

February 12, 2022

Office of Research Administration
Annual Report for 2021

This is a report of Caltech's sponsored research proposal and award activity for fiscal year 2021 (October 1, 2020 through September 30, 2021). 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 FY2021.¹

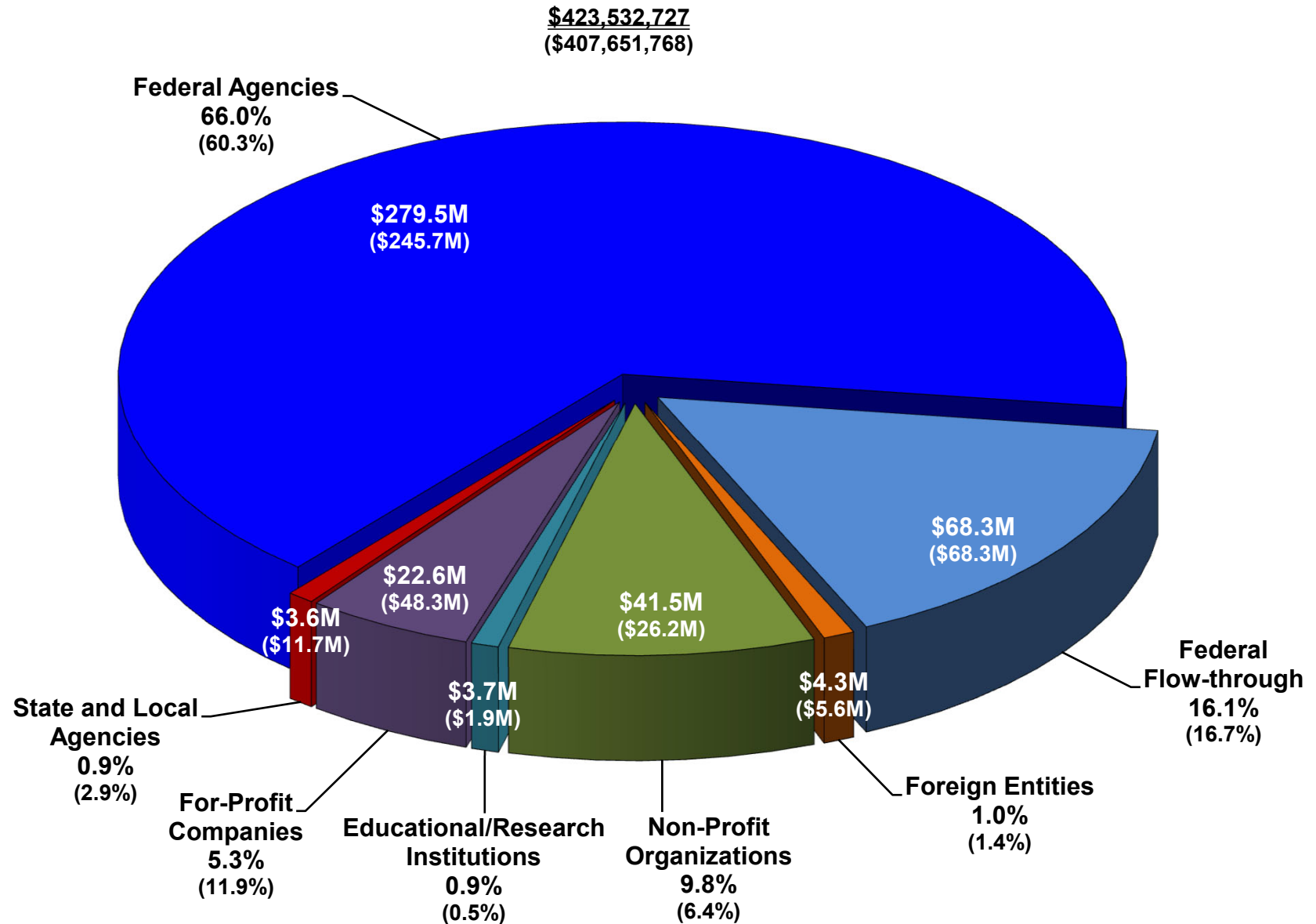
Awards. Sponsored awards for FY2021 totaled \$423.5 million, a 4% increase from FY2020. Federal funding increased by almost 11% and represents 82% of all sponsored funding for FY2021 at \$347.8 million. This increase results primarily from the NASA satellite project "Lunar Trailblazer" moving from the planning to construction phase, and from Caltech receiving both FY2021 and FY2022 DOE LiSA funding in FY 21. The other major source of increased funding in FY2021 consisted of renewal of the Heritage Medical Research Institute Investigator program, for which Caltech received the next three years' of funding. Caltech's sponsored research portfolio during FY2021 comprised 1,590 active awards, a slight drop from FY2020.

For the second successive year, NIH exceeded NSF as Caltech's largest single source of direct sponsored funding, with NIH comprising almost 27% of Federal funding compared to NSF at 23%. Federal "flow-through" funds originate with Federal agencies and are awarded to Caltech by other recipients of Federal funds, mostly from other universities with which Caltech faculty are collaborating; flow-through funds accounted for slightly less than 20% of all Federal funds. The report includes a chart showing the origins of flow-through funds, the majority of which are NASA funds from JPL to support research collaborations between Caltech faculty and their JPL colleagues.

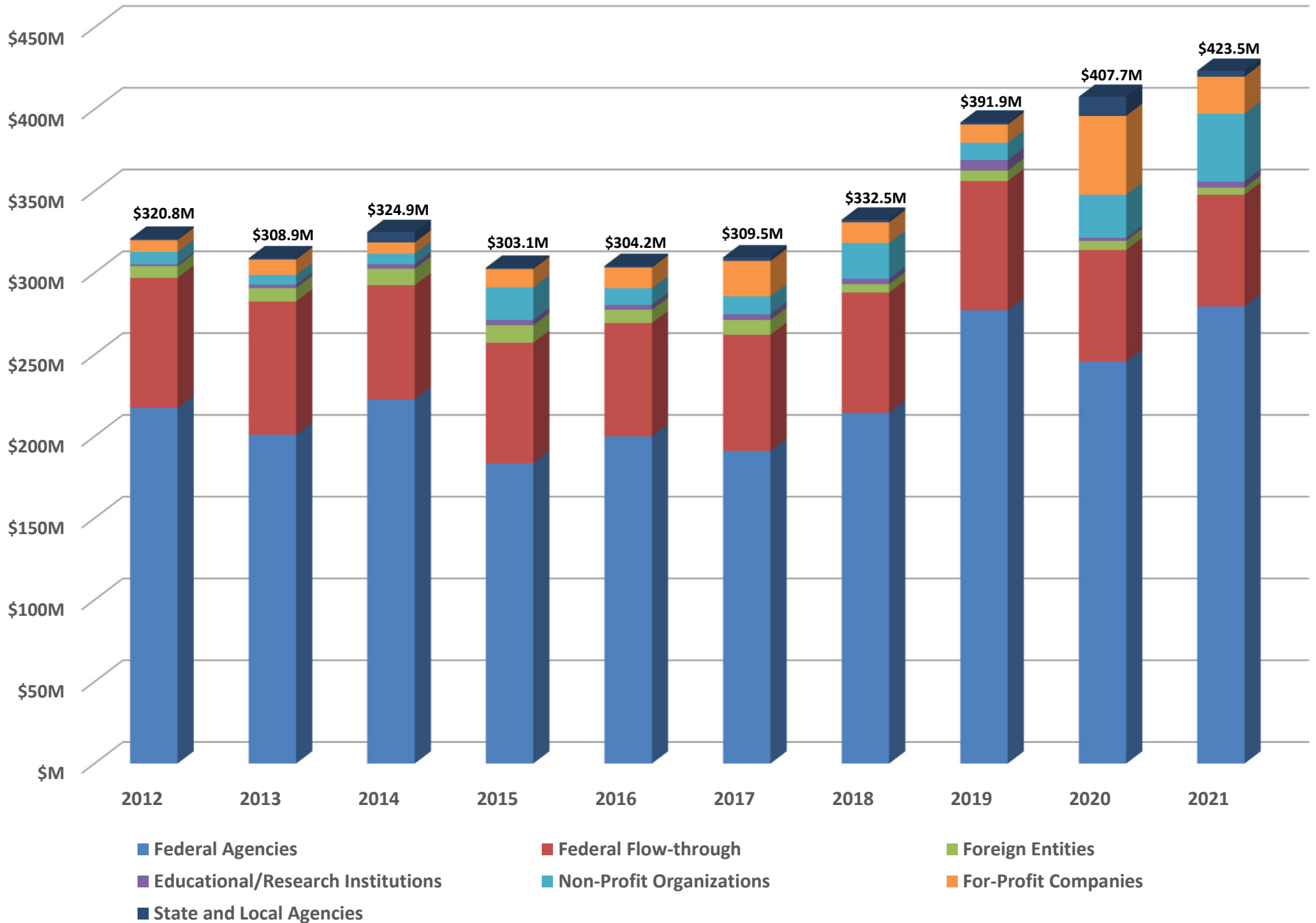
Proposals. The number of proposal submissions increased by 47 to 1,196 in FY2021; requested funding remained constant from FY2020. The report includes information on the success rates for proposals submitted between FY2004 and FY2020. As of the end of fiscal 2021, 43% of the competitive proposals submitted in 2020 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 to the nationwide success rates published by those agencies.

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, however, include funds allocated by JPL in support of collaborative research activities on the Caltech campus.

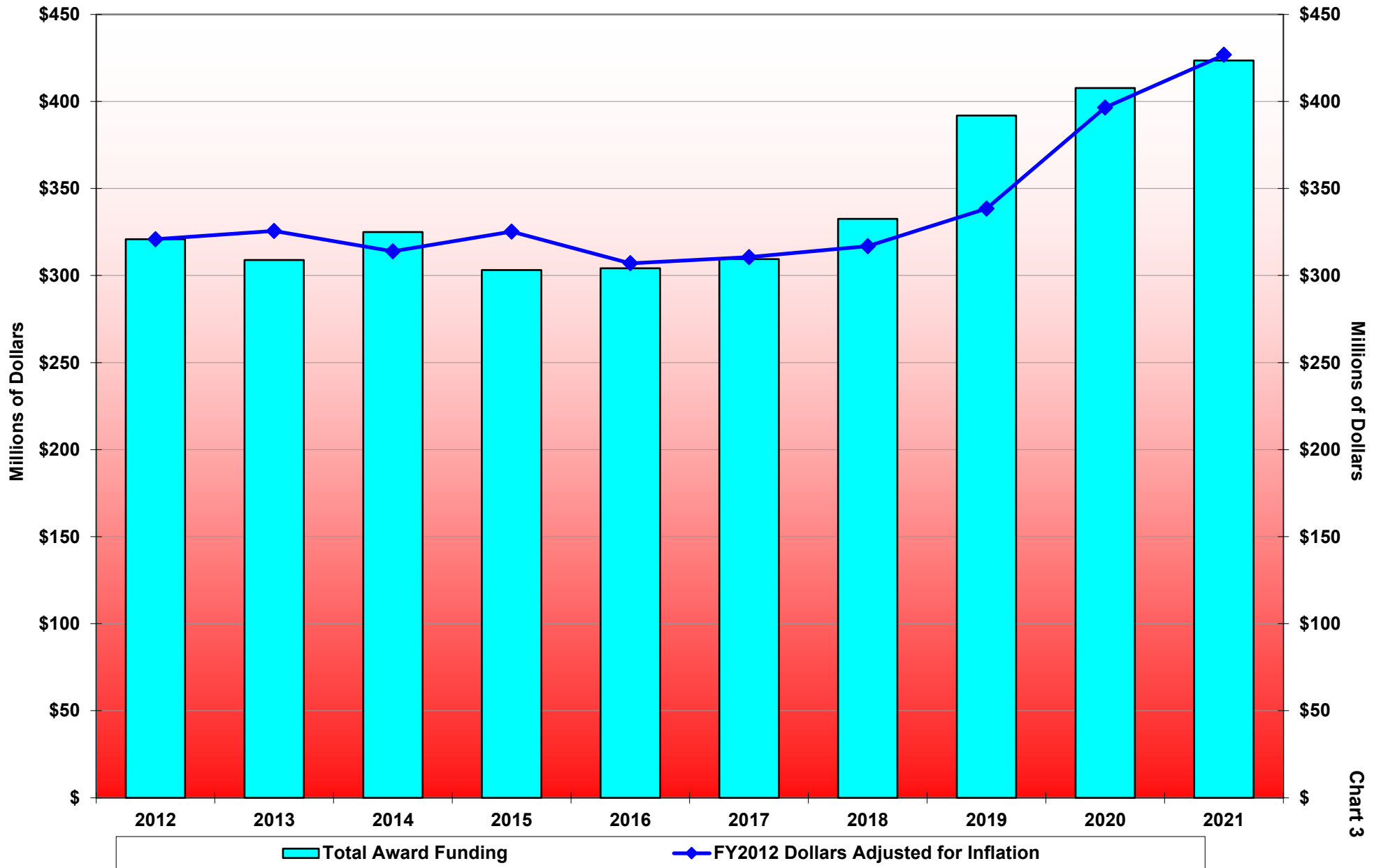
California Institute of Technology
Contract and Grant Funding, by Sponsor Type - FY2021
(parenthetical numbers represent previous year)



California Institute of Technology
Contract and Grant Funding, by Sponsor Type - FY2012-FY2021



10-Year Contract and Grant Funding: FY2012-FY2021
Compared to FY2012 Dollars Adjusted for Inflation
(Inflation Rate Based Upon Average Annual Consumer Price Index)



California Institute of Technology
Contract Grant Funding, by Sponsor - FY2021

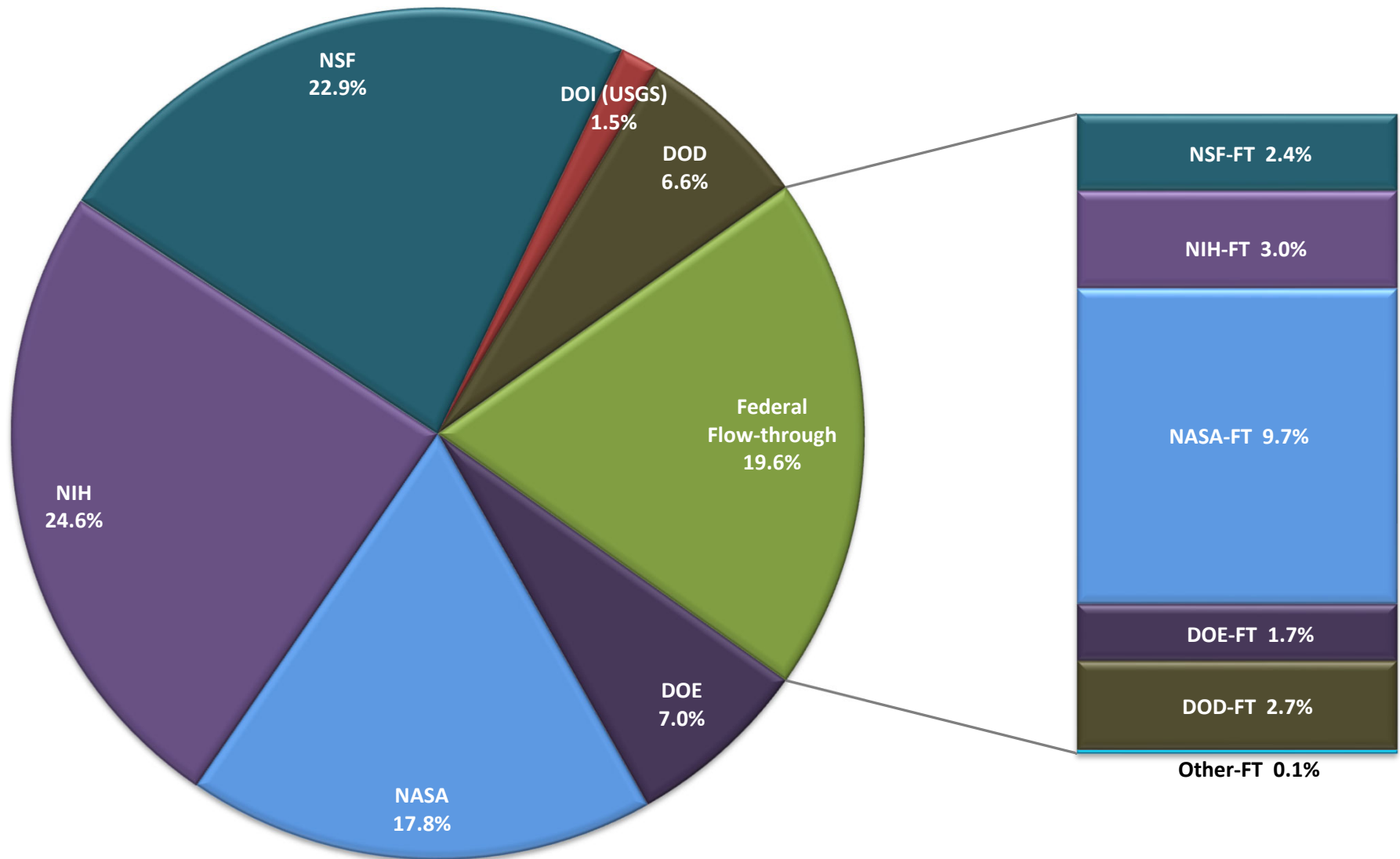
Chart 4

Agency Type	# of Transactions	Funds Awarded	% Change in Dollars from Previous Year
Federal Funding			
Executive and Independent Agencies			
Department of Defense			
Air Force	24	7,786,112	-7.4%
Army	16	5,788,252	45.4%
Defense Advanced Research Projects Agency	4	2,108,375	4.5%
Navy	34	6,843,098	44.4%
Other DOD	3	398,961	0.0%
Subtotal DOD	81	22,924,798	15.5%
Department of Energy	48	24,316,890	93.2%
National Aeronautics & Space Administration	123	61,766,778	37.3%
National Institutes of Health	156	85,690,782	1.3%
National Science Foundation	114	79,575,700	0.3%
Department of Interior (USGS)	8	5,114,027	17.6%
Other Federal Agencies	1	99,337	98.7%
Subtotal Executive & Independent Agencies	531	279,488,312	13.7%
Federal Funds From Non-Federal Sponsors			
Educational/Research Institutions	177	29,760,774	12.9%
Non-Profit Organizations	74	9,112,622	36.9%
For-Profit Companies	14	1,467,737	-43.8%
Jet Propulsion Laboratory	220	27,783,294	-14.3%
State and Local Government	2	204,500	100.0%
Subtotal Federal Funds from Non-Federal Sponsors	487	68,328,927	0.1%
TOTAL FEDERAL FUNDING	1,018	347,817,239	10.8%
Non-Federal Funding			
Educational/Research Institutions	23	3,727,129	92.5%
Non-Profit Organizations	118	41,535,011	58.4%
For-Profit Companies	39	22,602,867	-53.2%
State and Local Government Agencies	4	3,621,879	-69.0%
Foreign Entities	33	4,228,602	-23.9%
Subtotal Non-Federal Funding	217	75,715,488	-19.2%
GRAND TOTAL	<u>1,235</u>	<u>\$423,532,727</u>	3.9%

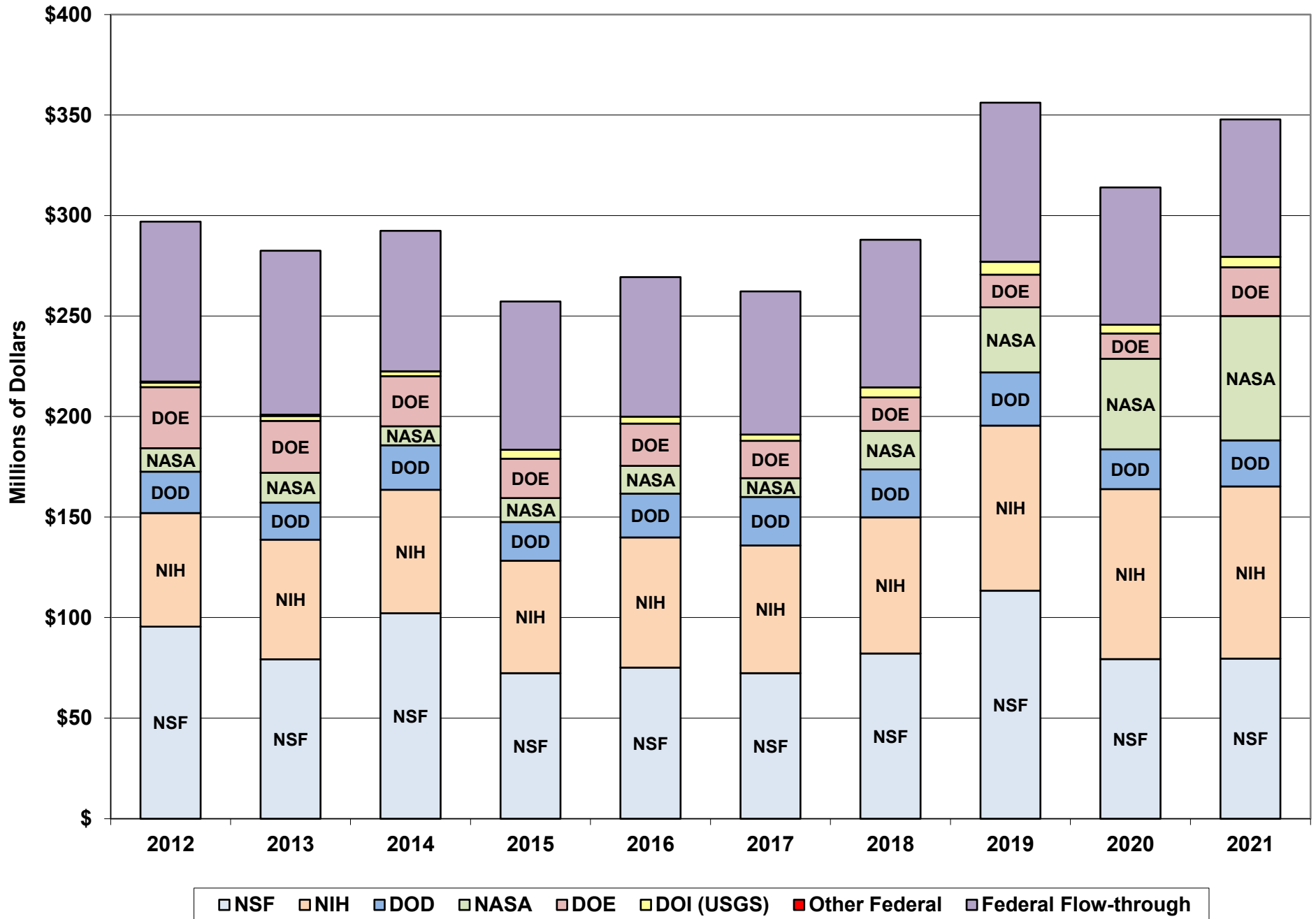
California Institute of Technology Federal Contract and Grant Funding - FY2021

Total Federal Funding:
\$347,817,239

**Total Federal
Flow-through Funding:**
\$68,328,926

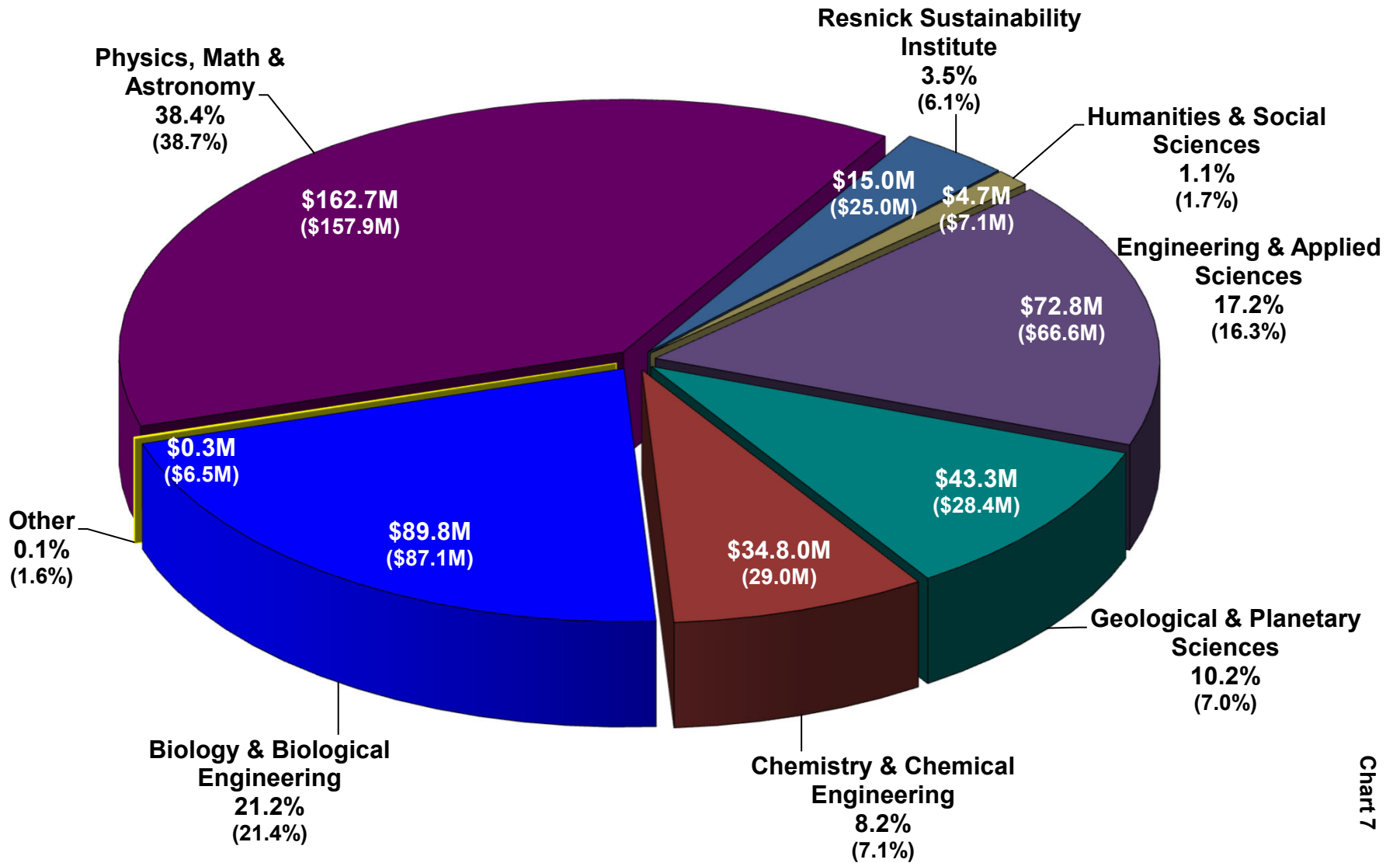


California Institute of Technology Federal Contract & Grant Funding - FY2012-FY2021

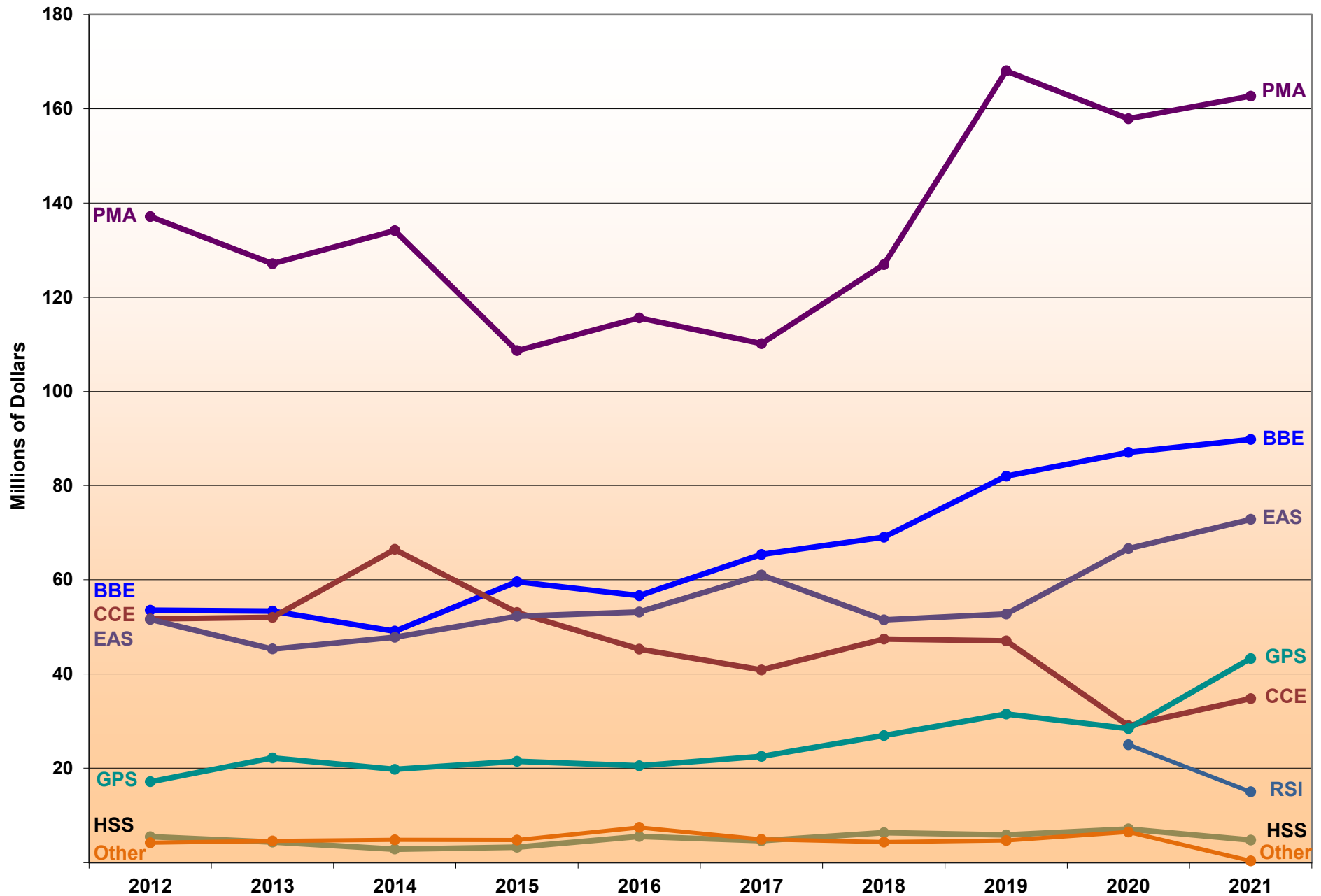


California Institute of Technology
Contract and Grant Funding, by Division - FY2021
 (parenthetical numbers represent previous year)

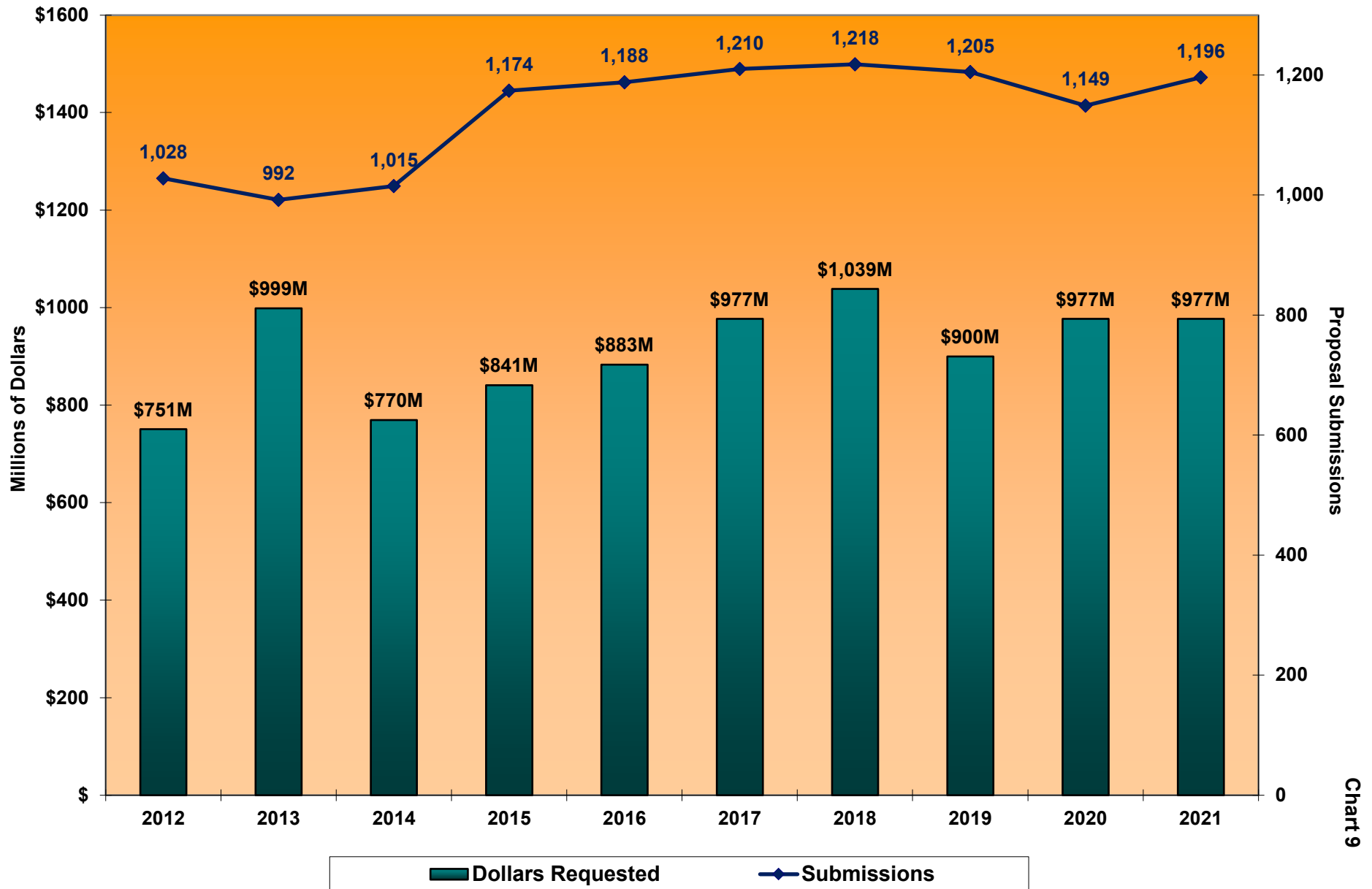
\$423,532,727
 (\$407,651,768)



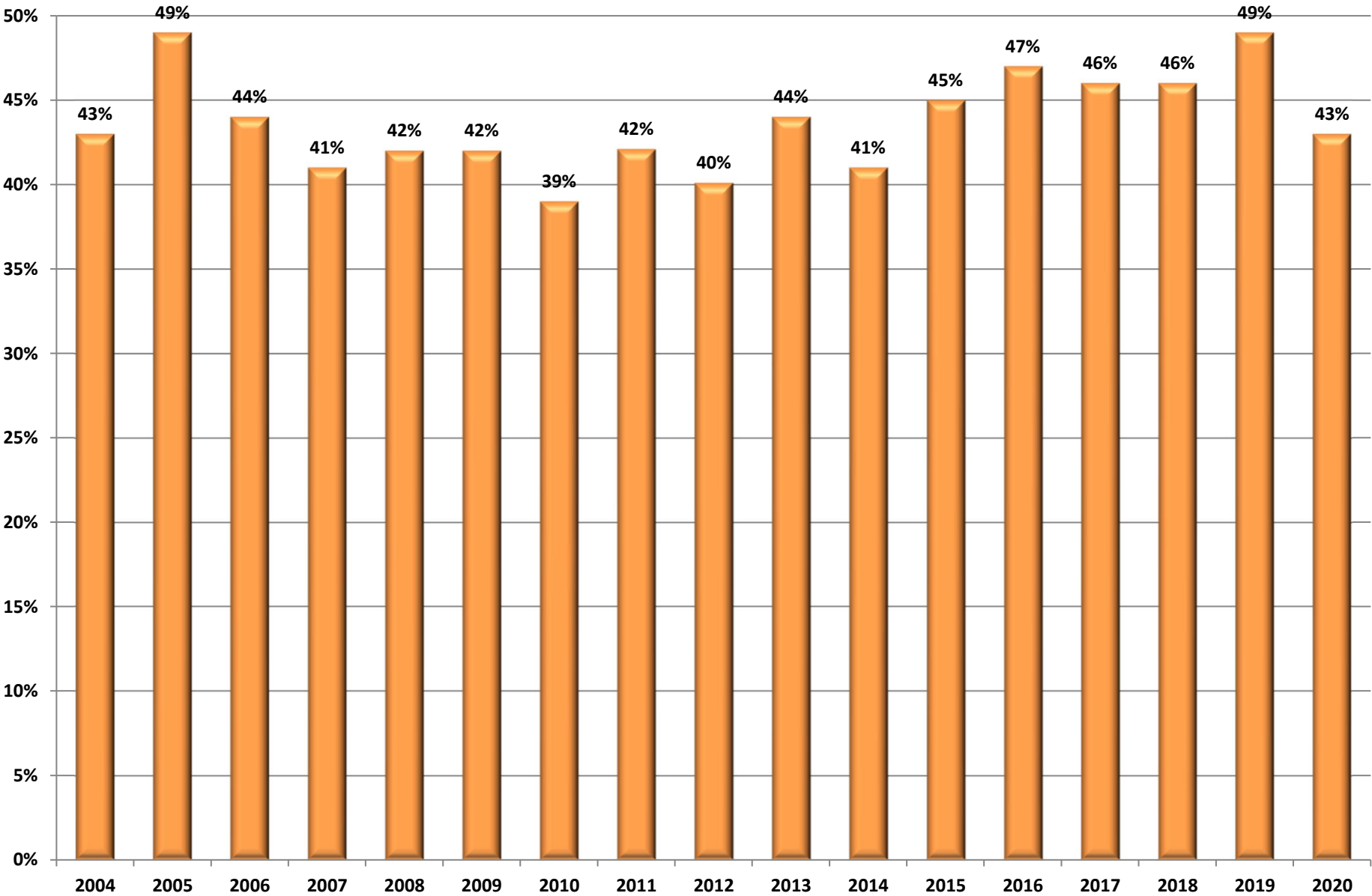
California Institute of Technology
Contract and Grant Funding, by Division - FY2012-FY2021



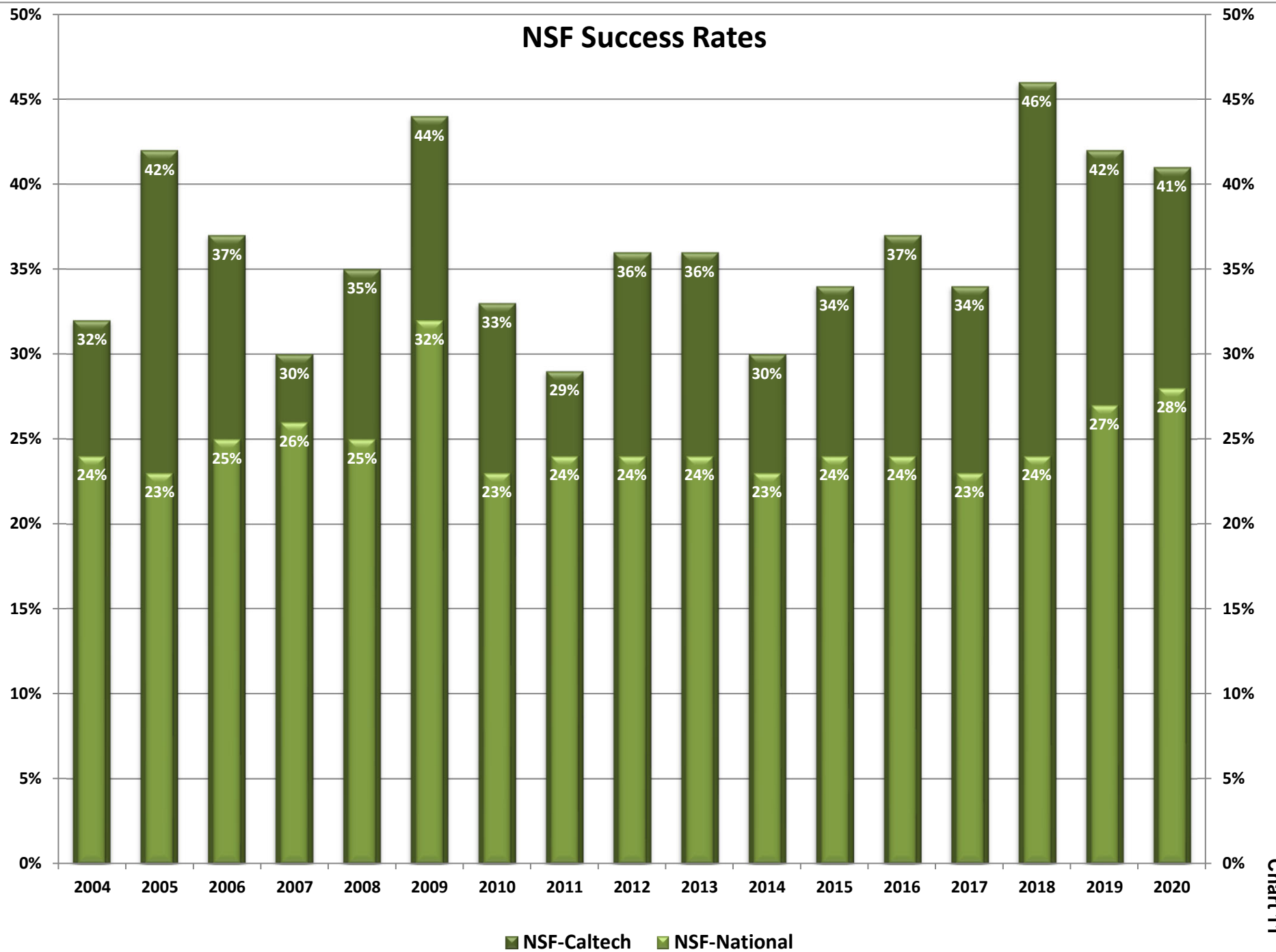
California Institute of Technology
Contract and Grant Proposal Submissions: FY2012- FY2021



Success Rate - All Proposals



NSF Success Rates



NIH Success Rates

