

Office of Research Administration Annual Report for Fiscal Year 2022

This is a report of Caltech's sponsored research proposal and award activity for fiscal year 2022 (October 1, 2021 through September 30, 2022). The report consists of a brief narrative summary followed by a series of charts that depict various aspects of Caltech's award and proposal activity for FY2022.¹

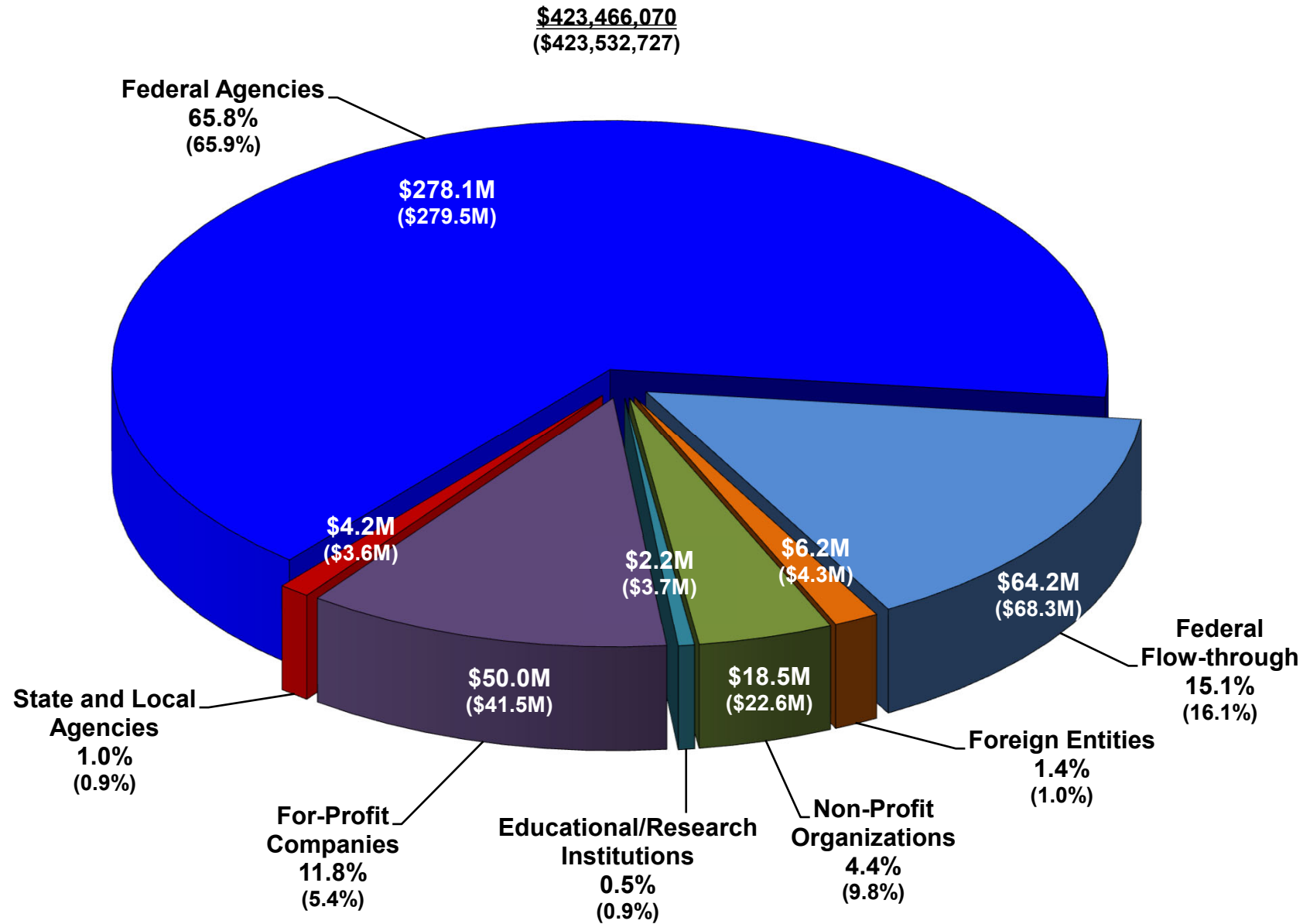
Awards. Sponsored awards for FY2022 totaled \$423.47 million, essentially the same as for FY2021 (\$423.53M). Federal funding decreased by 1.6% and represents 81% of all sponsored funding for FY2022 at \$342.2 million; this decrease is within the range of annual fluctuations in federal funding. Support from non-profit sponsors in FY2022 fell by 55.4% and was primarily the result of receiving 3 years of funding from the Heritage Medical Research Institute Investigator program in FY2021. The increase in corporate funding is mostly due to the award of funds in FY2022 by The Wonderful Company that had been held back in FY2021 due to COVID.

In FY2022, NSF regained its position as Caltech's leading source of federal funding, a position NIH held for the previous two years. 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. Federal flow-through funds accounted for 18.7% of all Federal funds. The report includes a chart showing the Federal 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.

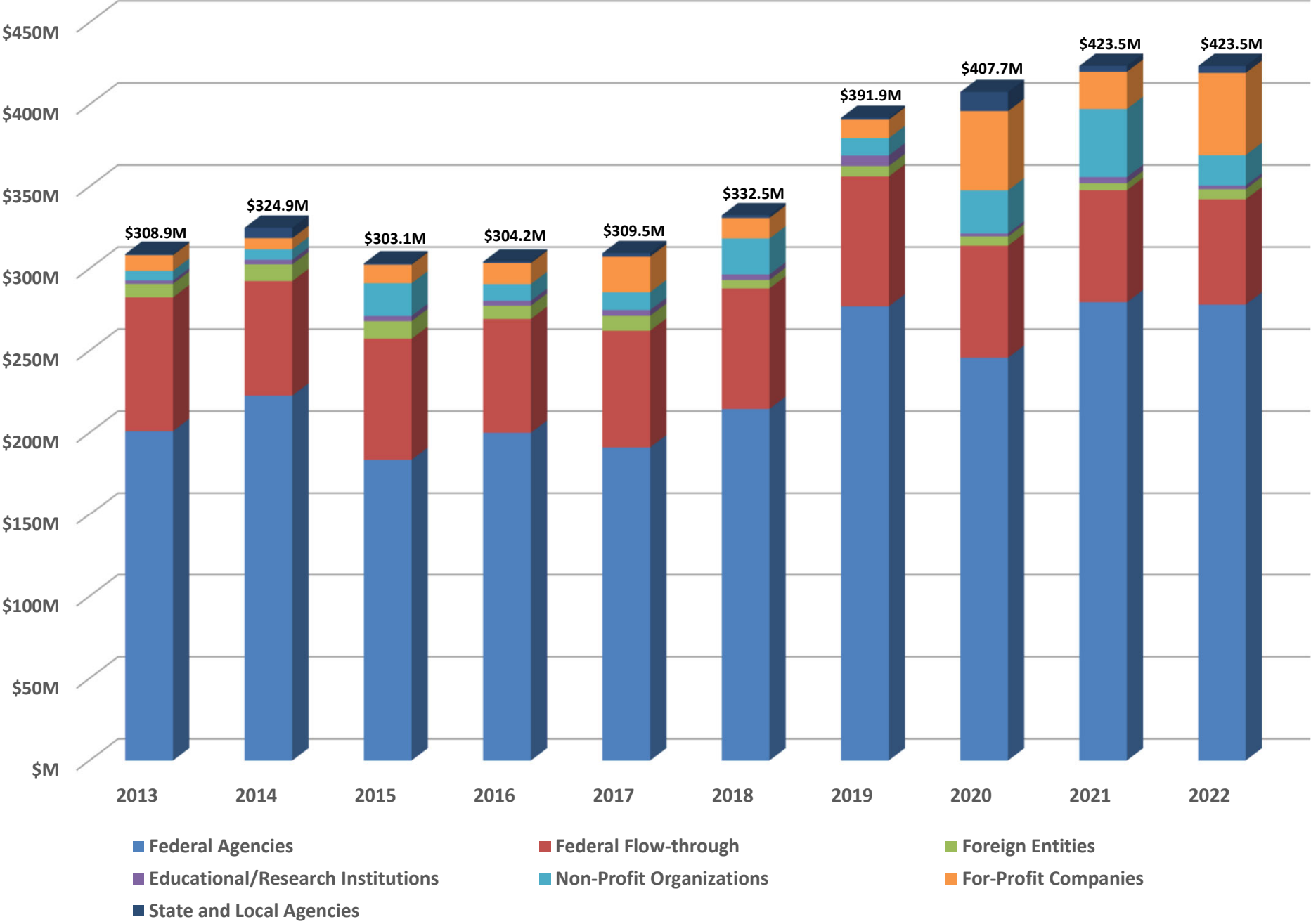
Proposals. The number of proposal submissions decreased in FY2022 by 23.7% to 913; requested funding declined by 30%. The report includes information on the success rates for proposals submitted between FY2004 and FY2021. As of the end of fiscal 2022, 44% of the competitive proposals submitted in 2021 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.

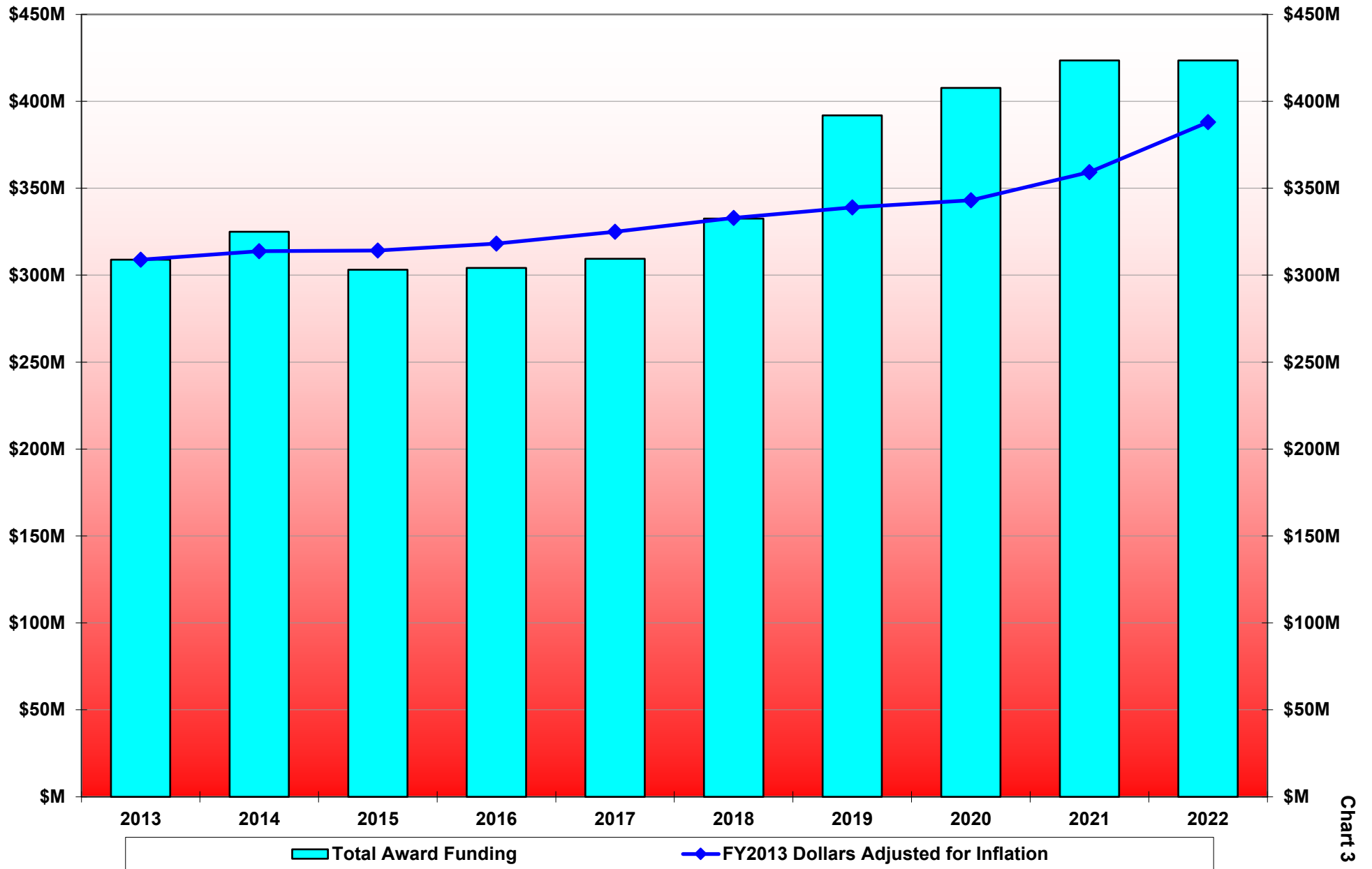
California Institute of Technology
Contract and Grant Funding, by Sponsor Type - FY2022
(parenthetical numbers represent previous year)



California Institute of Technology
Contract and Grant Funding, by Sponsor Type - FY2013-FY2022



10-Year Contract and Grant Funding: FY2013-FY2022
Compared to FY2013 Dollars Adjusted for Inflation
(Inflation Rate Based Upon Average Annual Consumer Price Index)



California Institute of Technology
Contract Grant Funding, by Sponsor - FY2022

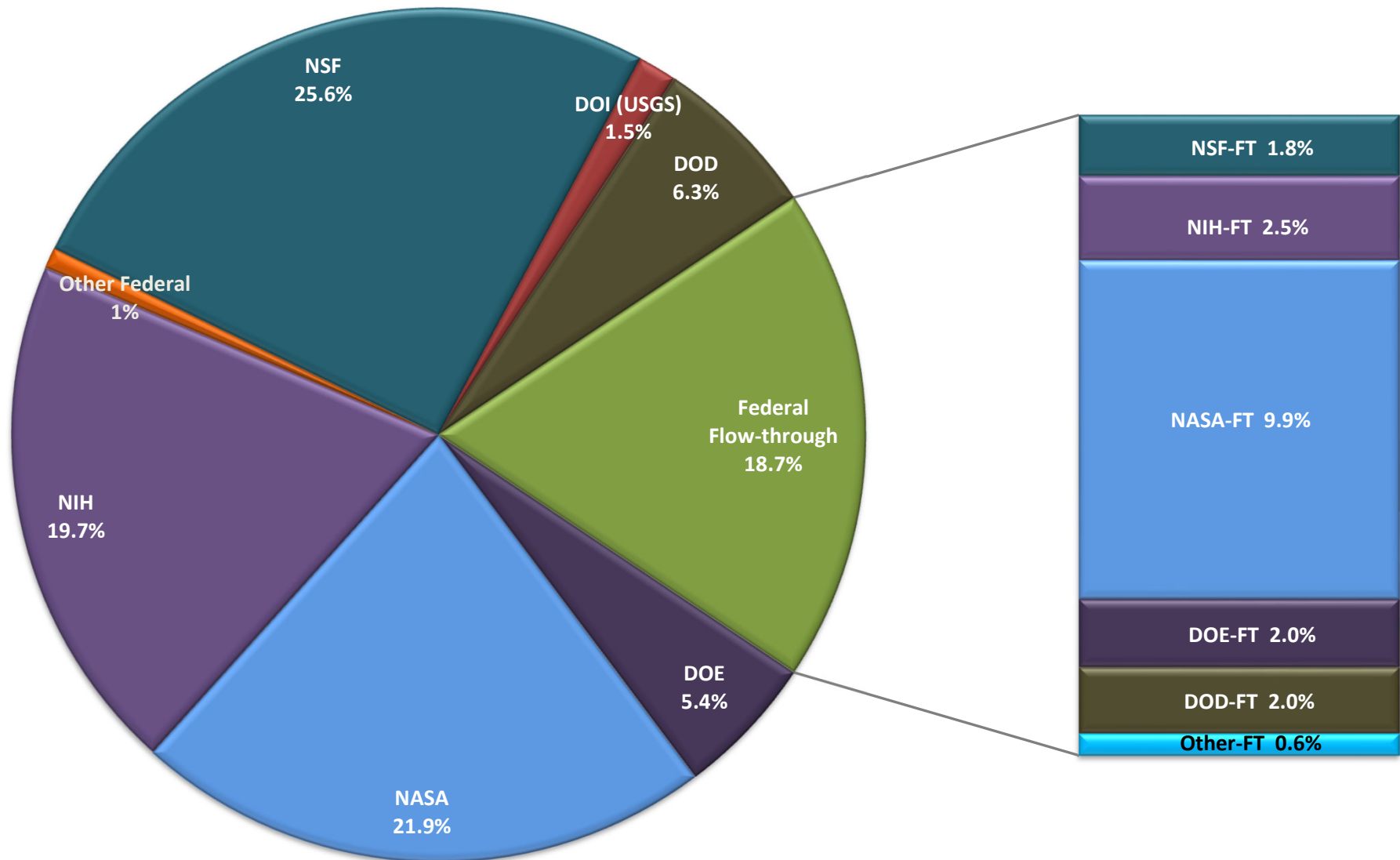
Chart 4

Agency Type	# of Transactions	Funds Awarded	% Change in Dollars from Previous Year
Federal Funding			
Executive and Independent Agencies			
Department of Defense			
Air Force	17	5,203,687	-33.2%
Army	14	5,112,761	-11.7%
Defense Advanced Research Projects Agency	8	4,466,941	111.9%
Navy	46	6,335,981	-7.4%
Other DOD	2	550,000	0.0%
Subtotal DOD	87	21,669,370	-5.5%
Department of Energy	35	18,398,901	-24.3%
National Aeronautics & Space Administration	130	75,017,678	21.5%
National Institutes of Health	155	67,523,434	-21.2%
National Science Foundation	97	87,712,015	10.2%
Department of Interior (USGS)	9	5,026,278	-1.7%
Other Federal Agencies	5	2,722,043	2640.2%
Subtotal Executive & Independent Agencies	518	278,069,719	-0.5%
Federal Funds From Non-Federal Sponsors			
Educational/Research Institutions	151	24,480,089	-17.7%
Non-Profit Organizations	85	9,917,288	8.8%
For-Profit Companies	13	1,723,294	17.4%
Jet Propulsion Laboratory	180	26,346,524	-5.2%
State and Local Government	11	1,697,603	100.0%
Subtotal Federal Funds from Non-Federal Sponsors	440	64,164,798	-6.1%
TOTAL FEDERAL FUNDING	958	342,234,517	-1.6%
Non-Federal Funding			
Educational/Research Institutions	14	2,233,655	-40.1%
Non-Profit Organizations	72	18,515,879	-55.4%
For-Profit Companies	49	50,039,653	121.4%
State and Local Government Agencies	4	4,252,540	17.4%
Foreign Entities	39	6,189,826	46.4%
Subtotal Non-Federal Funding	178	81,231,553	7.3%
GRAND TOTAL	<u>1,136</u>	<u>\$423,466,070</u>	0.0%

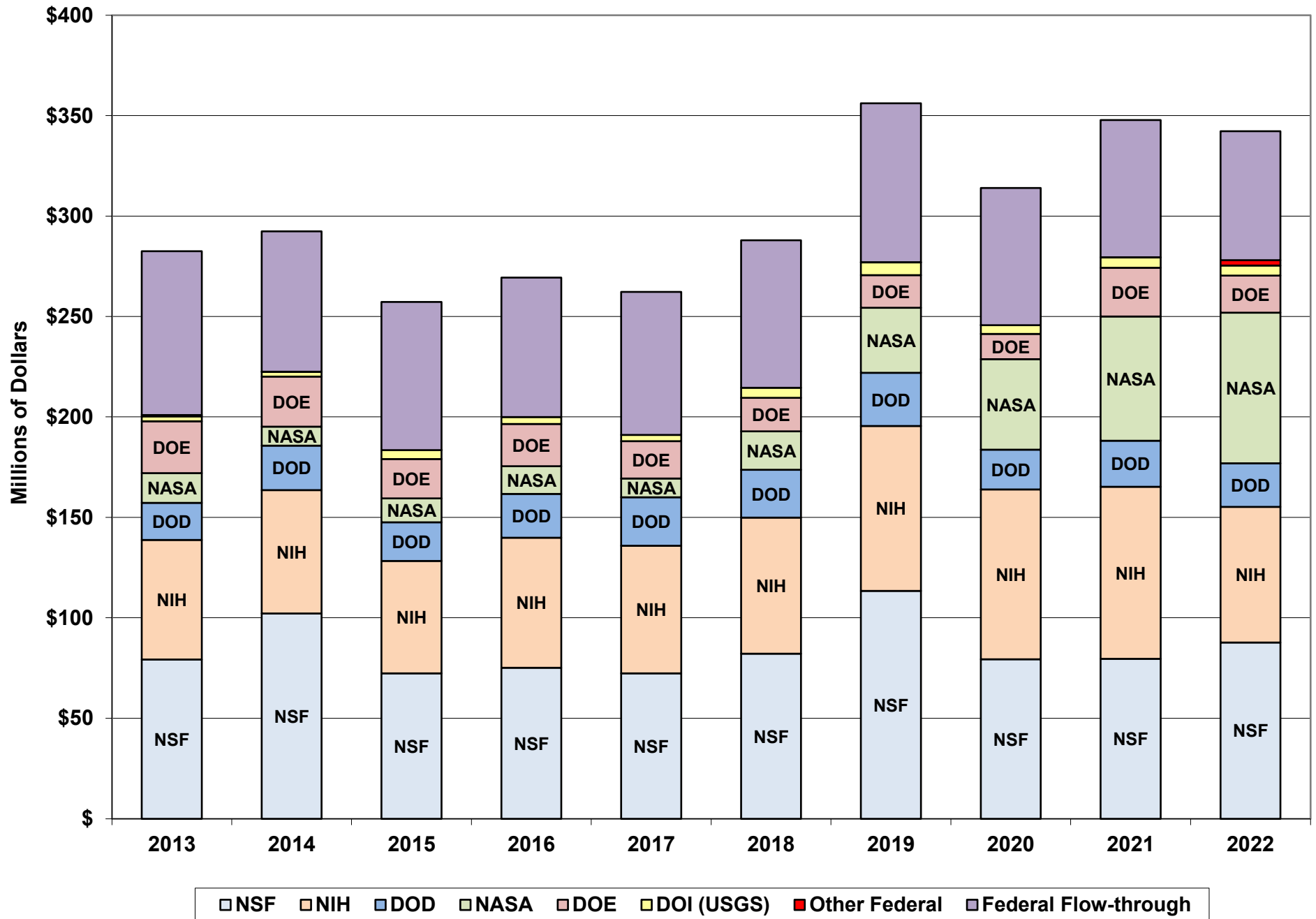
California Institute of Technology Federal Contract and Grant Funding - FY2022

Total Federal Funding:
\$342,234,517

**Total Federal
Flow-through Funding:**
\$64,164,798

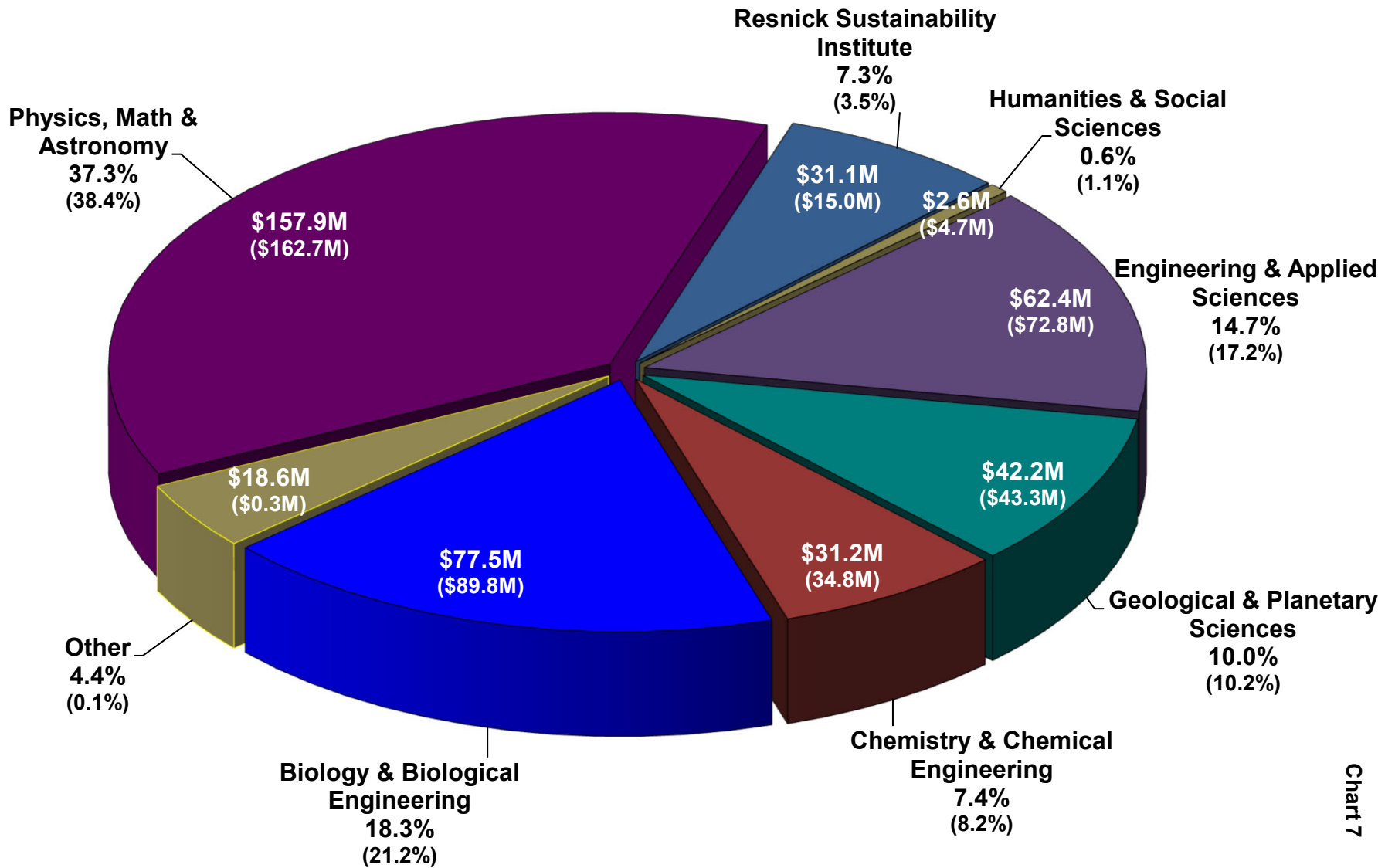


California Institute of Technology Federal Contract & Grant Funding - FY2013-FY2022

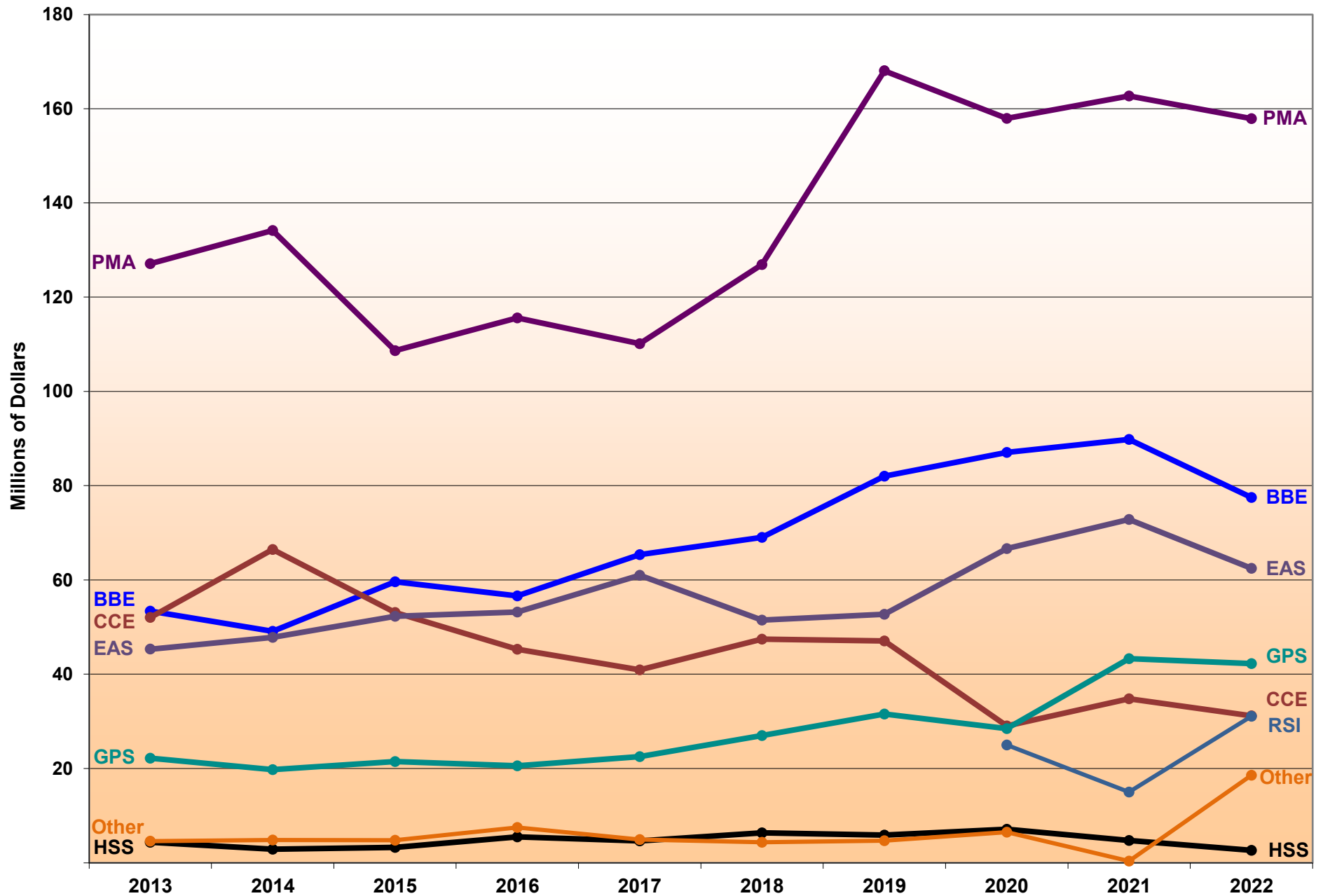


California Institute of Technology
Contract and Grant Funding, by Division - FY2022
(parenthetical numbers represent previous year)

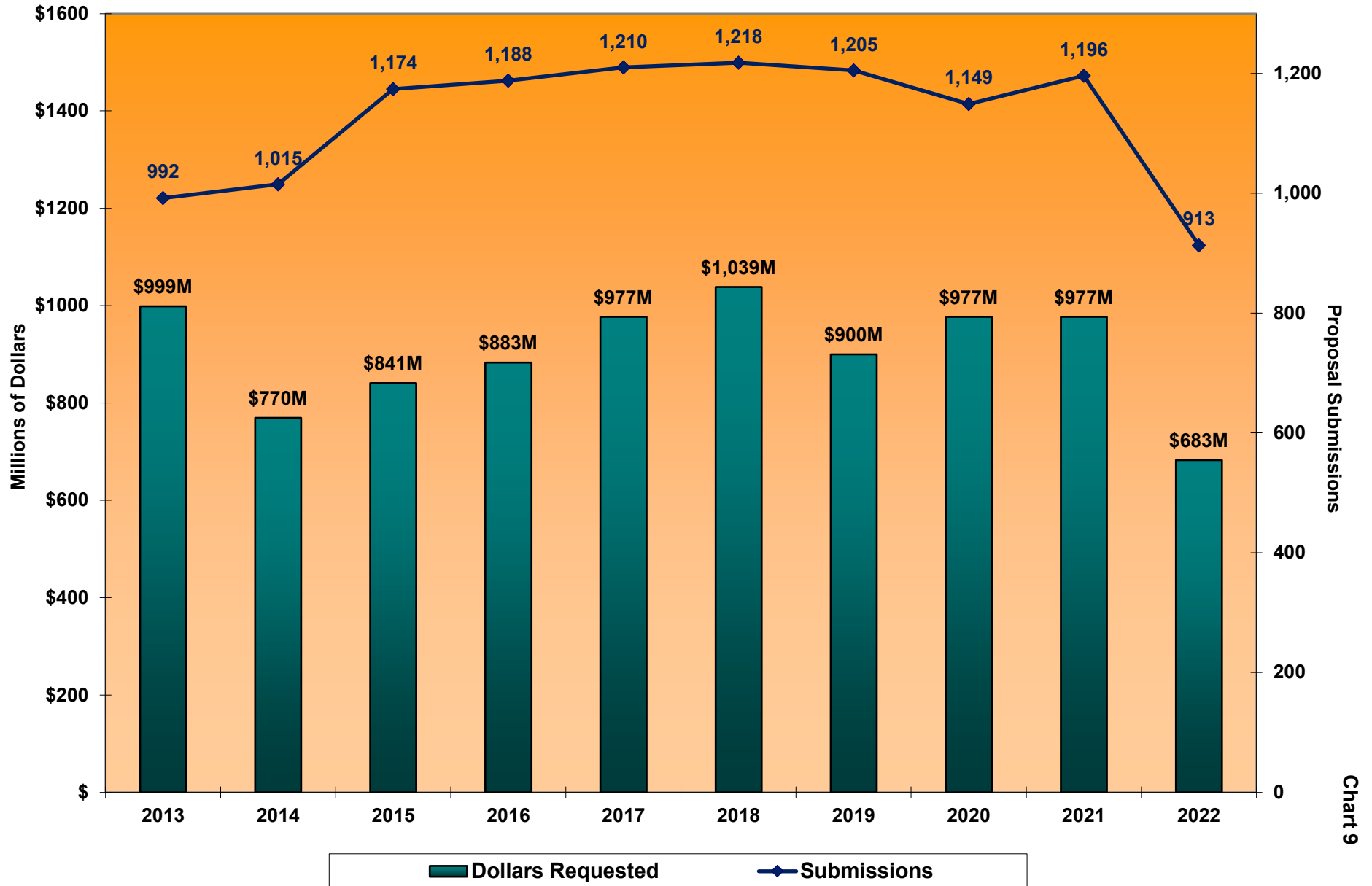
\$423,466,070
(**\$423,532,727**)



California Institute of Technology
Contract and Grant Funding, by Division - FY2013-FY2022



California Institute of Technology
Contract and Grant Proposal Submissions: FY2013- FY2022



Success Rate - All Proposals

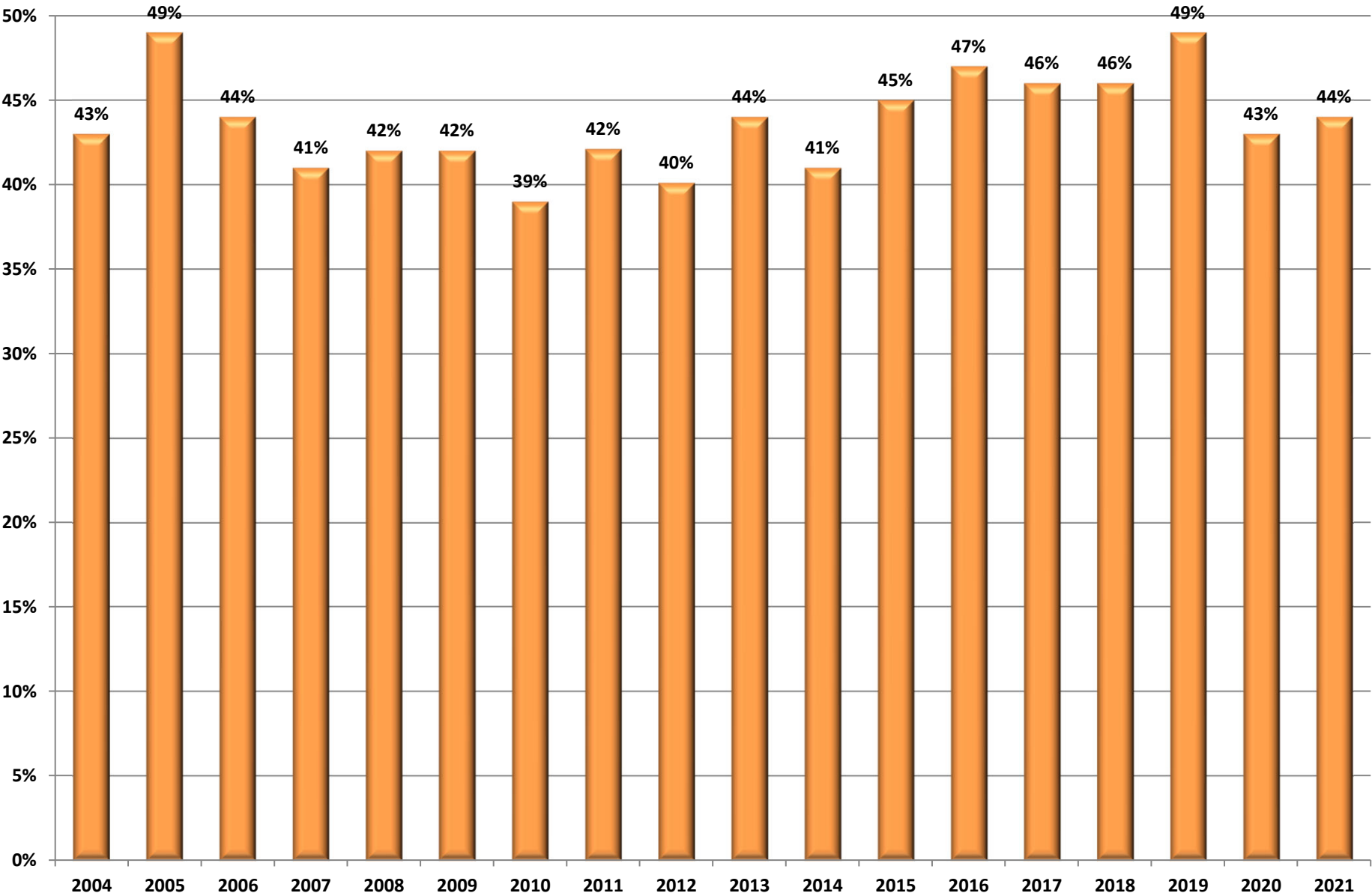
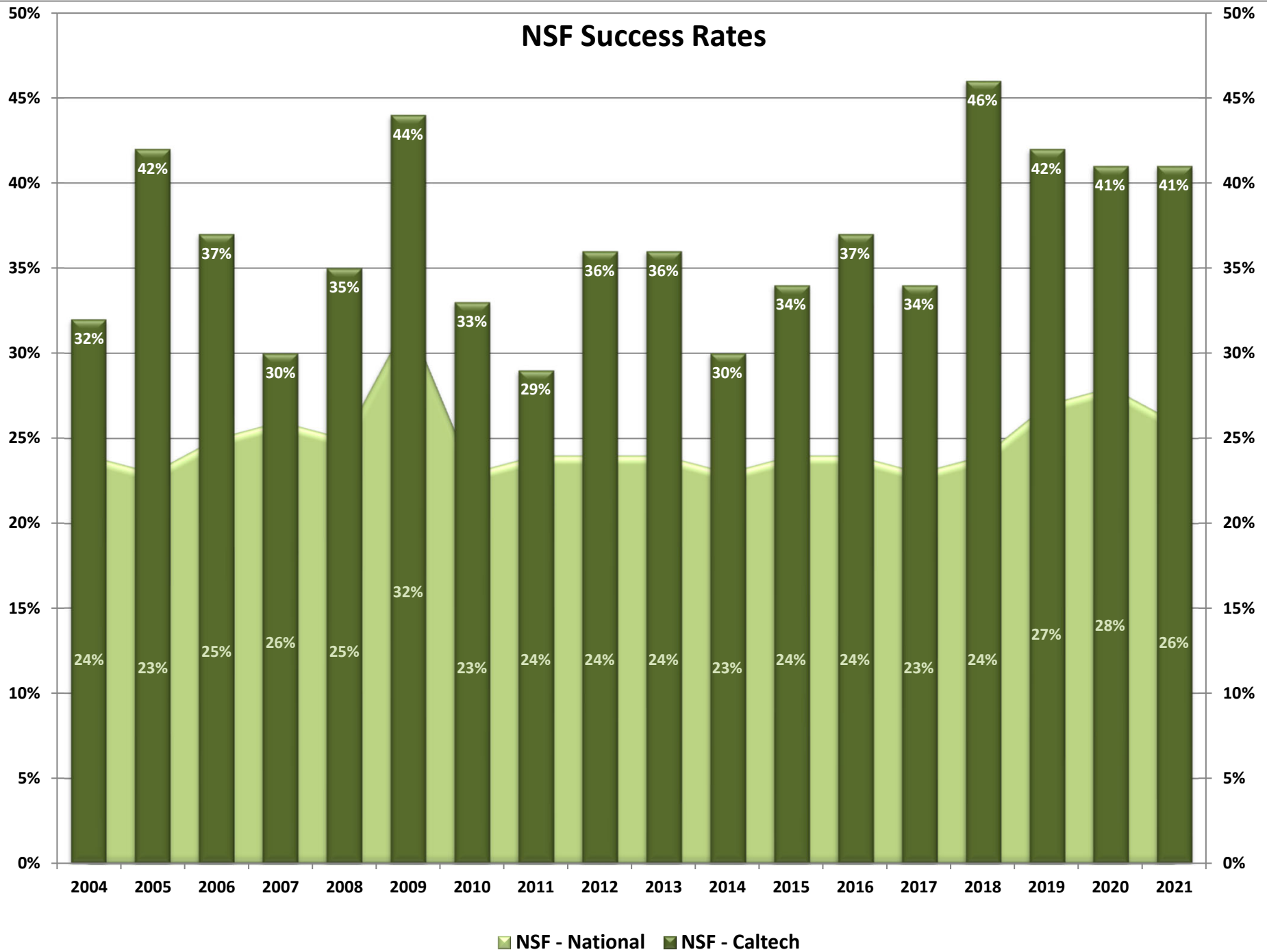


Chart 10

NSF Success Rates



NIH Success Rates

