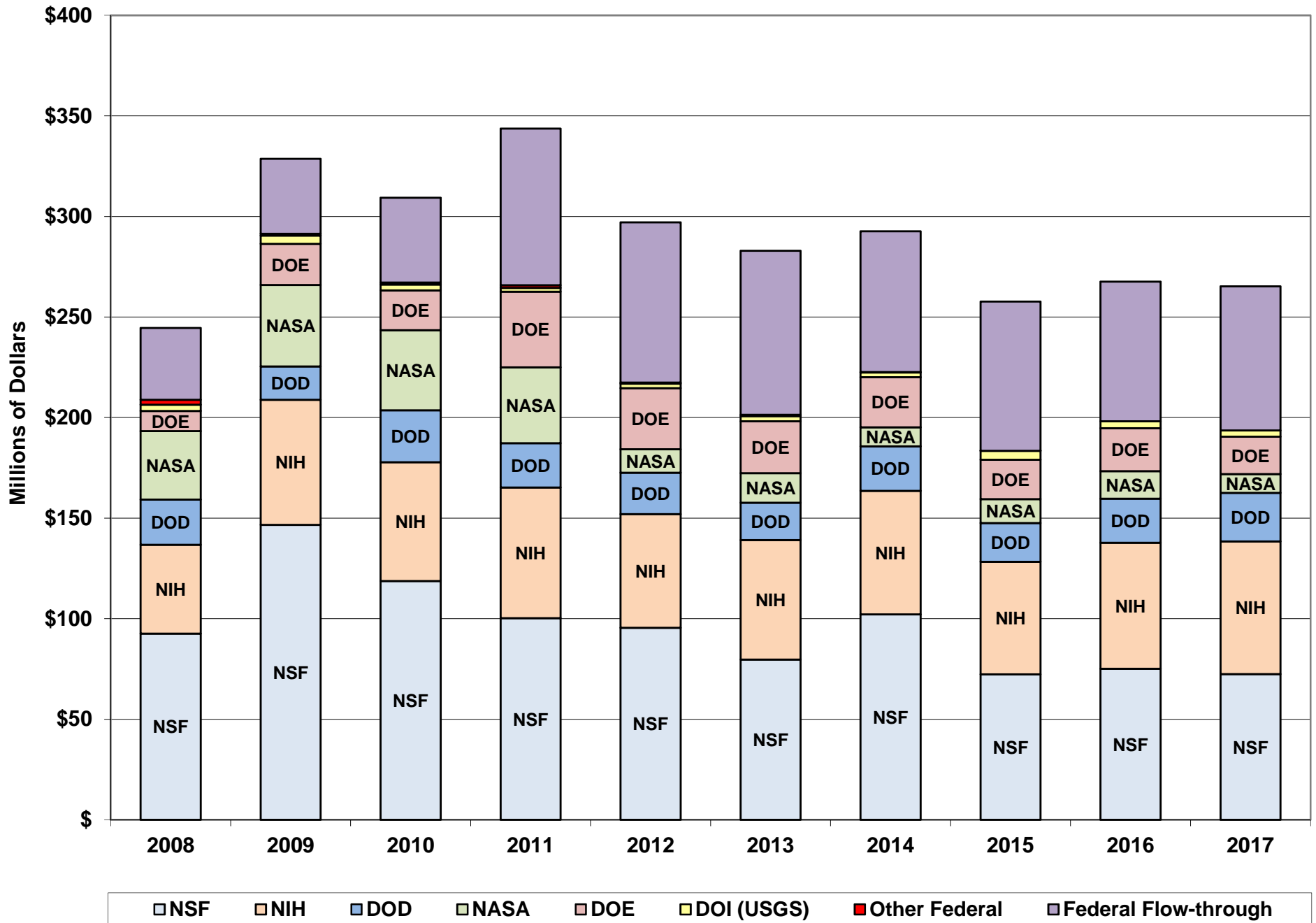
California Institute of Technology Federal Contract and Grant Funding - FY2017

Total Federal Funding:
\$265,304,884

Total Federal
Flow-through Funding:
\$71,702,960

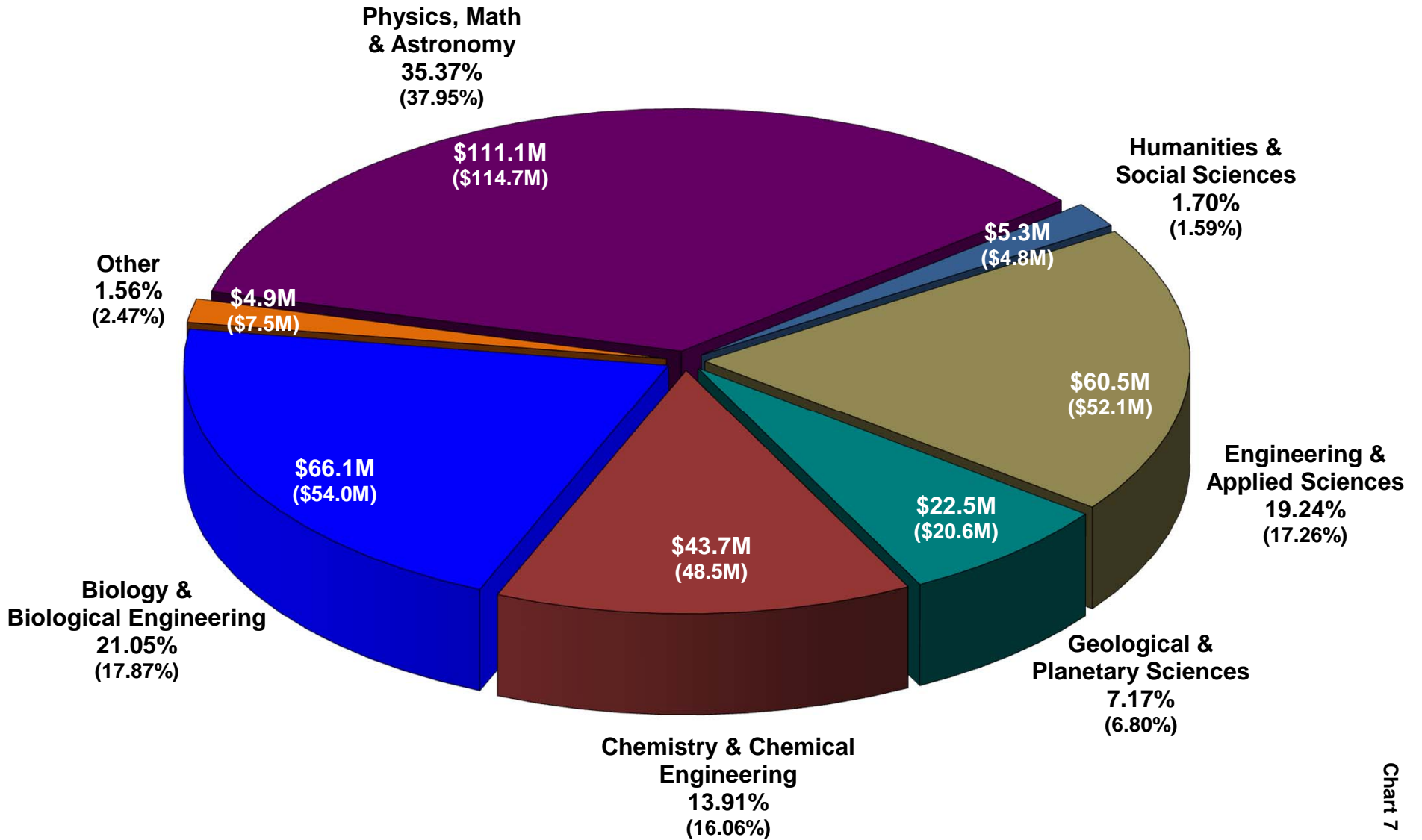


California Institute of Technology Federal Contract & Grant Funding - FY2008-FY2017

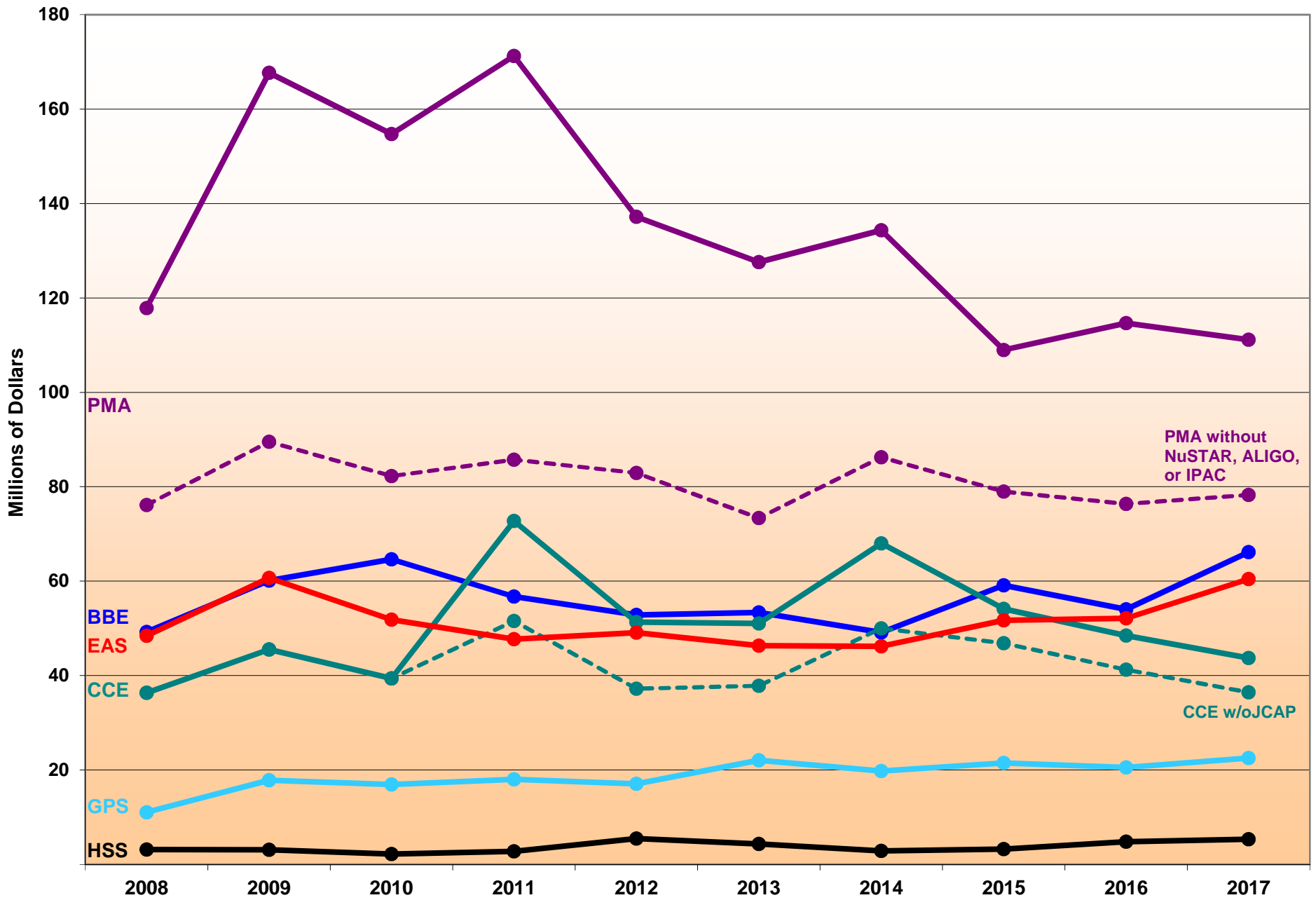


California Institute of Technology
Contract and Grant Funding, by Division - FY2017
(parenthetical numbers represent previous year)

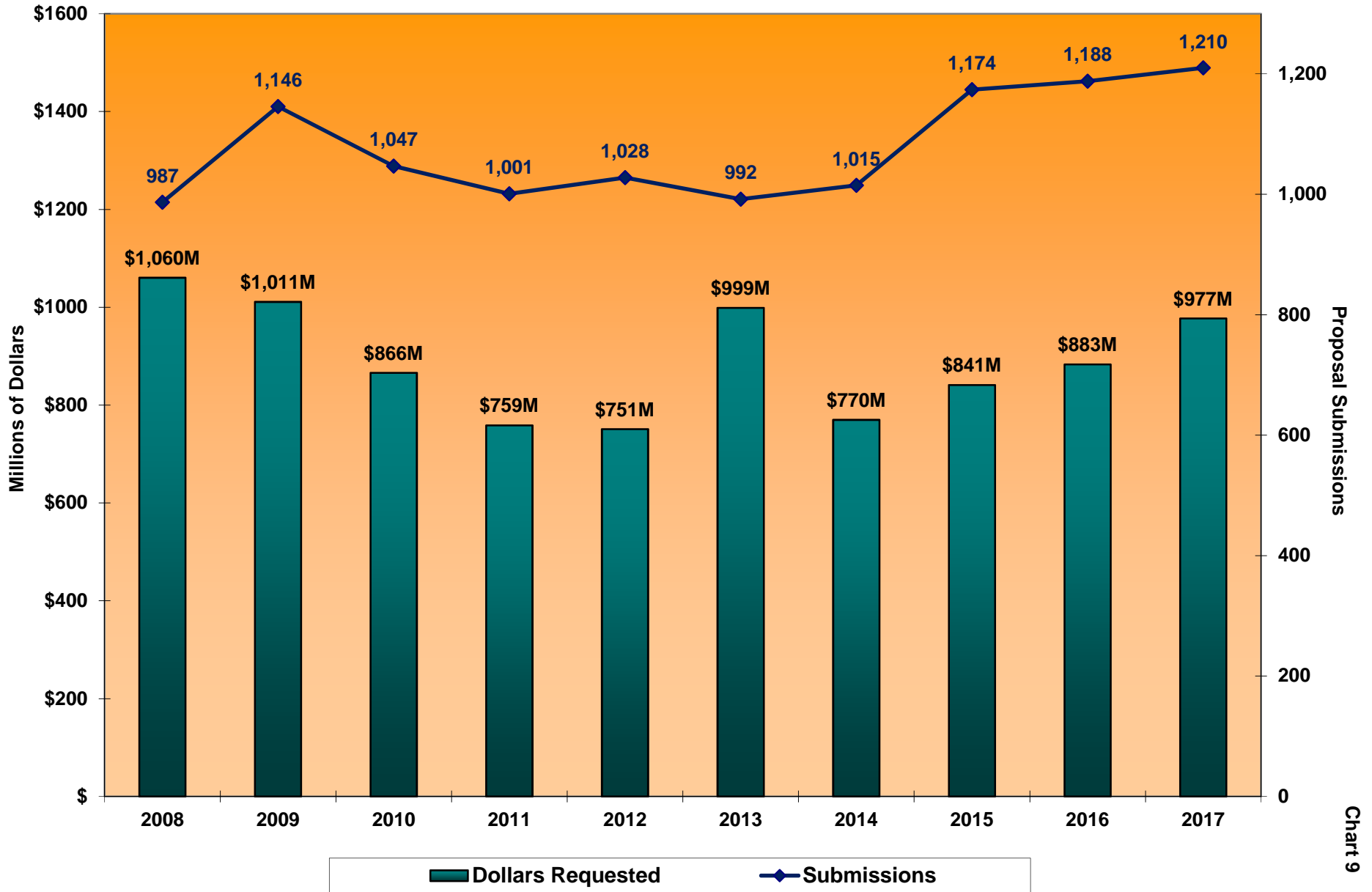
\$314,158,060



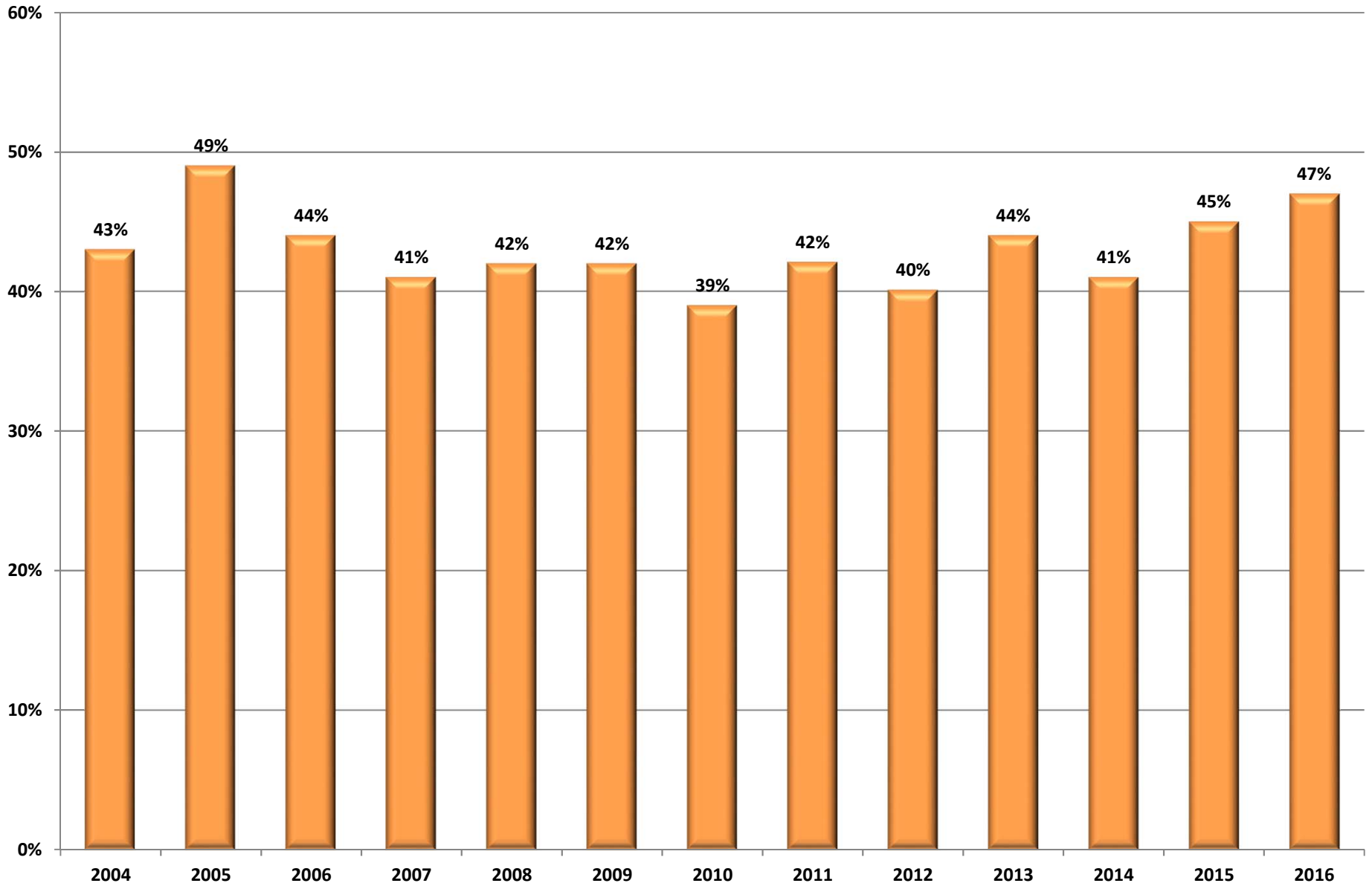
California Institute of Technology
 Contract and Grant Funding, by Division - FY2008-FY2017



California Institute of Technology
Contract and Grant Proposal Submissions: FY2008- FY2017



Success Rate of All Caltech Proposals



NSF Success Rates

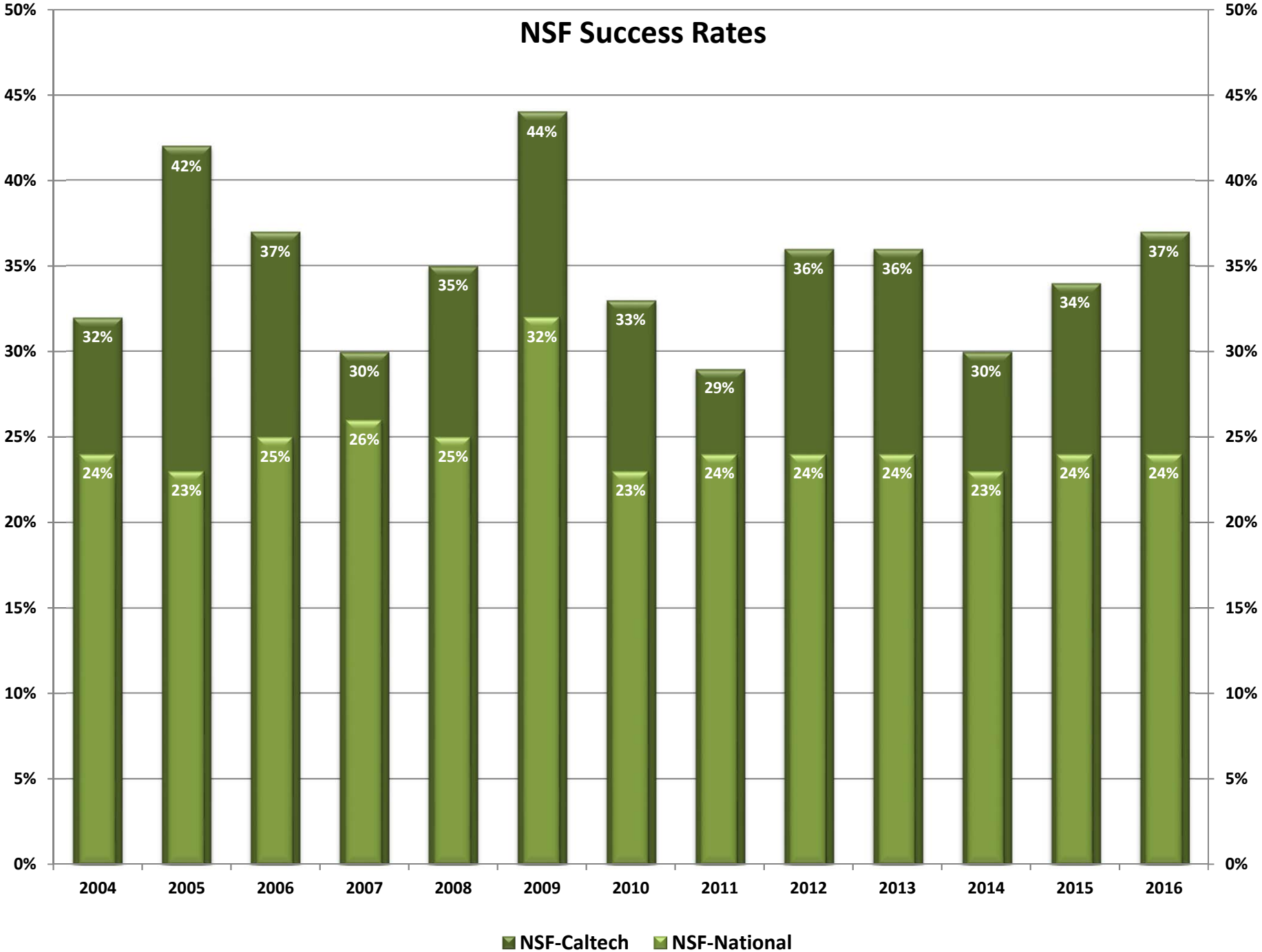


Chart 11

NIH Success Rates

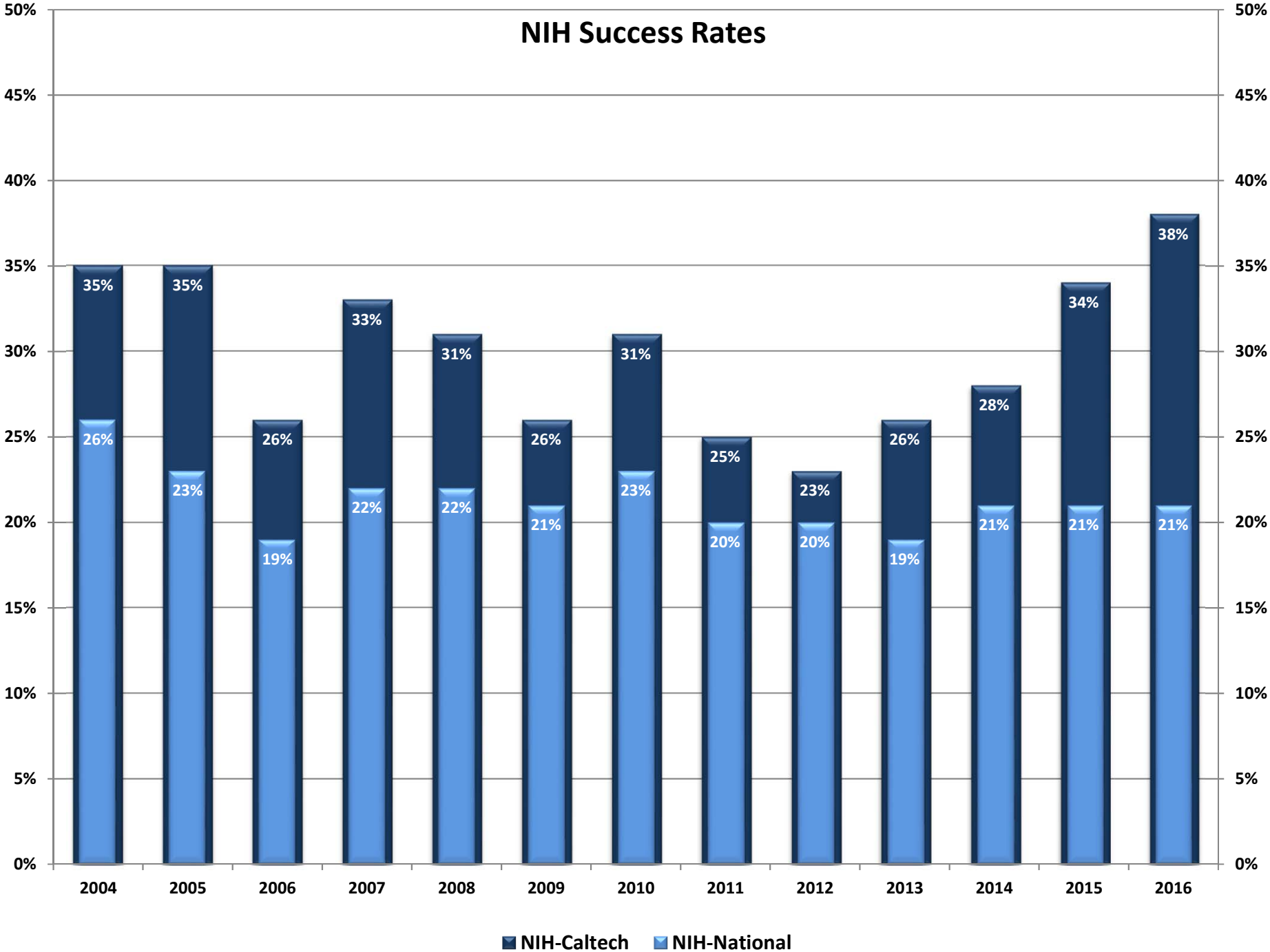


Chart 12