

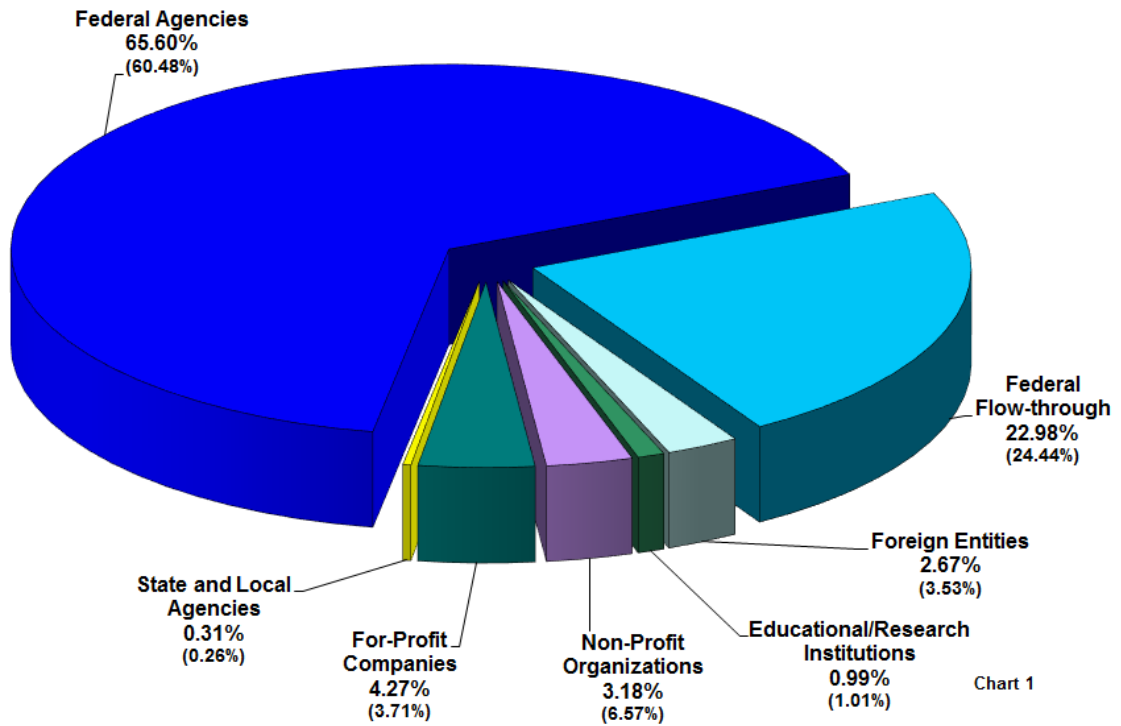
Office of Research Administration

Annual Report for FY 2016

This report presents information on Caltech's sponsored research proposal and award activity for Fiscal Year 2016, October 1, 2015 through September 30, 2016. In FY 2016, Caltech's awards held steady at just over \$300 Million, a level of funding that has been quite consistent for the past four years. At a time of continuing flat or decreasing budgets for Federal research agencies, this speaks well of the work of our faculty. Total funding received in FY 2016 was nearly identical to the level received in FY 2015, differing by less than .5%.¹

California Institute of Technology
Contract and Grant Funding, by Sponsor Type - FY2016
(parenthetical numbers represent previous year)

\$302,127,832



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

Chart 2

Chart 2 compares research funding received with research expenditures over the past ten years. Funding amounts and expenditures are hardly ever equal in any given year. In some instances, funds are awarded for multi-year periods up front, but the expenditures are recorded on an annual basis.

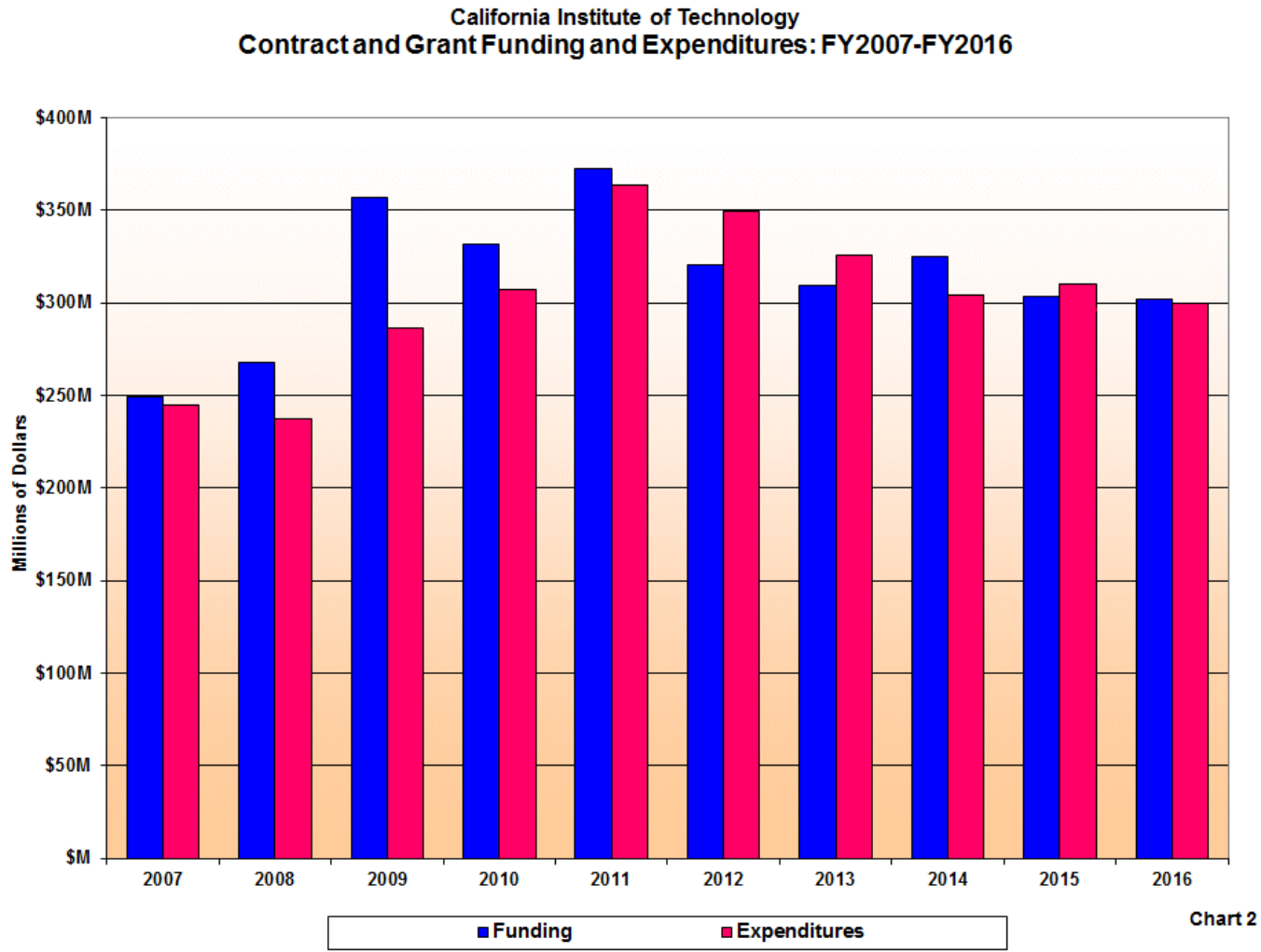


Chart 3

Federal awards, direct and flow-through, increased by 3.9%. Non-federal awards decreased by nearly 25%, but over-all funding decreased by only .4%.

Chart 3	Agency Type	# of Transactions	Funds Awarded	% Change in Dollars from Previous Year
Federal Funding				
Executive and Independent Agencies				
Department of Defense				
	Air Force	22	4,473,220	-22.2%
	Army	12	2,110,535	-9.7%
	Defense Advanced Research Projects Agency	9	8,371,841	-5.0%
	Navy	36	6,504,101	200.2%
	Other DOD	2	370,445	48.2%
	Subtotal DOD	81	21,830,142	13.0%
	Department of Energy	26	21,331,518	8.7%
	National Aeronautics & Space Administration	91	13,783,369	16.6%
	National Institutes of Health	142	62,622,183	11.9%
	National Science Foundation	133	75,165,168	4.0%
	Department of Interior (USGS)	13	3,471,985	-21.4%
	Other Federal Agencies			-100.0%
	Subtotal Executive & Independent Agencies	486	198,204,365	8.0%
Federal Funds From Non-Federal Sponsors				
	Educational/Research Institutions	148	24,790,743	12.3%
	Non-Profit Organizations	55	7,218,056	-38.3%
	For-Profit Companies	15	1,862,554	-46.6%
	Jet Propulsion Laboratory	224	35,557,011	-3.5%
	State and Local Government	0	0	0.0%
	Subtotal Federal Funds from Non-Federal Sponsors	442	69,428,364	-6.3%
	TOTAL FEDERAL FUNDING	928	267,632,729	3.9%
Non-Federal Funding				
	Educational/Research Institutions	28	2,991,115	-2.6%
	Non-Profit Organizations	65	9,616,742	-51.8%
	For-Profit Companies	44	12,909,993	14.7%
	State and Local Government Agencies	3	900,533	15.7%
	Foreign Entities	61	8,076,720	-24.6%
	Subtotal Non-Federal Funding	201	34,495,103	-24.6%
	GRAND TOTAL	1,129	<u>\$302,127,832</u>	-0.4%

Chart 4

Chart 4 shows the breakdown by percentage of Federal funding received, both directly from Federal agencies and from non-Federal agencies, mostly other universities, "Federal Flow-Through Funding." For the flow-through funds, there is a further breakdown that shows the Federal agencies from which the flow-downs originated. NASA is the largest of these agencies, largely because of the research collaborations funded through JPL.

**California Institute of Technology
Federal Contract and Grant Funding - FY2016**

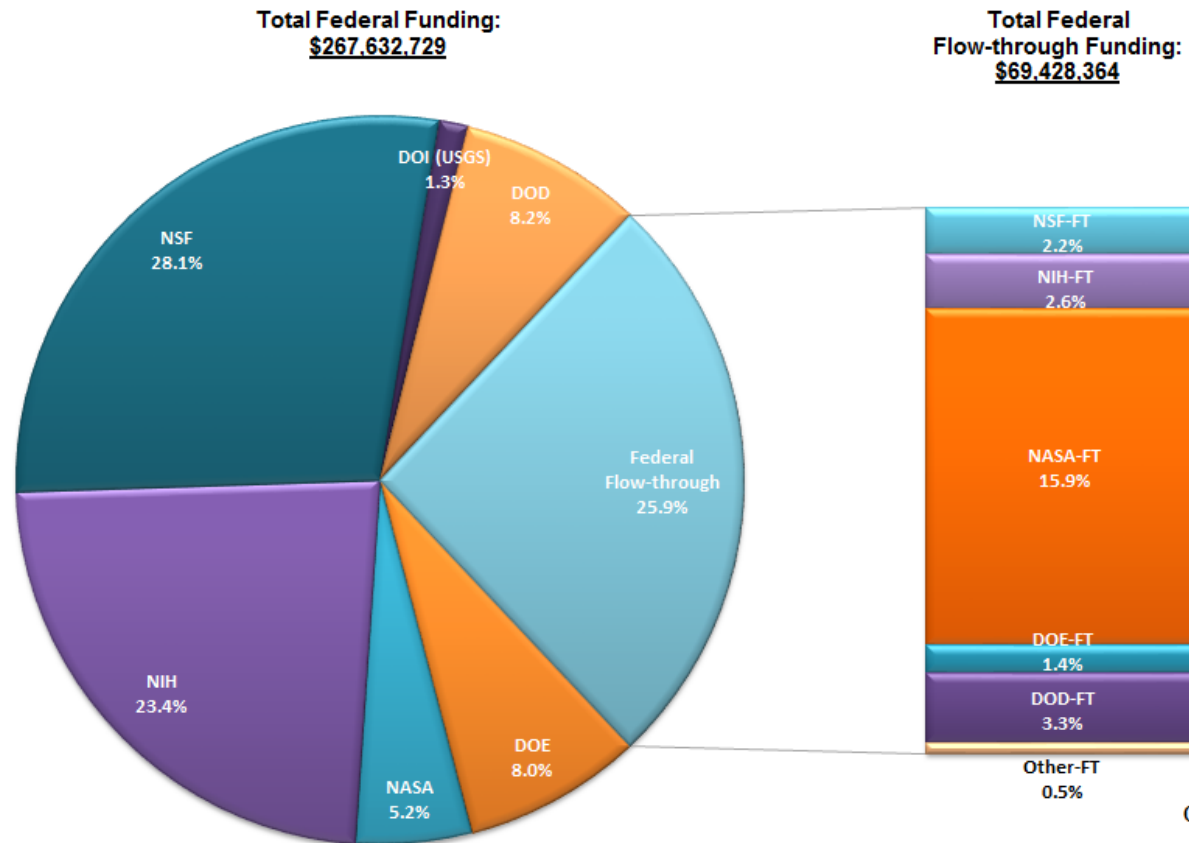


Chart 4

Charts 5 and 6

Charts 5 and 6 show the breakdown of awards by Division. The number of transactions was down by 5%, while the funding amount was nearly identical to the previous year.

Chart 5 – FY16 Contract & Grant Awards by Division	No. of Transactions	% Change in No. of Transactions	Funds Awarded	% Change in Dollars from Previous Year
Biology & Biological Engineering	181	-2.2%	54,038,560	-8.6%
Chemistry & Chemical Engineering	166	9.2%	48,480,539	-10.4%
Engineering & Applied Science	244	-10.9%	52,139,093	0.9%
Geological & Planetary Sciences	183	-8.5%	20,552,443	-4.3%
Humanities & Social Sciences	13	44.4%	4,787,496	47.3%
Physics, Math & Astronomy	337	-7.2%	114,667,530	5.2%
Other	5	-44.4%	7,462,170	56.3%
Totals	1,129	-5.3%	\$302,127,832	-0.4%

California Institute of Technology
Contract and Grant Funding, by Division - FY2016
 (parenthetical numbers represent previous year)

\$302,127,832

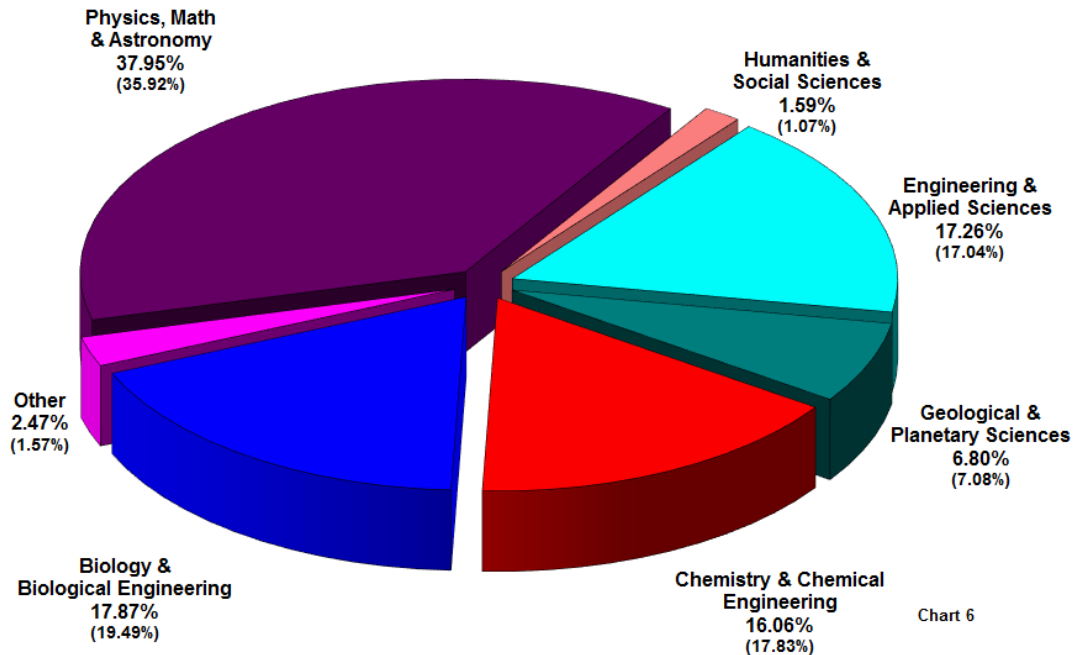


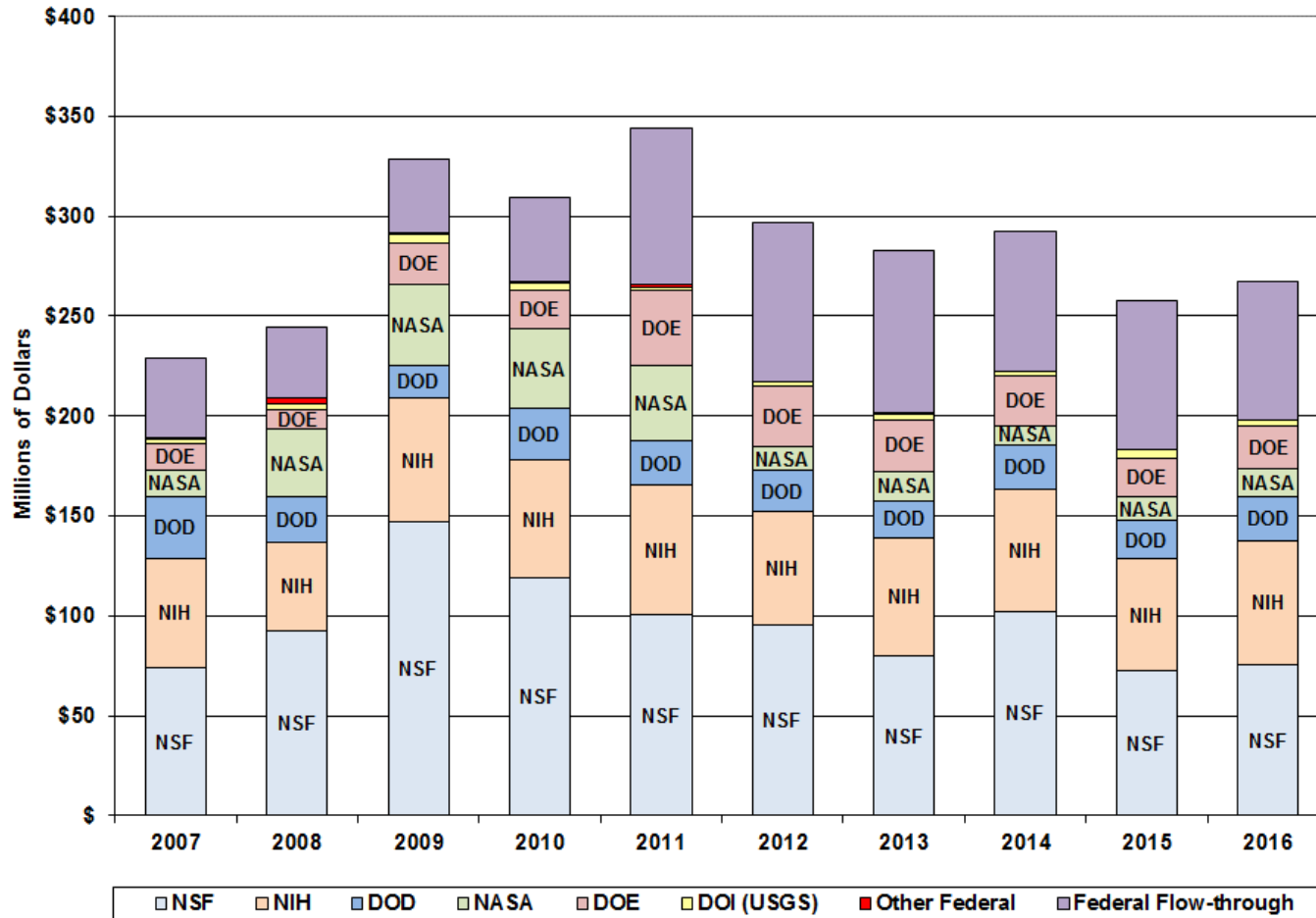
Chart 6

Chart 7

Chart 7 shows the relative funding levels of Federal sponsors over the past ten years. FY 2016 saw slight increases in funds awarded by DOD, NASA, and NIH.

California Institute of Technology
Federal Contract & Grant Funding - FY2007-FY2016

Chart 7



10-Year Contract and Grant Funding: FY2007-FY2016
Compared to FY2007 Dollars Adjusted for Inflation
(Inflation Rate Based Upon Average Annual Consumer Price Index)

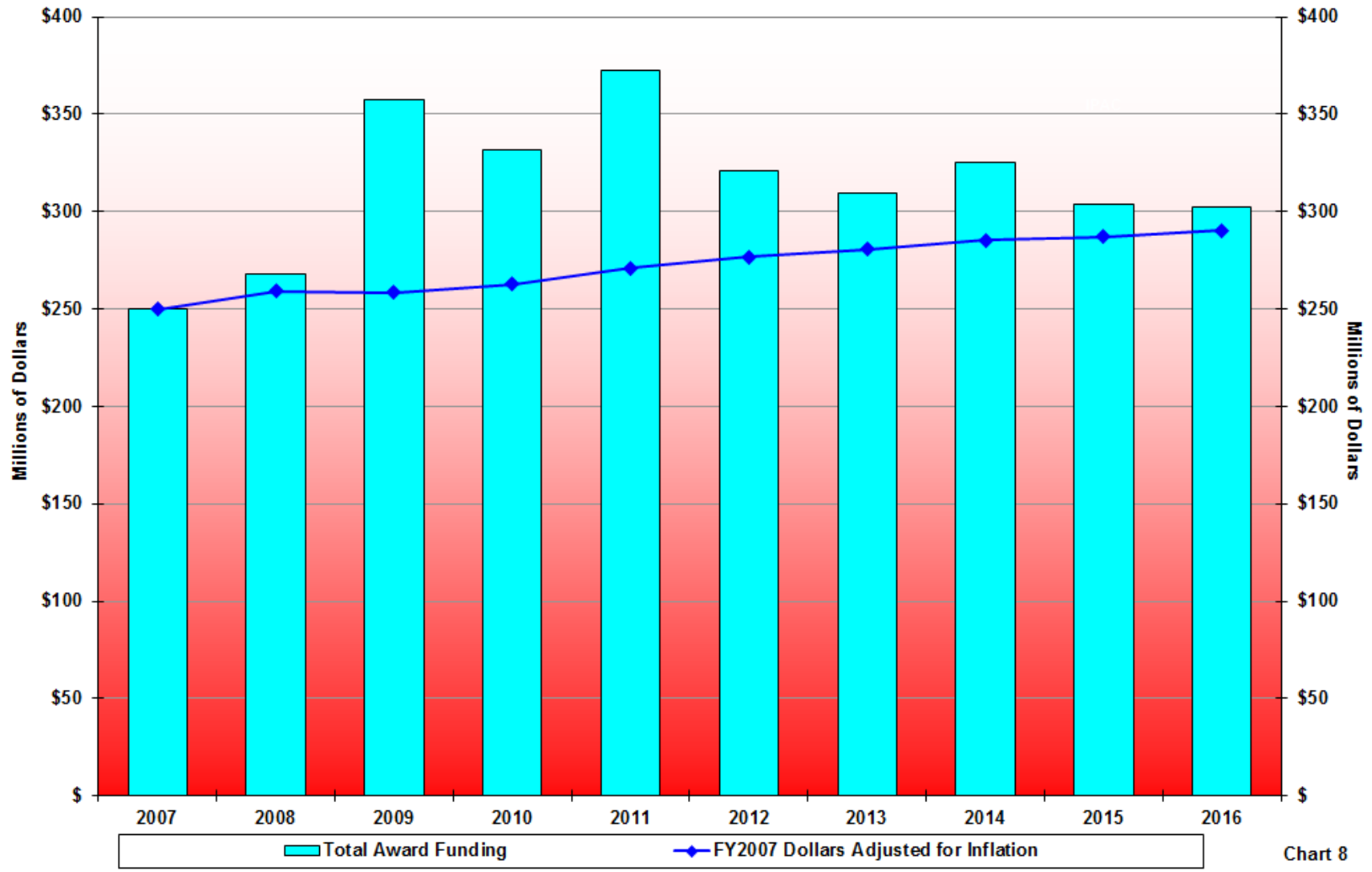


Chart 9

Chart 9 shows ten years of funding by Caltech's six academic divisions. Information for the Division of Physics, Math, and Astronomy (PMA) also shows the funding level without NuSTAR, ALIGO, or IPAC. The impact of JCAP funding is shown for the Division of Chemistry and Chemical Engineering (CCE).

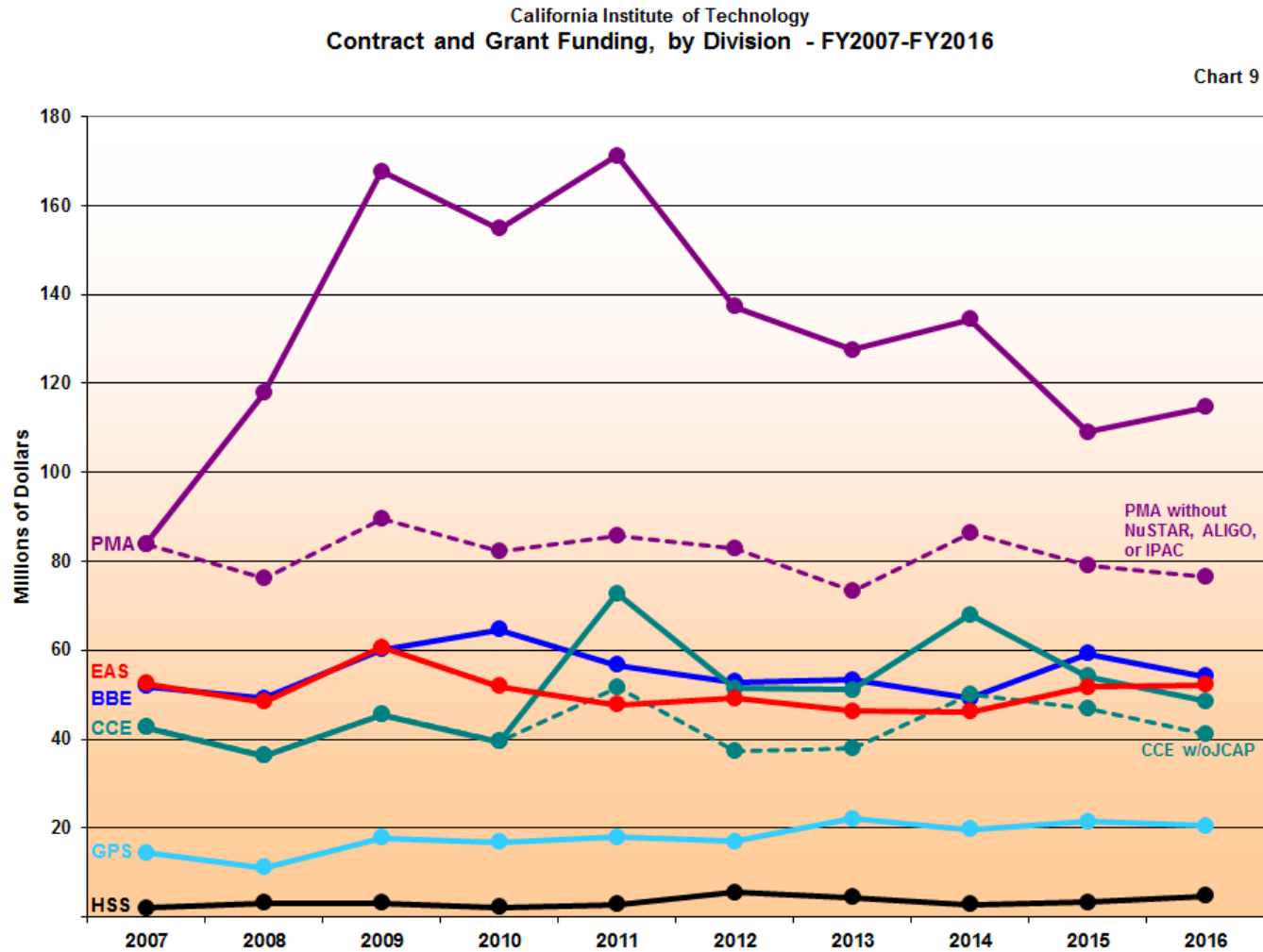


Chart 10

The number of proposal submissions and the amount of funds being requested both increased in 2016, the third year in a row. Proposal submissions are the best predictor of future awards.

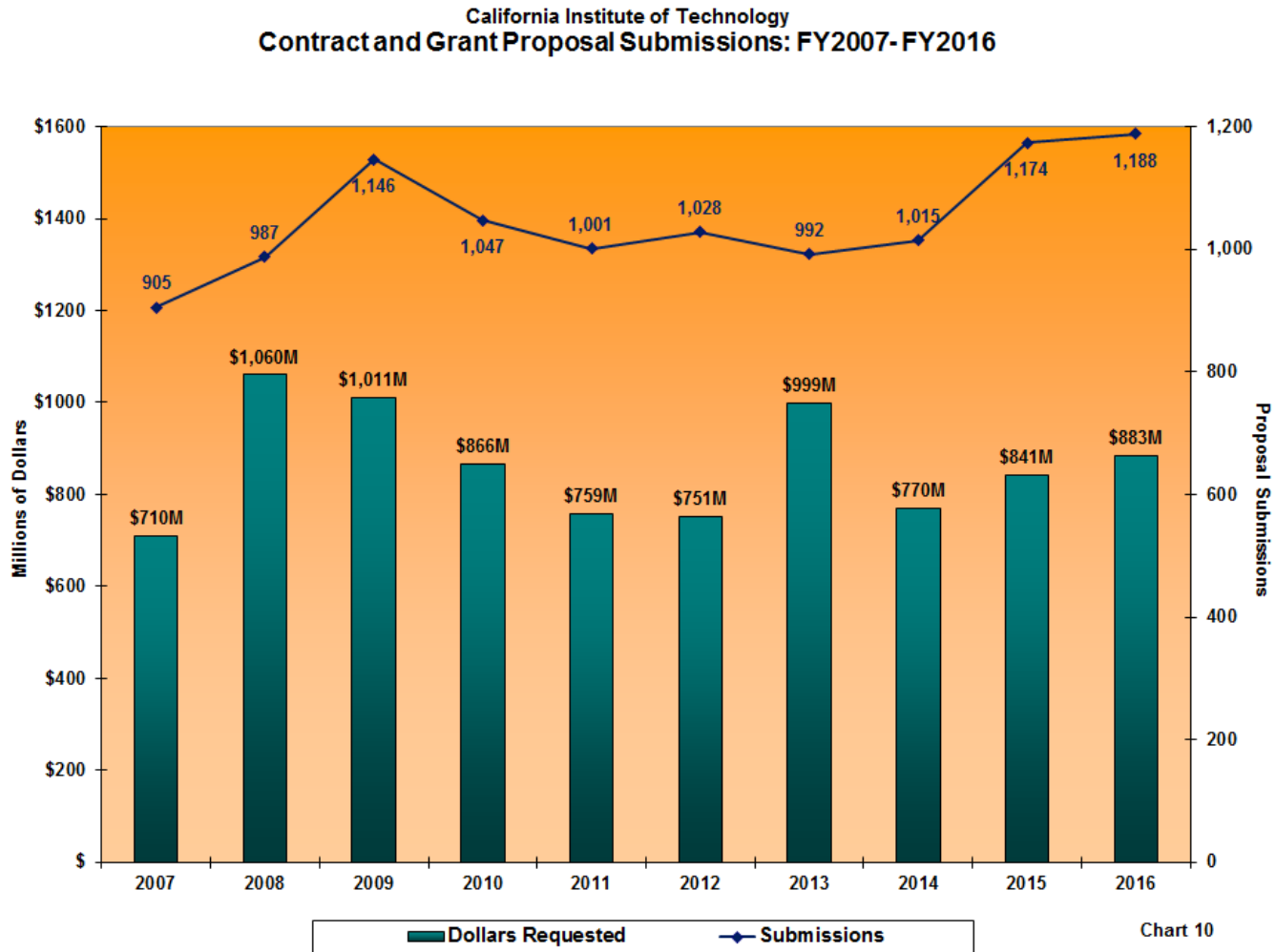
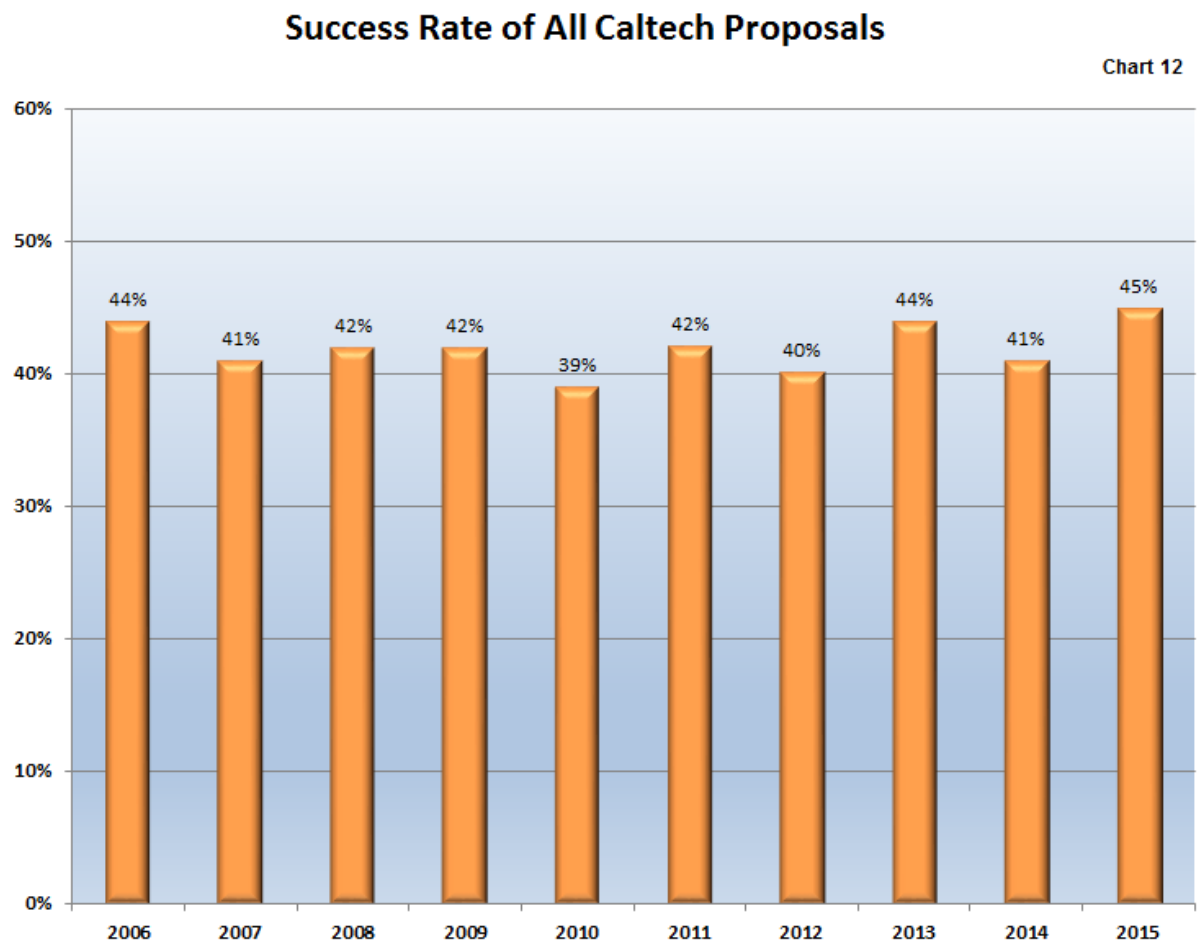


Chart 11 - FY2016 Proposal Submission by Division	No. of Proposals	Total Dollars Requested
Biology & Biological Engineering	259	273,161,521
Chemistry & Chemical Engineering	185	116,744,871
Engineering & Applied Science	269	177,439,549
Geological & Planetary Sciences	203	51,816,915
Humanities & Social Sciences	31	30,865,759
Physics, Math & Astronomy	240	232,956,652
Other	1	196,159
Totals	1,188	\$883,181,426

Chart 12

Chart 12 presents the success rate for all Caltech research proposals submitted over the last ten years. The rate has reached 45%, the highest in ten years.



Charts 13 and 14

Charts 13 and 14 show the continuing rates of success for Caltech proposals submitted to NIH and NSF compared to the national success rates report by these agencies.

