This is a report of Caltech’s sponsored research proposal and award activity for Fiscal Year 2018, October 1, 2017 through September 30, 2018. The report consists of a brief narrative summary followed by a series of 12 charts that depict various aspects of Caltech’s awards and proposals for FY 2018.\footnote{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 include funds allocated by JPL in support of research activities on the Caltech campus.}

**Awards.** Awards for FY 2018 totaled $333 million, a 6% increase in research funds awarded in FY 2017. Federal funding increased by 8.8 for a total of $289 million. This represents the highest level of Federal funding in four years and reflects favorable congressional appropriations for the Federal research agencies from whom Caltech receives support. Funding from non-Federal sponsors was $44 million, which represents 13% of all research funding received in FY 2018.

Funds awarded by Federal agencies show that Caltech’s largest sponsors continue to be NSF, accounting for nearly 30% of Federal funds, and NIH, accounting for nearly 25% of Federal funds. Next in order of funding levels are DOD, NASA, and USGS. Federal funds awarded to Caltech by non-Federal agencies, mostly other universities with whom Caltech faculty collaborate, are identified as “Federal flow-through funds” and account for 25% of all Federal funds received. 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 annual proposal submissions continues to increase at modest, but steady, levels and is now at just below 1,220. In FY 2018, total funds requested exceeded $1 billion for the first time in 10 years. The report includes information on the success rates for proposals submitted between FY 2004 and FY 2017. As of the end of calendar year 2018, 46% of the competitive proposals submitted in 2017 have been awarded. Caltech faculty continue to do very well in terms of the success of their NIH and NSF proposals when compared with the nationwide success rates published by those agencies. Caltech investigators exceeded the national success rates of NSF by 11% and of NIH by 9%.
California Institute of Technology
Contract and Grant Funding, by Sponsor Type - FY2018
(parenthetical numbers represent previous year)

$333,049,589

- **Federal Agencies**: 64.64% (61.63%)
  - $215.3M ($193.6M)
- **Federal Flow-through**: 22.06% (22.82%)
  - $12.3M ($22.7M)
- **Foreign Entities**: 1.55% (2.86%)
  - $3.3M ($3.5M)
- **Educational/Research Institutions**: 1.00% (1.13%)
  - $5.1M ($8.9M)
- **Non-Profit Organizations**: 6.57% (3.65%)
  - $21.9M ($11.5M)
- **State and Local Agencies**: 0.48% (0.70%)
  - $1.6M ($2.2M)
- **For-Profit Companies**: 3.70% (7.21%)
  - $73.5M ($71.7M)

Chart 1
California Institute of Technology
Contract and Grant Funding, by Sponsor Type - FY2009-FY2018

Chart 2

Federal Agencies
Educational/Research Institutions
Non-Profit Organizations
Foreign Entities
For-Profit Companies
State and Local Agencies
## California Institute of Technology
### Contract Grant Funding, by Sponsor - FY2018

<table>
<thead>
<tr>
<th>Agency Type</th>
<th># of Transactions</th>
<th>Funds Awarded</th>
<th>% Change in Dollars from Previous Year</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Federal Funding</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Executive and Independent Agencies</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Department of Defense</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Air Force</td>
<td>18</td>
<td>6,672,021</td>
<td>38.7%</td>
</tr>
<tr>
<td>Army</td>
<td>24</td>
<td>4,989,753</td>
<td>-39.0%</td>
</tr>
<tr>
<td>Defense Advanced Research Projects Agency</td>
<td>6</td>
<td>4,529,009</td>
<td>-23.2%</td>
</tr>
<tr>
<td>Navy</td>
<td>46</td>
<td>7,171,300</td>
<td>37.0%</td>
</tr>
<tr>
<td>Other DOD</td>
<td>1</td>
<td>525,000</td>
<td>0.0%</td>
</tr>
<tr>
<td><strong>Subtotal DOD</strong></td>
<td>95</td>
<td>23,887,083</td>
<td>-1.0%</td>
</tr>
<tr>
<td>Department of Energy</td>
<td>32</td>
<td>16,717,859</td>
<td>-10.1%</td>
</tr>
<tr>
<td>National Aeronautics &amp; Space Administration</td>
<td>105</td>
<td>19,115,137</td>
<td>104.6%</td>
</tr>
<tr>
<td>National Institutes of Health</td>
<td>178</td>
<td>67,730,267</td>
<td>2.6%</td>
</tr>
<tr>
<td>National Science Foundation</td>
<td>137</td>
<td>82,835,655</td>
<td>14.3%</td>
</tr>
<tr>
<td>Department of Interior (USGS)</td>
<td>14</td>
<td>4,992,762</td>
<td>60.4%</td>
</tr>
<tr>
<td>Other Federal Agencies</td>
<td>0</td>
<td>0</td>
<td>0.0%</td>
</tr>
<tr>
<td><strong>Subtotal Executive &amp; Independent Agencies</strong></td>
<td>561</td>
<td>215,278,763</td>
<td>11.2%</td>
</tr>
<tr>
<td><strong>Federal Funds From Non-Federal Sponsors</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Educational/Research Institutions</td>
<td>192</td>
<td>25,935,199</td>
<td>13.0%</td>
</tr>
<tr>
<td>Non-Profit Organizations</td>
<td>89</td>
<td>9,415,802</td>
<td>16.6%</td>
</tr>
<tr>
<td>For-Profit Companies</td>
<td>10</td>
<td>1,777,796</td>
<td>-41.9%</td>
</tr>
<tr>
<td>Jet Propulsion Laboratory</td>
<td>288</td>
<td>36,347,985</td>
<td>-3.4%</td>
</tr>
<tr>
<td>State and Local Government</td>
<td>0</td>
<td>0</td>
<td>0.0%</td>
</tr>
<tr>
<td><strong>Subtotal Federal Funds from Non-Federal Sponsors</strong></td>
<td>579</td>
<td>73,476,782</td>
<td>2.5%</td>
</tr>
<tr>
<td><strong>TOTAL FEDERAL FUNDING</strong></td>
<td>1,140</td>
<td>288,755,545</td>
<td>8.8%</td>
</tr>
<tr>
<td><strong>Non-Federal Funding</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Educational/Research Institutions</td>
<td>23</td>
<td>3,323,453</td>
<td>-6.8%</td>
</tr>
<tr>
<td>Non-Profit Organizations</td>
<td>92</td>
<td>21,893,140</td>
<td>91.1%</td>
</tr>
<tr>
<td>For-Profit Companies</td>
<td>41</td>
<td>12,309,290</td>
<td>-45.7%</td>
</tr>
<tr>
<td>State and Local Government Agencies</td>
<td>4</td>
<td>1,594,168</td>
<td>-27.0%</td>
</tr>
<tr>
<td>Foreign Entities</td>
<td>57</td>
<td>5,173,993</td>
<td>-42.4%</td>
</tr>
<tr>
<td><strong>Subtotal Non-Federal Funding</strong></td>
<td>217</td>
<td>44,294,044</td>
<td>-9.3%</td>
</tr>
<tr>
<td><strong>GRAND TOTAL</strong></td>
<td>1,357</td>
<td>$333,049,589</td>
<td>6.0%</td>
</tr>
</tbody>
</table>
California Institute of Technology
Federal Contract and Grant Funding - FY2018

Total Federal Funding: $288,755,545

- NSF 28.7%
- NIH 23.5%
- NASA 6.6%
- DOE 5.8%
- DOD 8.3%
- DOI (USGS) 1.7%
- Other 0.1%

Federal Flow-through Funding: 25.4%

Total Federal Flow-through Funding: $73,746,782

- NASA-FT 15.4%
- DOE-FT 1.0%
- NIH-FT 2.9%
- DOD-FT 3.9%
- Other-FT 0.1%

California Institute of Technology Federal Contract and Grant Funding - FY2018

Total Federal Funding: $288,755,545

- NSF 28.7%
- NIH 23.5%
- NASA 6.6%
- DOE 5.8%
- DOD 8.3%
- DOI (USGS) 1.7%
- Other 0.1%

Federal Flow-through Funding: 25.4%

Total Federal Flow-through Funding: $73,746,782

- NASA-FT 15.4%
- DOE-FT 1.0%
- NIH-FT 2.9%
- DOD-FT 3.9%
- Other-FT 0.1%
California Institute of Technology
Contract and Grant Funding, by Division - FY2018
(parenthetical numbers represent previous year)

$333,049,589

Physics, Math & Astronomy
38.10% (35.37%) $126.9M ($111.1M)

Chemistry & Chemical Engineering
14.24% (7.17%) $47.4M ($22.5M)

Biology & Biological Engineering
20.95% (21.05%) $69.8M ($66.1M)

Geological & Planetary Sciences
8.10% (7.17%) $47.4M ($22.5M)

Humanities & Social Sciences
1.90% (1.70%) $6.3M ($5.3M)

Engineering & Applied Sciences
15.41% (19.24%) $51.3M ($60.5M)

Other
1.30% (1.56%) $4.3M ($4.9M)

California Institute of Technology

$333,049,589

Chart 7
California Institute of Technology

Contract and Grant Proposal Submissions: FY2009- FY2018

Chart 9
NIH Success Rates

Chart 12

NIH-Caltech  NIH-National