

January 2, 2019

Office of Research Administration
Annual Report for 2018

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 2018.¹

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.

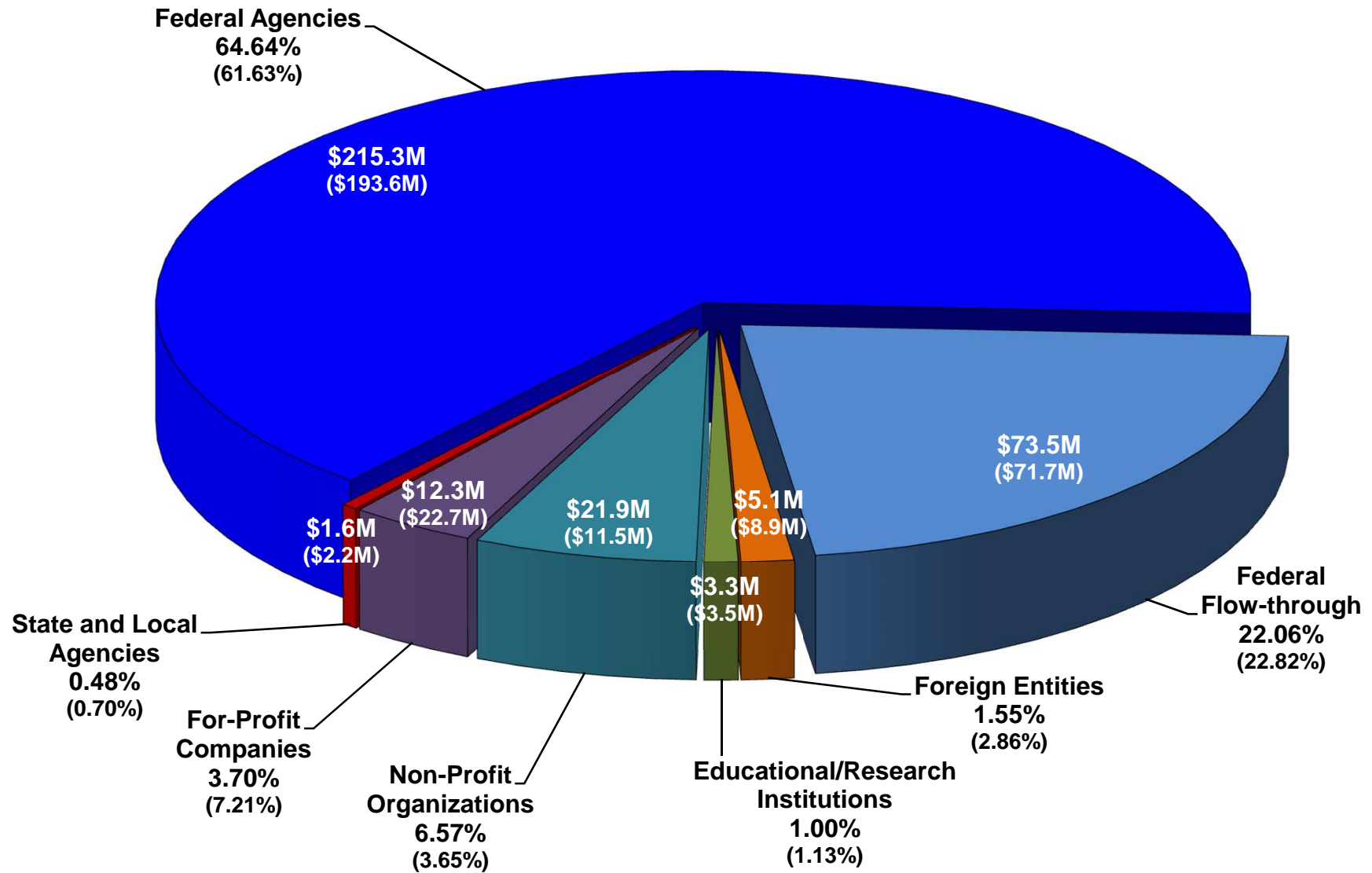
Funds awarded by Federal agencies show that Caltech's largest sponsors continue to be NSF, accounting for nearly 30% of Federal funds, and NIH, accounting for nearly 25% of Federal funds. Next in order of funding levels are DOD, NASA, and USGS. Federal funds awarded to Caltech by non-Federal agencies, 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%.

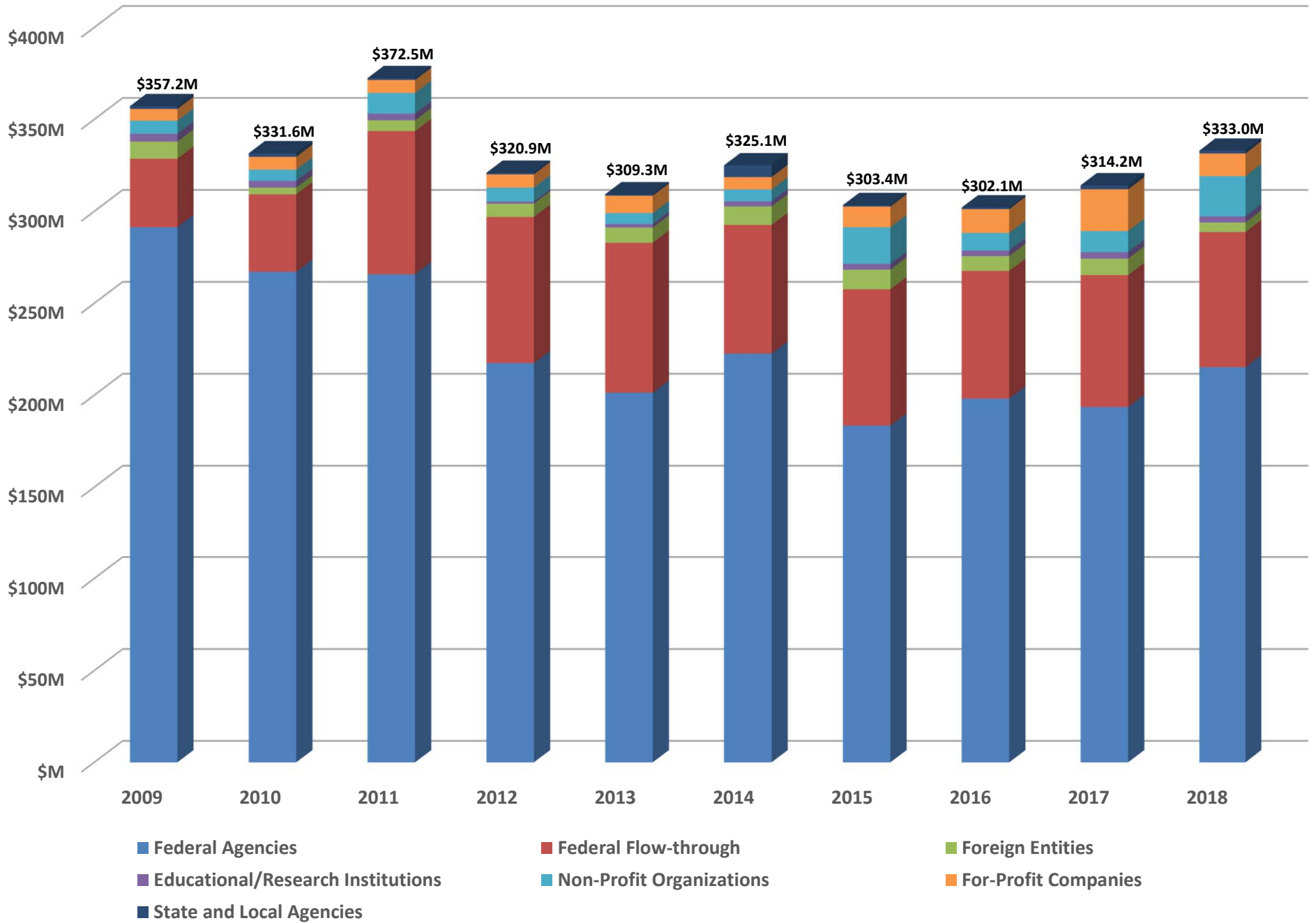
¹ This report does not include information on research awards administered by the Offices of Foundation Relations or of Corporate Partnerships, funding received from the Howard Hughes Medical Research Institute in support of the HHMI Investigator Program, or funding received from NASA for the operation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

California Institute of Technology
Contract and Grant Funding, by Sponsor Type - FY2018
 (parenthetical numbers represent previous year)

\$333,049,589



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



California Institute of Technology Contract and Grant Funding and Expenditures: FY2009-FY2018

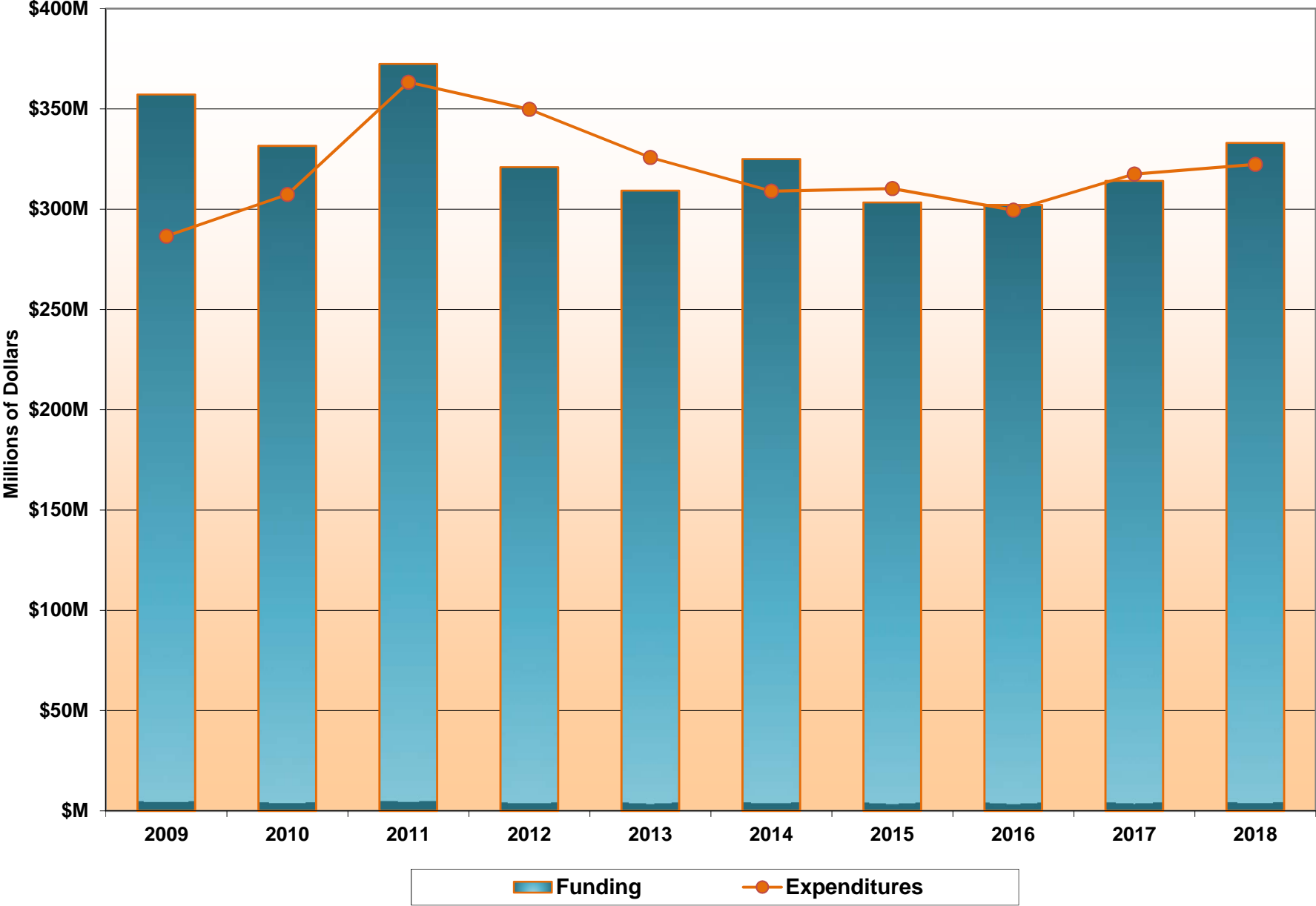


Chart 3

**California Institute of Technology
Contract Grant Funding, by Sponsor - FY2018**

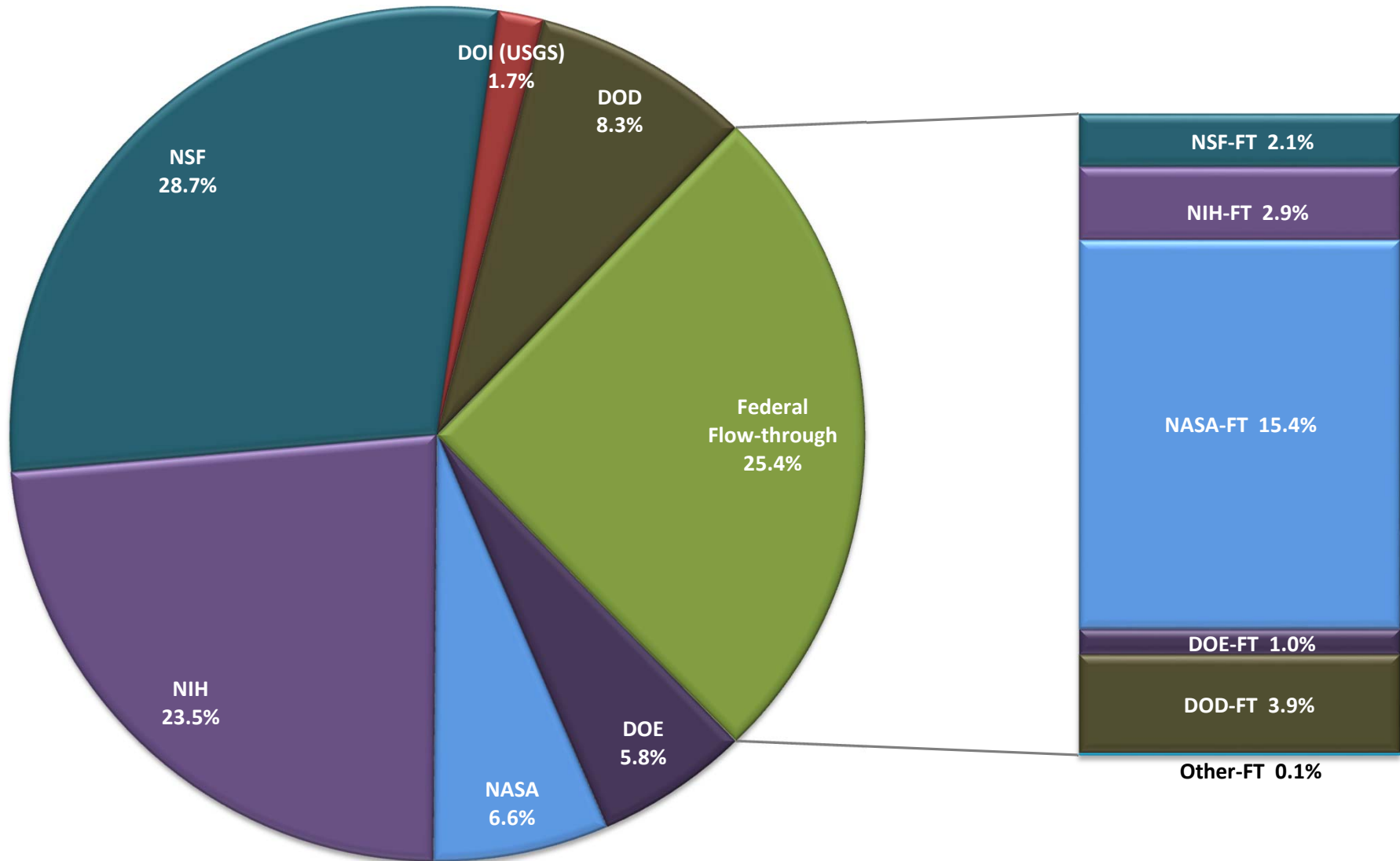
Chart 4

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

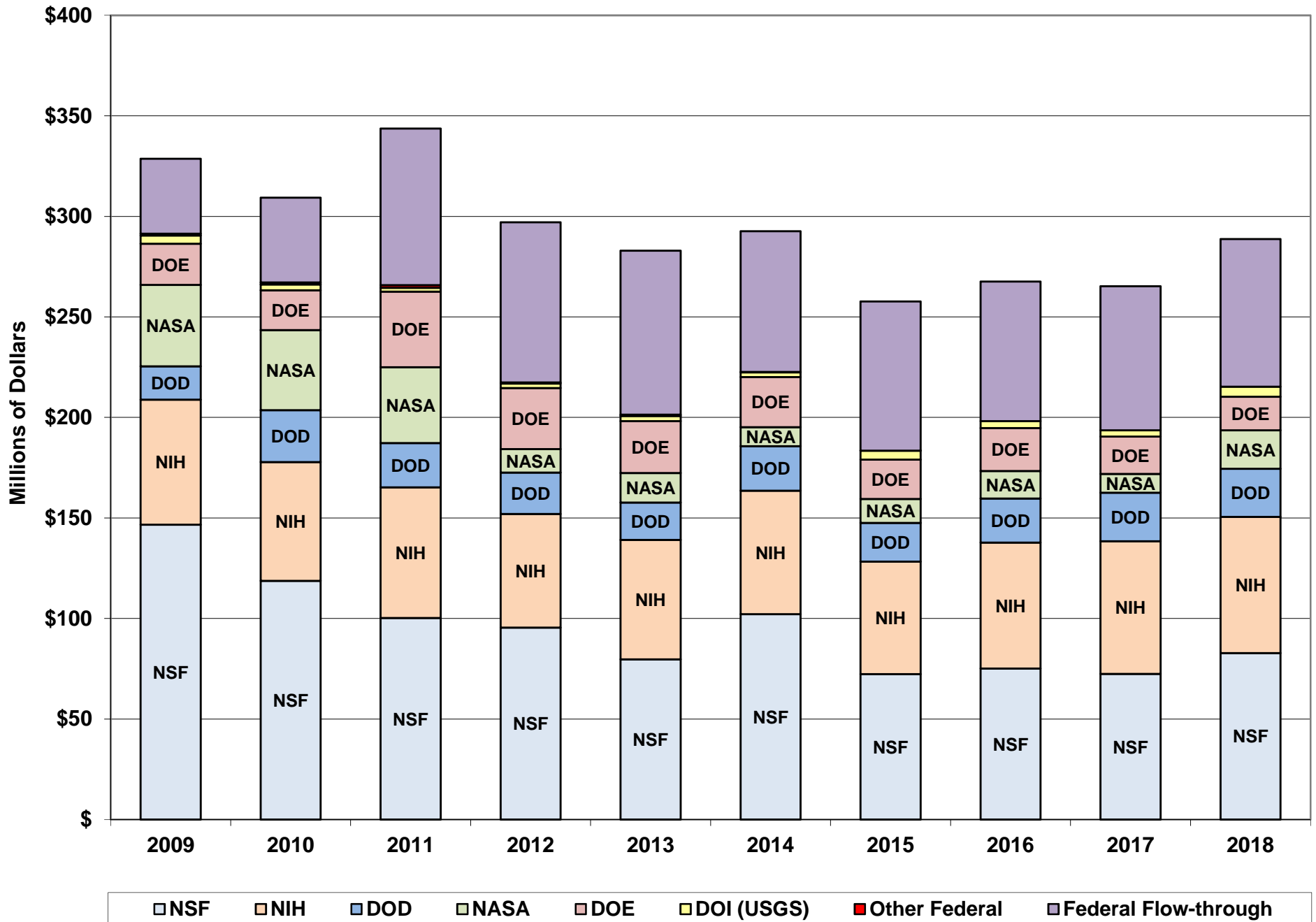
California Institute of Technology Federal Contract and Grant Funding - FY2018

Total Federal Funding:
\$288,755,545

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

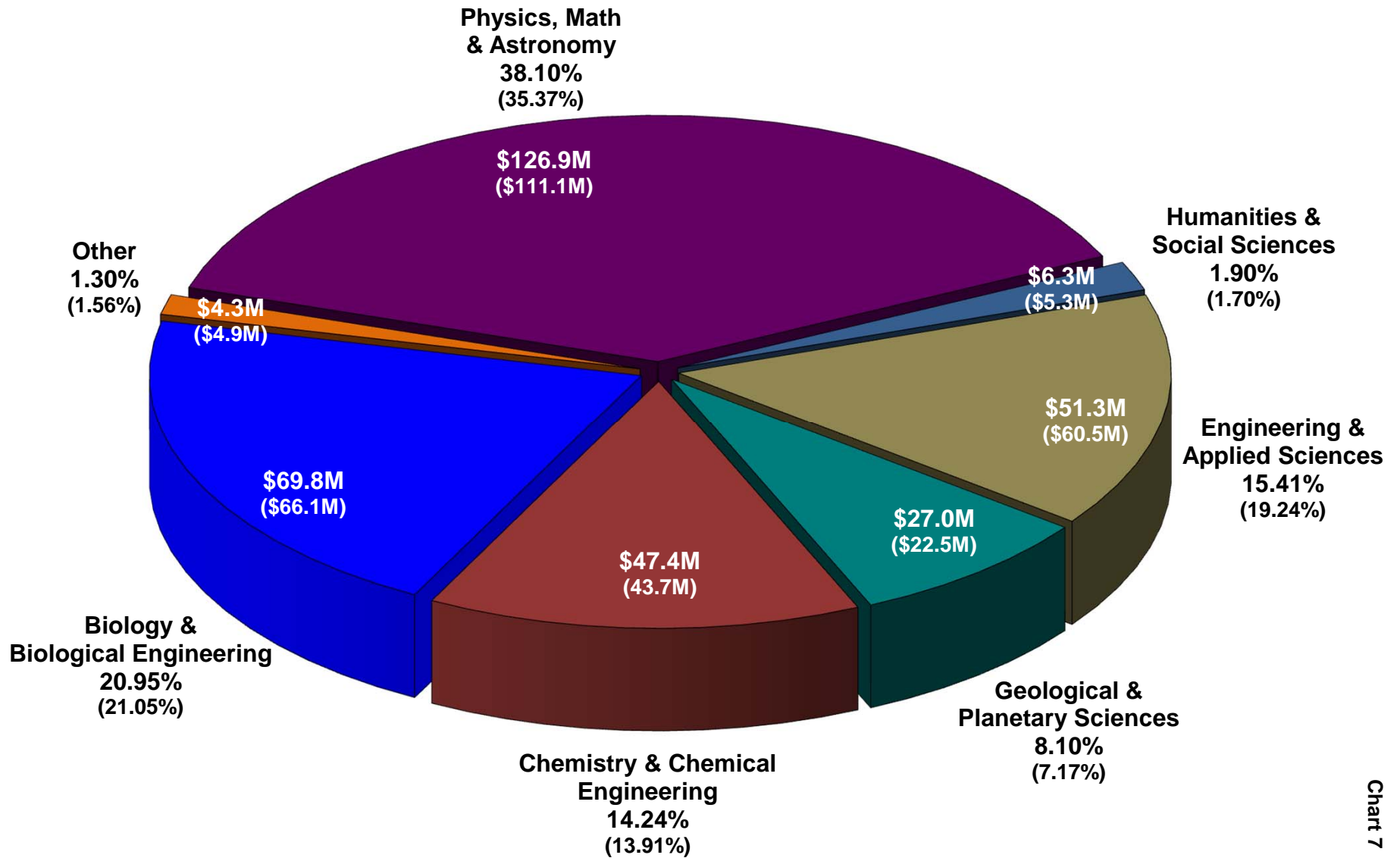


California Institute of Technology Federal Contract & Grant Funding - FY2009-FY2018

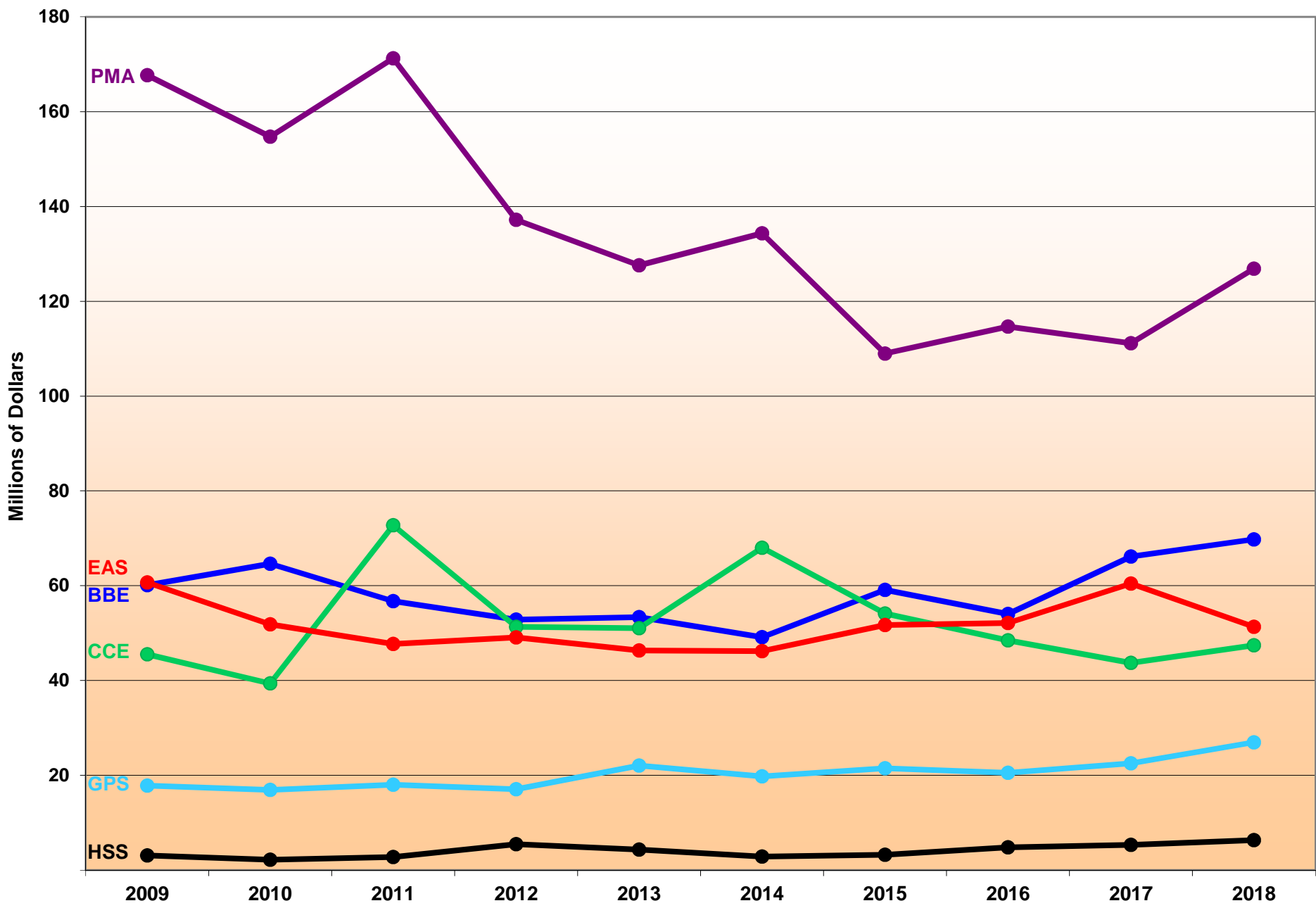


California Institute of Technology
Contract and Grant Funding, by Division - FY2018
(parenthetical numbers represent previous year)

\$333,049,589



California Institute of Technology
Contract and Grant Funding, by Division - FY2009-FY2018



California Institute of Technology
Contract and Grant Proposal Submissions: FY2009- FY2018

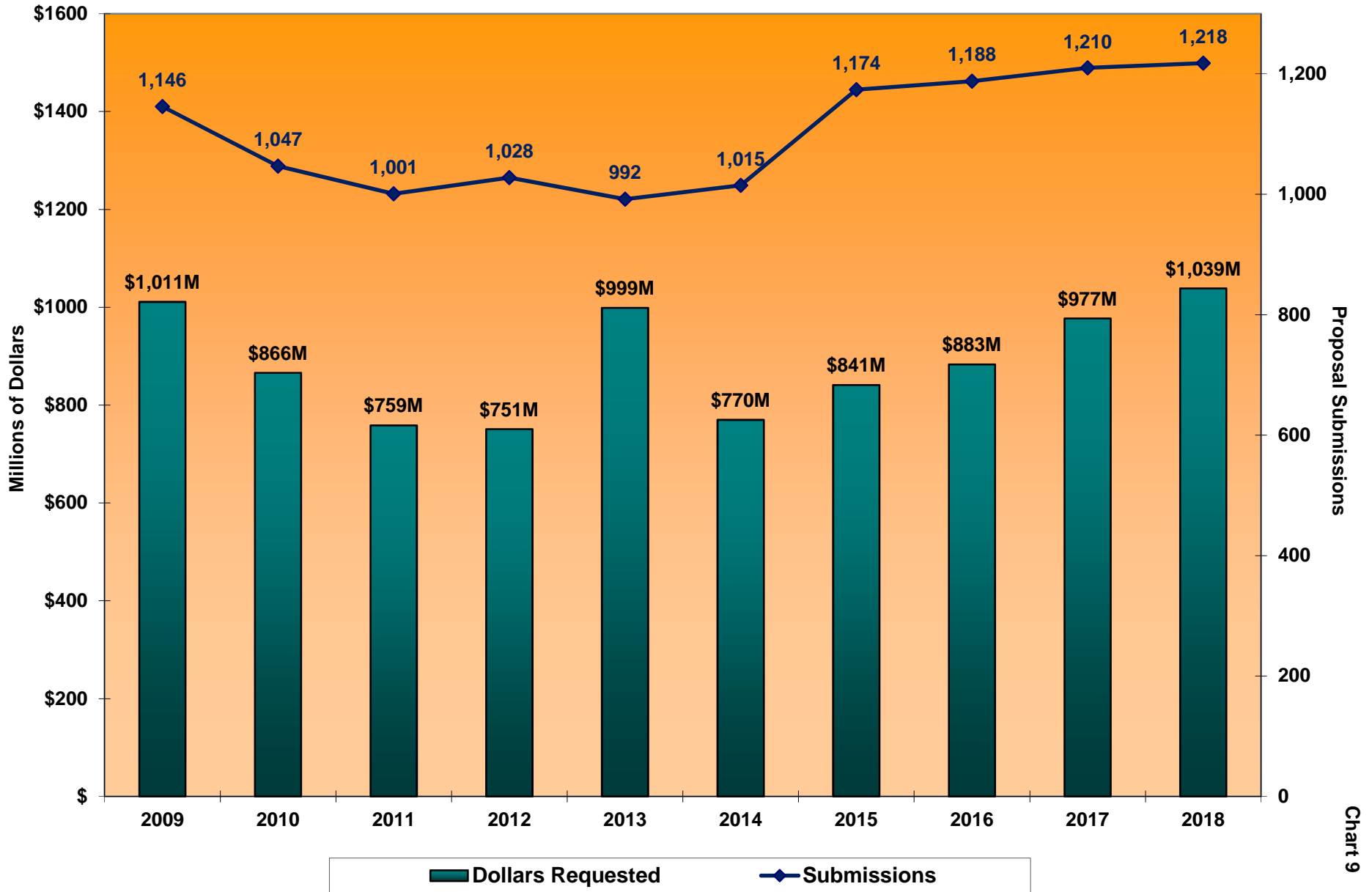
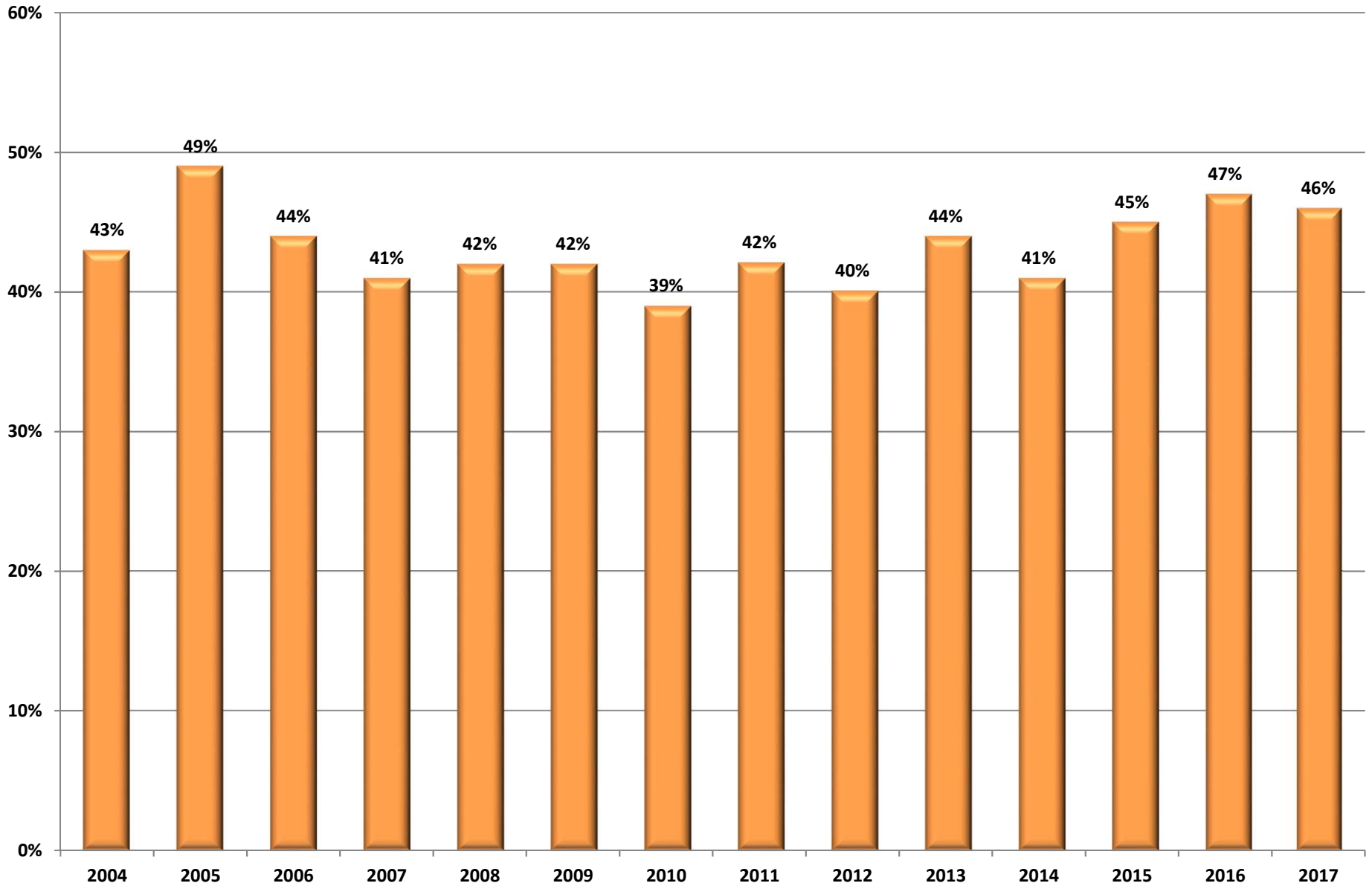
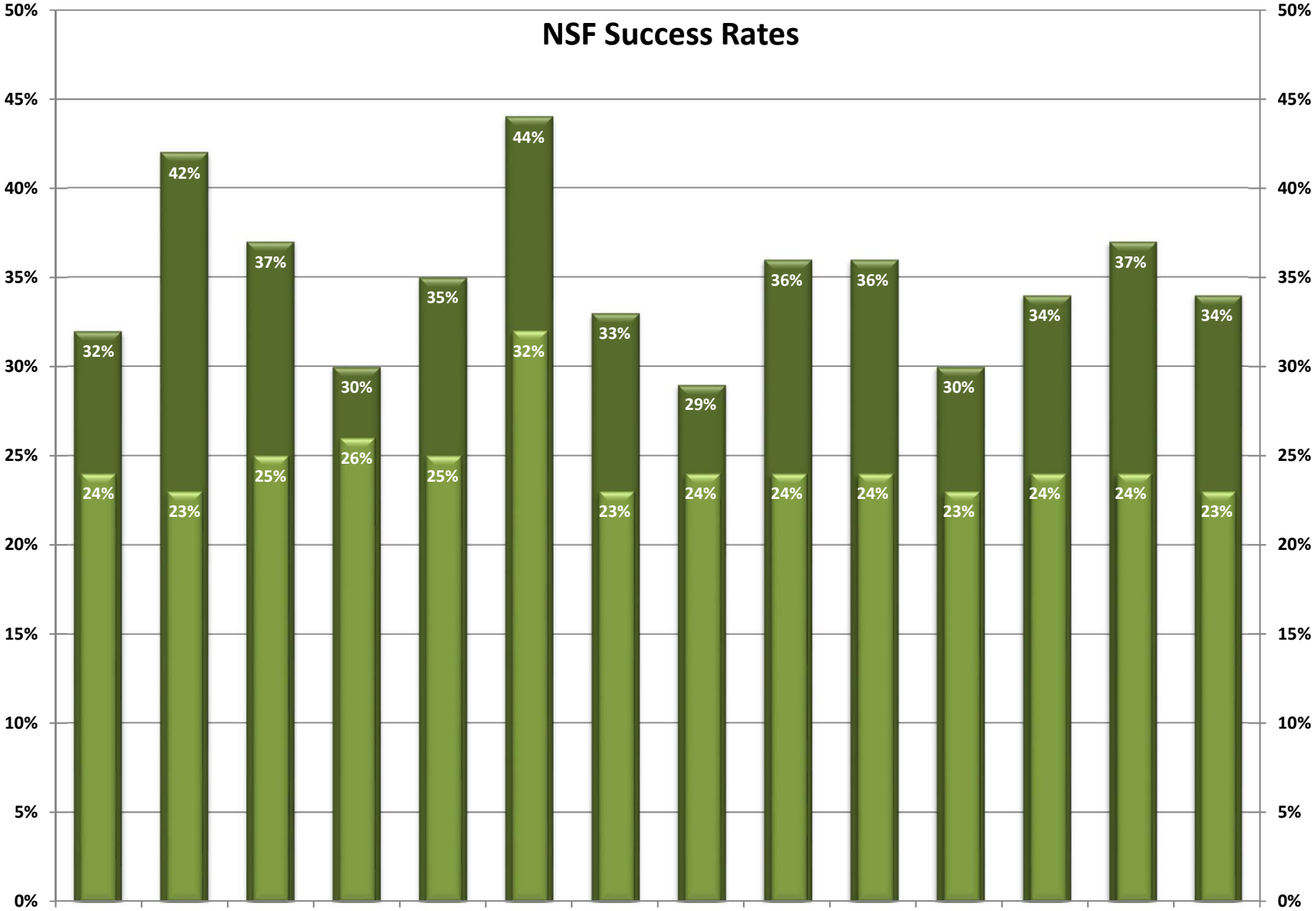


Chart 9

Success Rate of All Caltech Proposals



NSF Success Rates



■ NSF-Caltech ■ NSF-National

Chart 11

NIH Success Rates

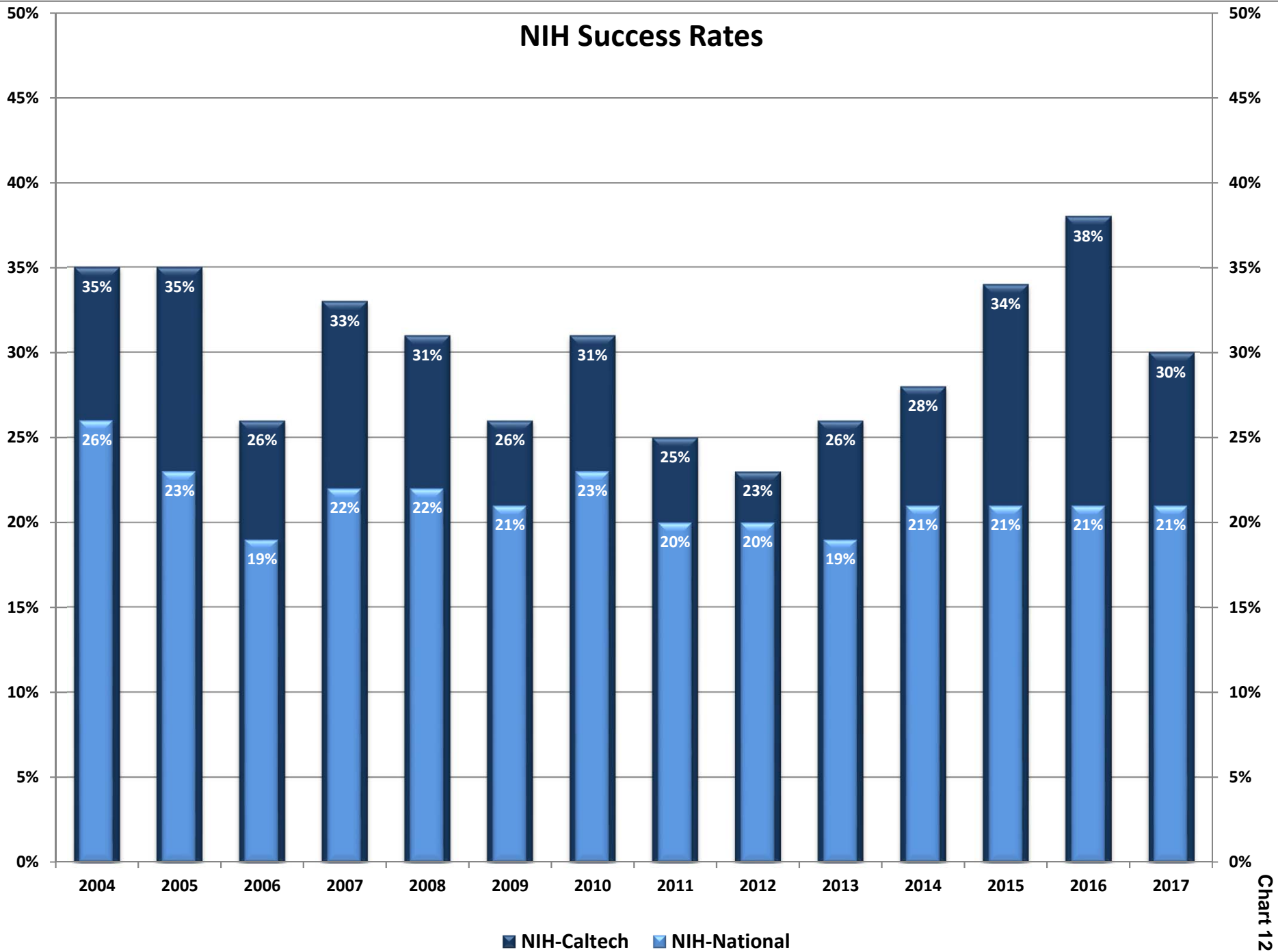


Chart 12