February 9, 2015

Office of Research Administration

Annual Report – Fiscal Year 2014

This is a report on sponsored research award and proposal activity at Caltech for Fiscal Year 2014, October 1, 2013 through September 30, 2014. The report includes award and proposal statistics for transactions processed through the Office of Sponsored Research. In FY 2014, funding for research grants, contracts, and cooperative agreements totaled $325 Million. This represents a 5% increase over the total for FY 2013, $309 Million. [1]

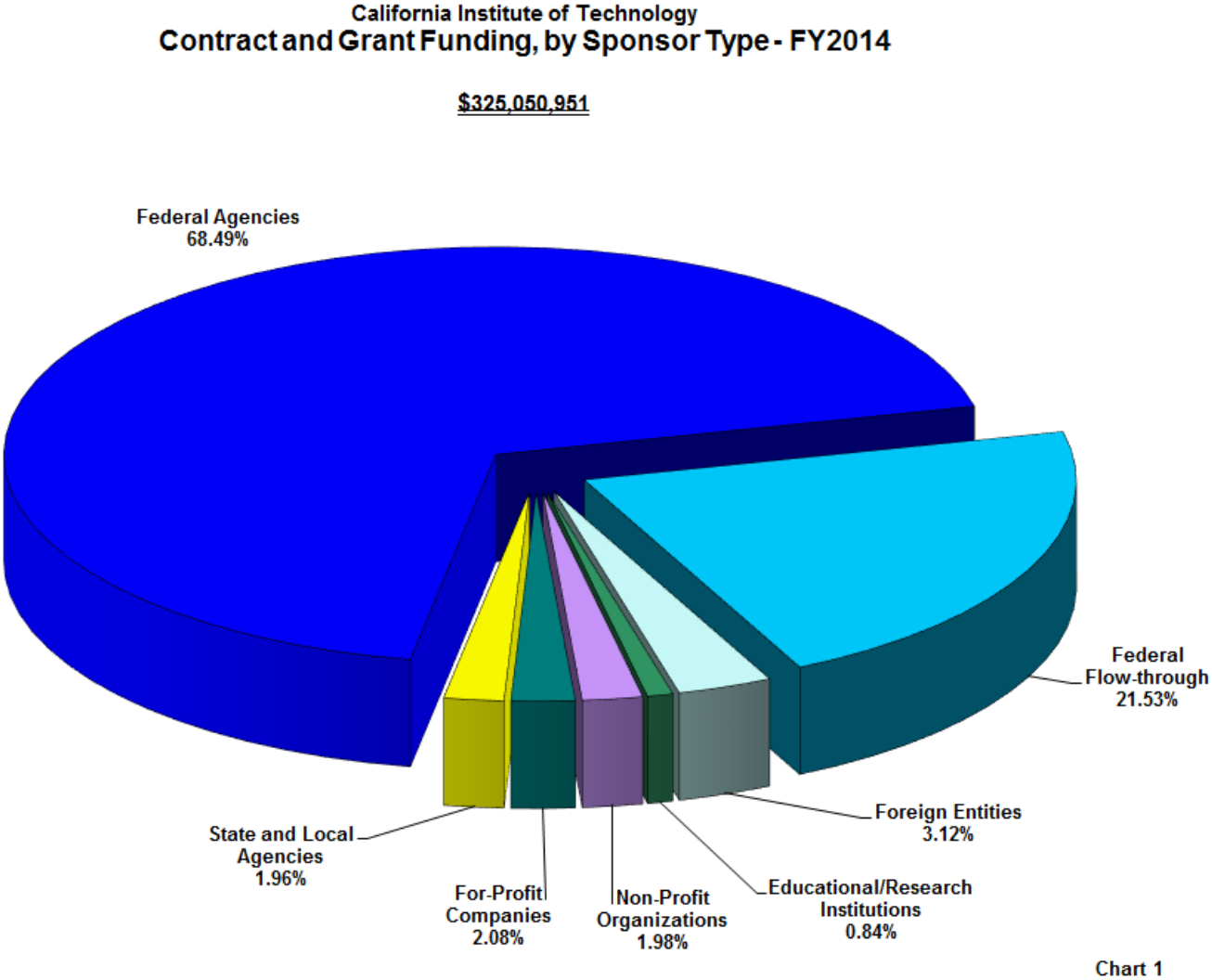


Chart 1

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

Chart 2 compares research funding received with research expenditures over the past ten years. Information for most years shows a lag between funds awarded and funds expended. In some cases funds are awarded for multi-year periods but expenditures occur on an annual basis.

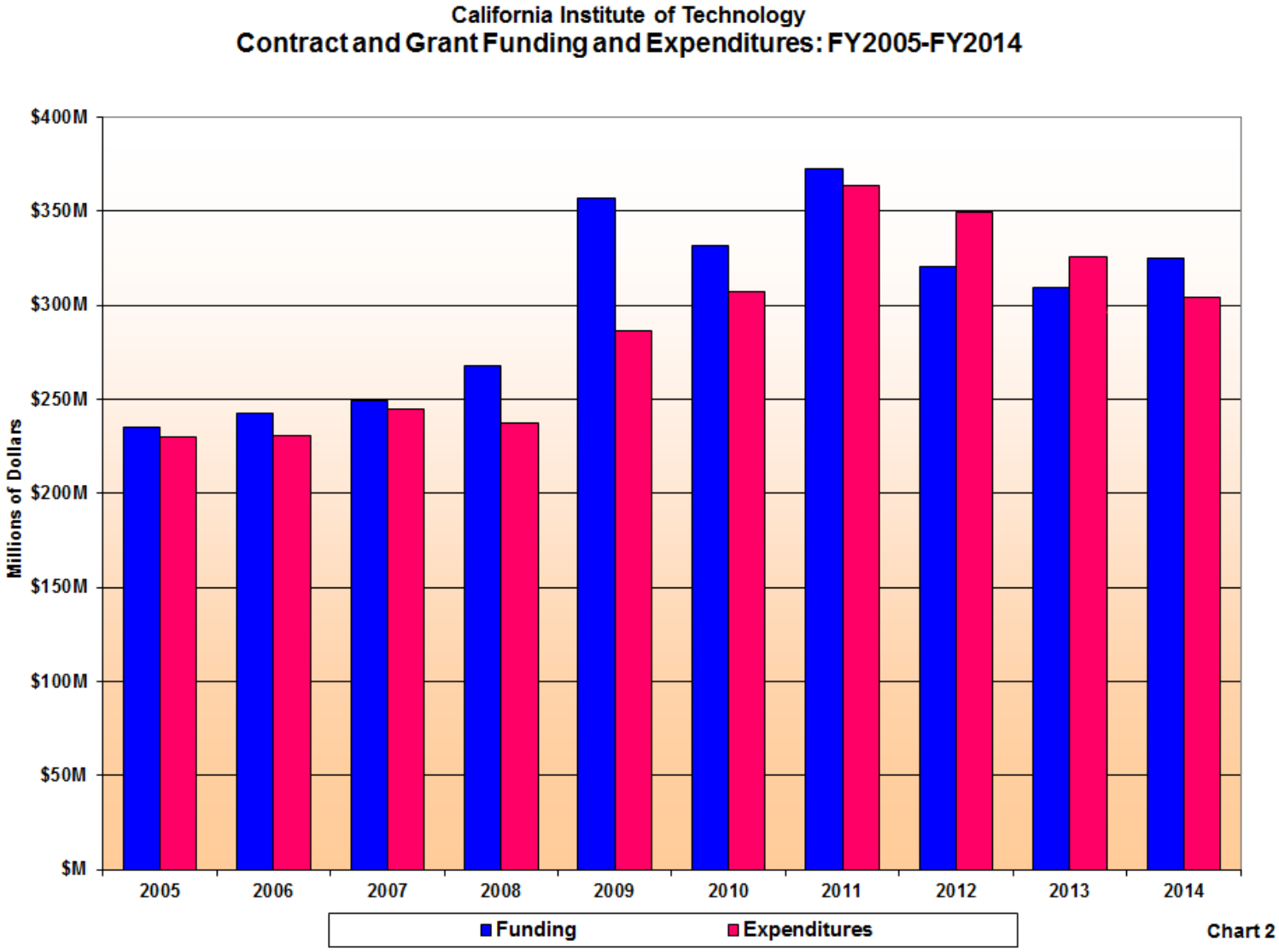


Chart 3	Agency Type	# of Transactions	Funds Awarded	% Change in Dollars from Previous Year
Federal Funding				
	Executive and Independent Agencies			
	Department of Defense			
	Air Force	25	4,955,640	-6.8%
	Army	20	4,803,361	34.8%
	Defense Advanced Research Projects Agency	12	8,653,064	85.3%
	Navy	41	3,430,662	-22.8%
	Other DOD	1	349,998	0.0%
	Subtotal DOD	**99**	**22,192,725**	20.0%
	Department of Energy	29	24,889,703	-3.5%
	National Aeronautics & Space Administration	75	9,458,387	-36.0%
	National Institutes of Health	157	61,414,275	3.3%
	National Science Foundation	130	102,121,494	28.2%
	Department of Interior (USGS)	10	2,383,769	-5.1%
	Other Federal Agencies	2	162,926	-75.6%
	Subtotal Executive & Independent Agencies	**502**	**222,623,279**	10.6%
	Federal Funds From Non-Federal Sponsors			
	Educational/Research Institutions	169	18,366,200	-20.5%
	Non-Profit Organizations	107	9,652,063	-26.7%
	For-Profit Companies	25	1,424,097	-46.5%
	Jet Propulsion Laboratory	217	38,667,238	-0.1%
	State and Local Government	3	1,872,415	0.0%
	Subtotal Federal Funds from Non-Federal Sponsors	**521**	**69,982,013**	-14.2%
	TOTAL FEDERAL FUNDING	**1,023**	**292,605,293**	3.4%
Non-Federal Funding				
	Educational/Research Institutions	19	2,737,338	41.1%
	Non-Profit Organizations	52	6,421,593	8.3%
	For-Profit Companies	32	6,779,234	-28.5%
	State and Local Government Agencies	7	6,379,476	251.7%
	Foreign Entities	54	10,128,017	23.1%
	Subtotal Non-Federal Funding	**164**	**32,445,659**	23.1%
	GRAND TOTAL	**1,187**	**$325,050,951**	5.1%

Chart 4 provides information on federal funding, including funds received directly from federal agencies and federal funds received from organizations that themselves are direct recipients of federal funds ("federal flow-through"). Overall federal funding increased by 3.4%. The largest increases occurred with the Department of Defense, 20%, and the National Science Foundation, 28%.

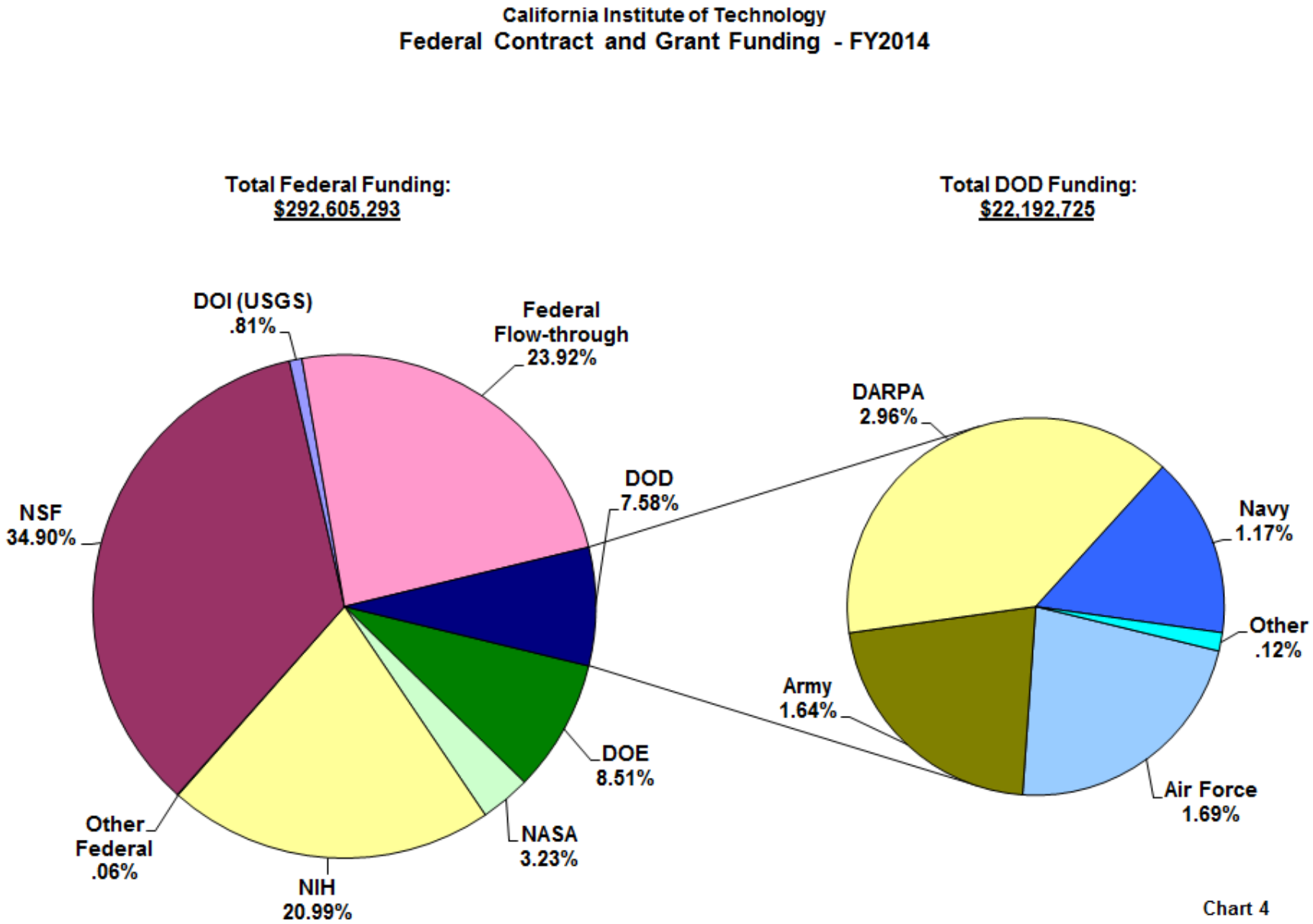


Chart 5	No. of Transactions	% Change in No. of Transactions	Funds Awarded	% Change in Dollars from Previous Year
Biology	175	-16.7%	49,119,480	-7.9%
Chemistry & Chemical Engineering	177	-3.8%	67,998,025	33.3%
Engineering & Applied Science	272	-2.9%	46,205,151	-0.3%
Geological & Planetary Sciences	173	0.0%	19,760,232	-10.5%
Humanities & Social Sciences	8	-46.7%	2,834,946	-34.5%
Physics, Math & Astronomy	375	-0.5%	134,346,666	5.3%
Other	7	40.0%	4,786,451	4.5%
Totals	**1,187**	**-4.6%**	**$325,050,951**	**5.1%**

California Institute of Technology

Contract and Grant Funding, by Division - FY2014

$325,050,951

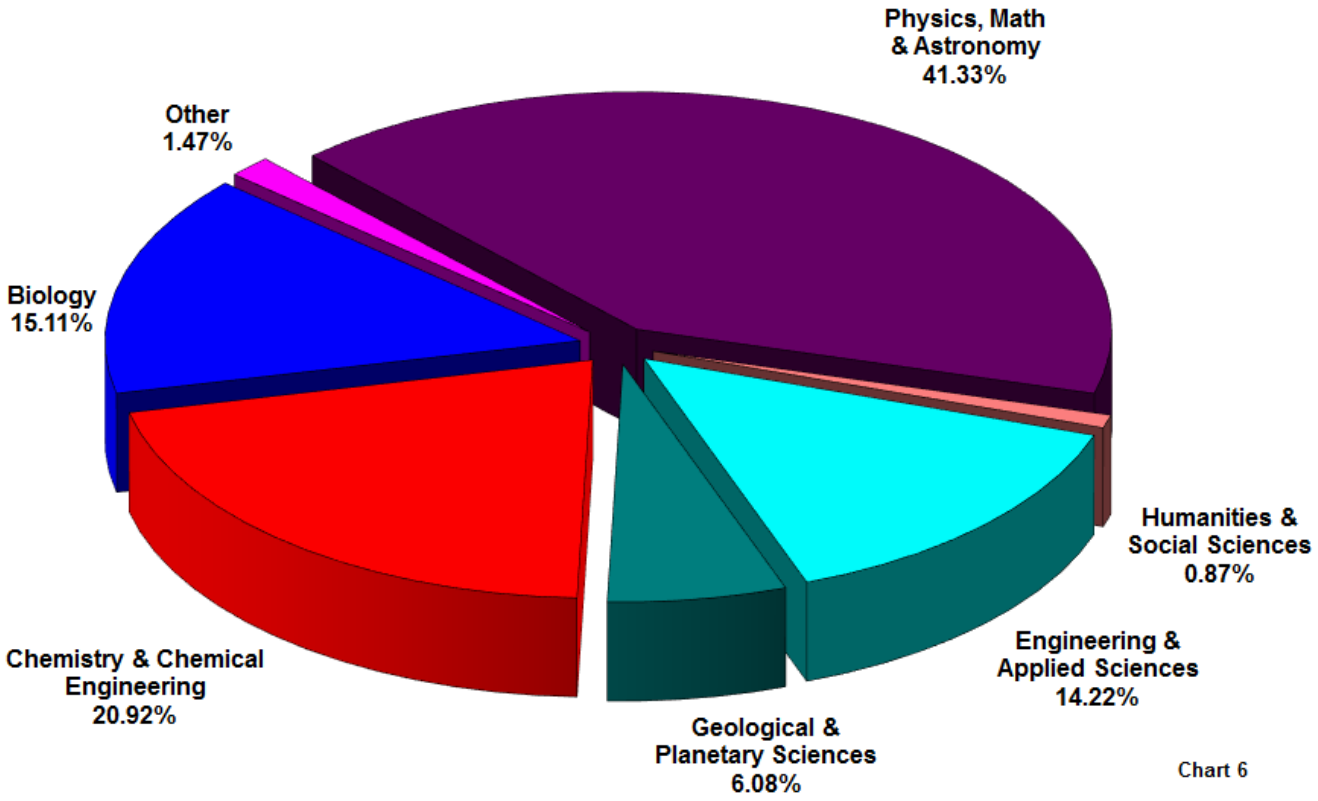


Chart 6

Chart 7 shows the relative funding levels of federal sponsors over the past ten years. The category "Federal Flow-through Funds" includes federal funding from other entities for collaborative research as well as funds received from JPL for campus collaborations.

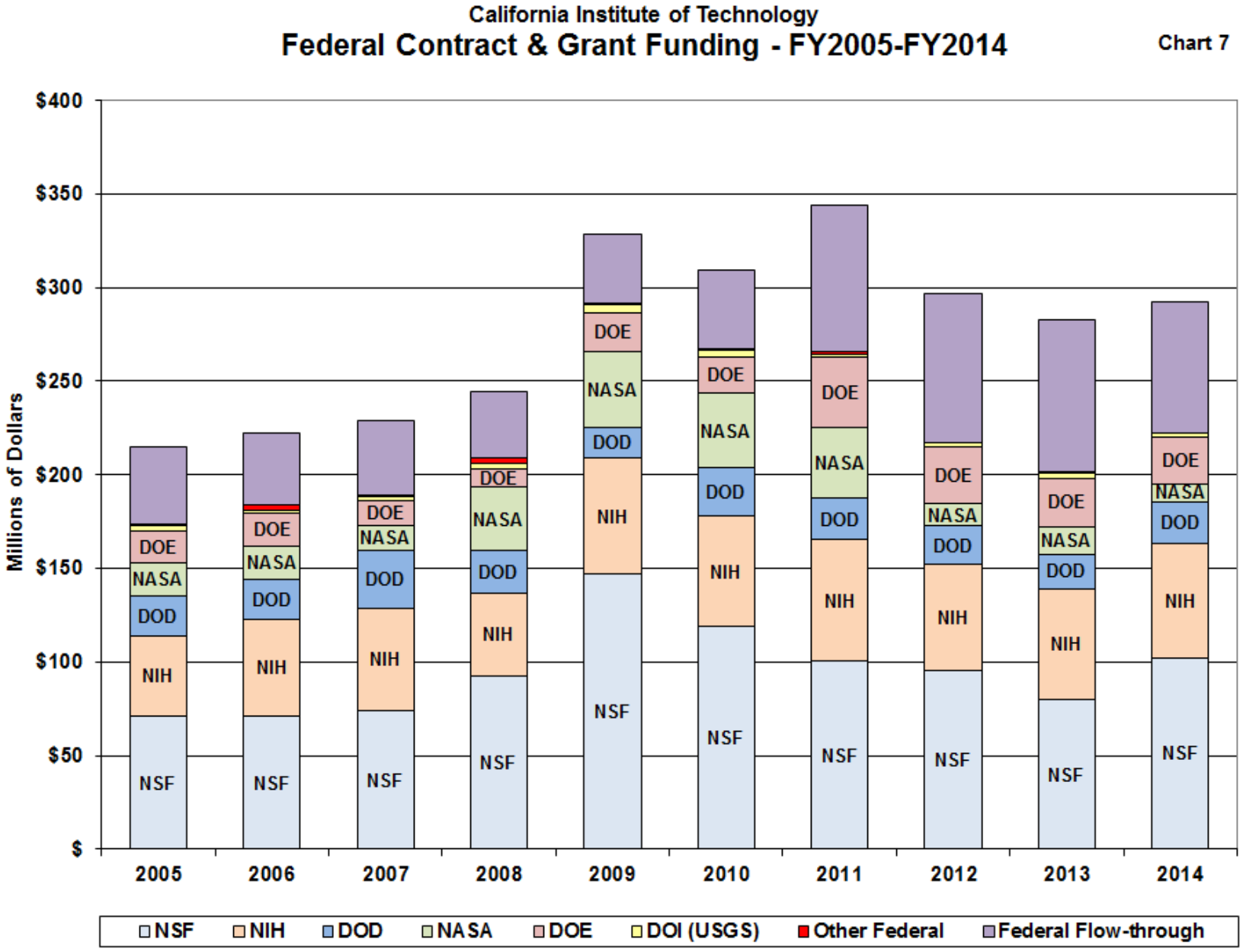


Chart 8 shows the past ten years of funding and shows growth by inflation using FY 2005 dollars adjusted for inflation. For every year following FY 2007, the funding increases exceeded inflation.

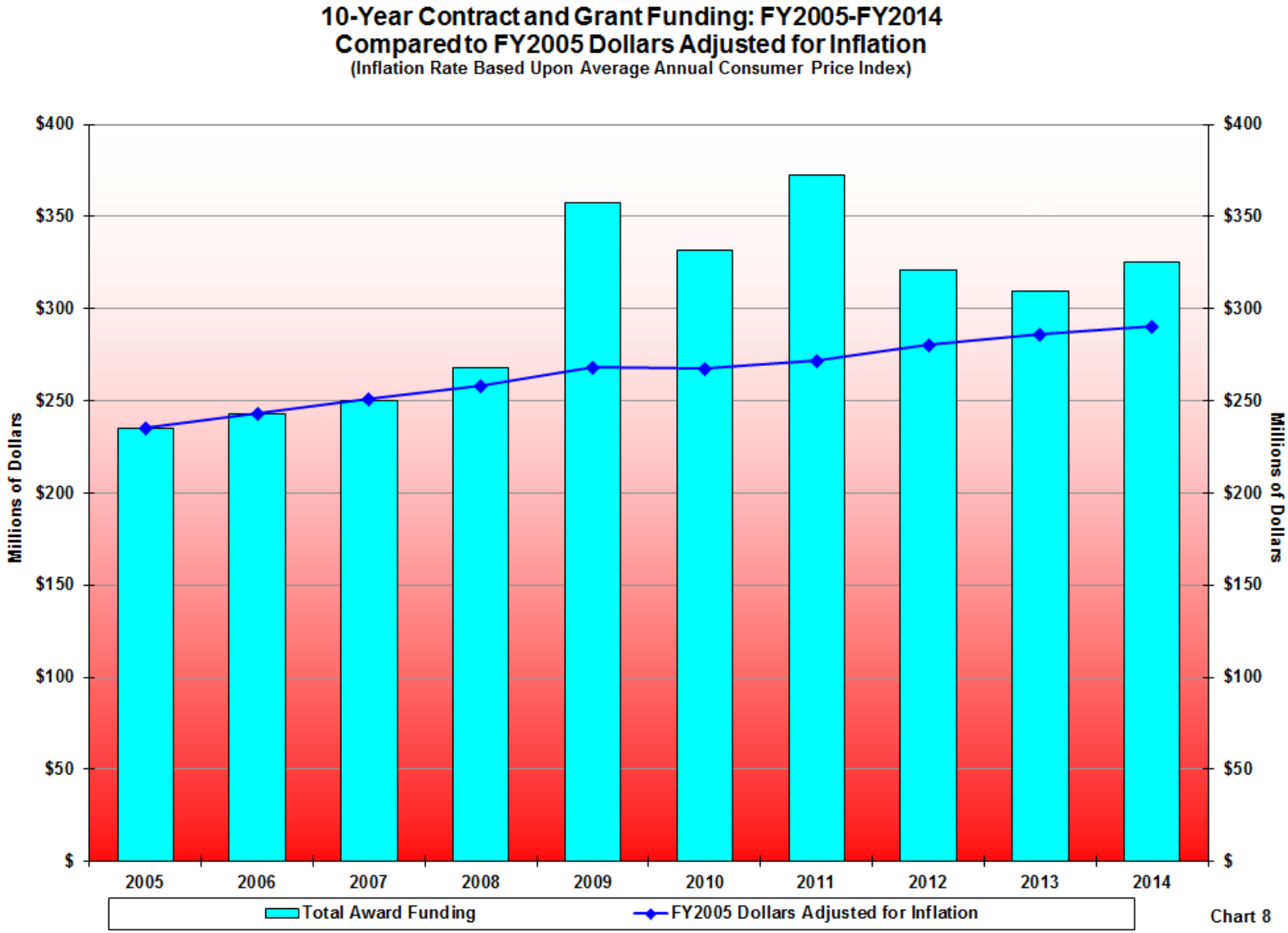


Chart 9 shows ten years of funding by Caltech's six academic divisions. Information for the Division of Physics, Math, and Astronomy (PMA) also shows the funding level without the inclusion of NuSTAR, Advanced LIGO, or IPAC. The impact of JCAP funding is noted for the Division of Chemistry and Chemical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

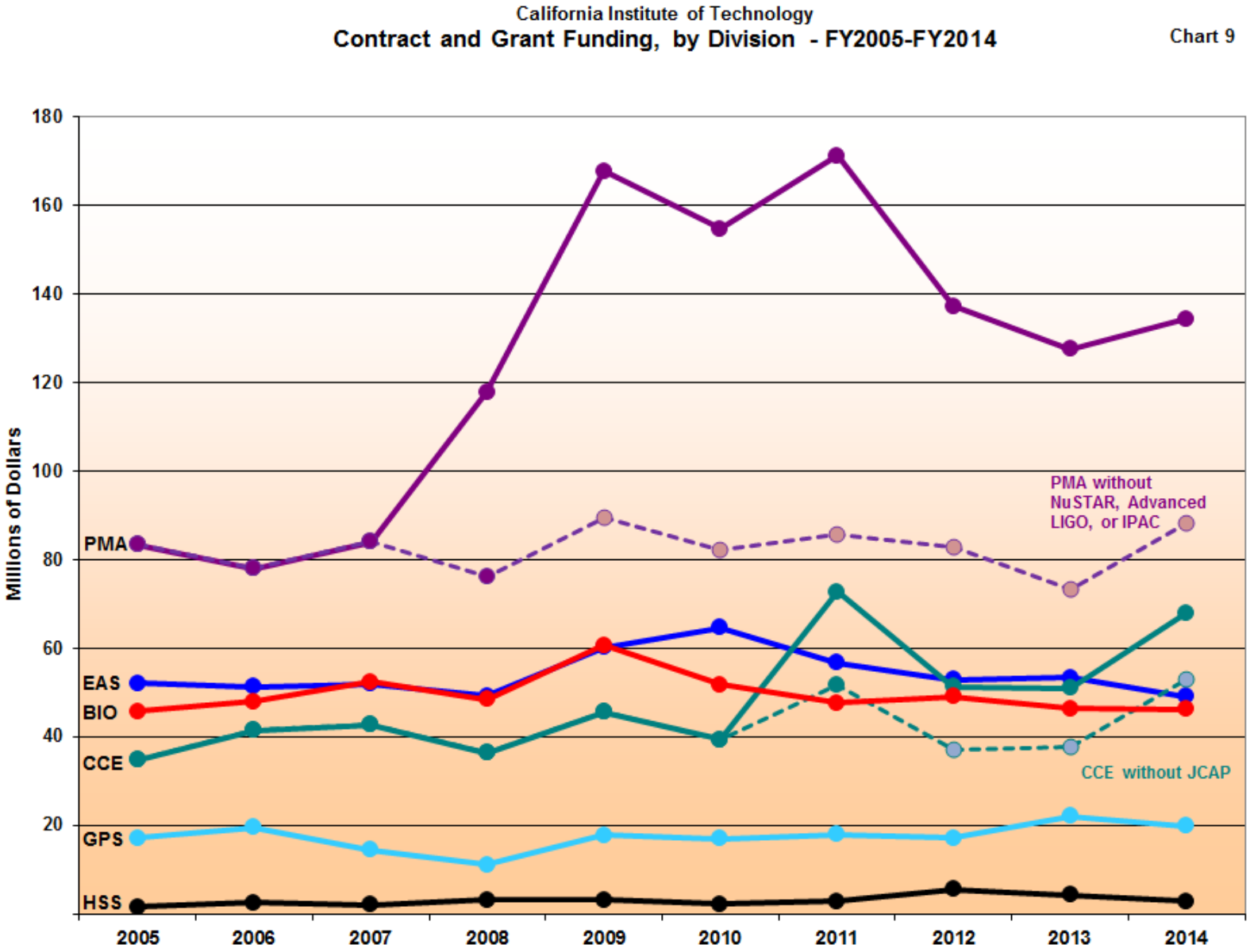


Chart 10 shows proposal submissions—both the number of proposals submitted and the funding requested—for the past ten years. Dollars requested in FY 2013 reflect several extremely large proposals.

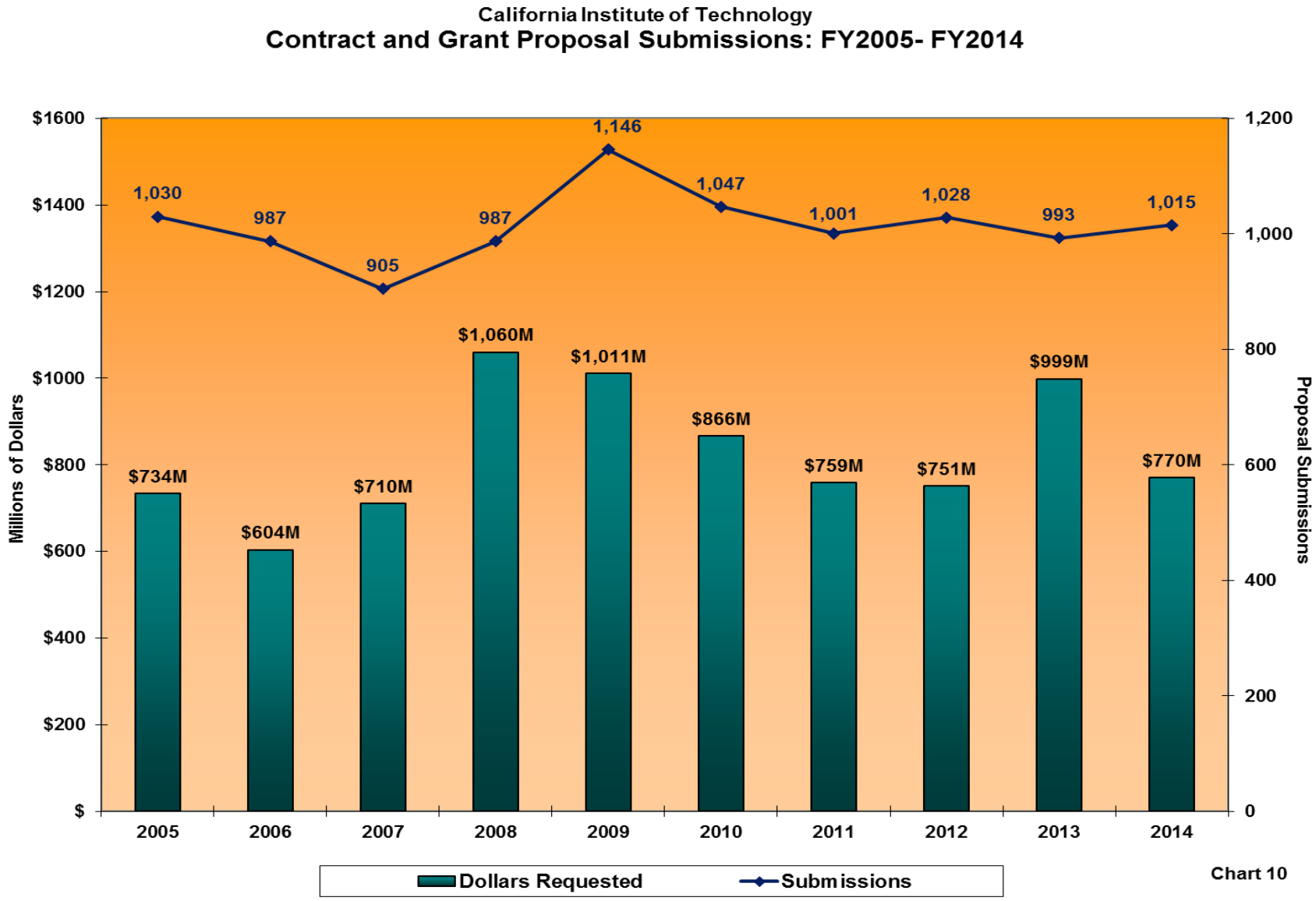
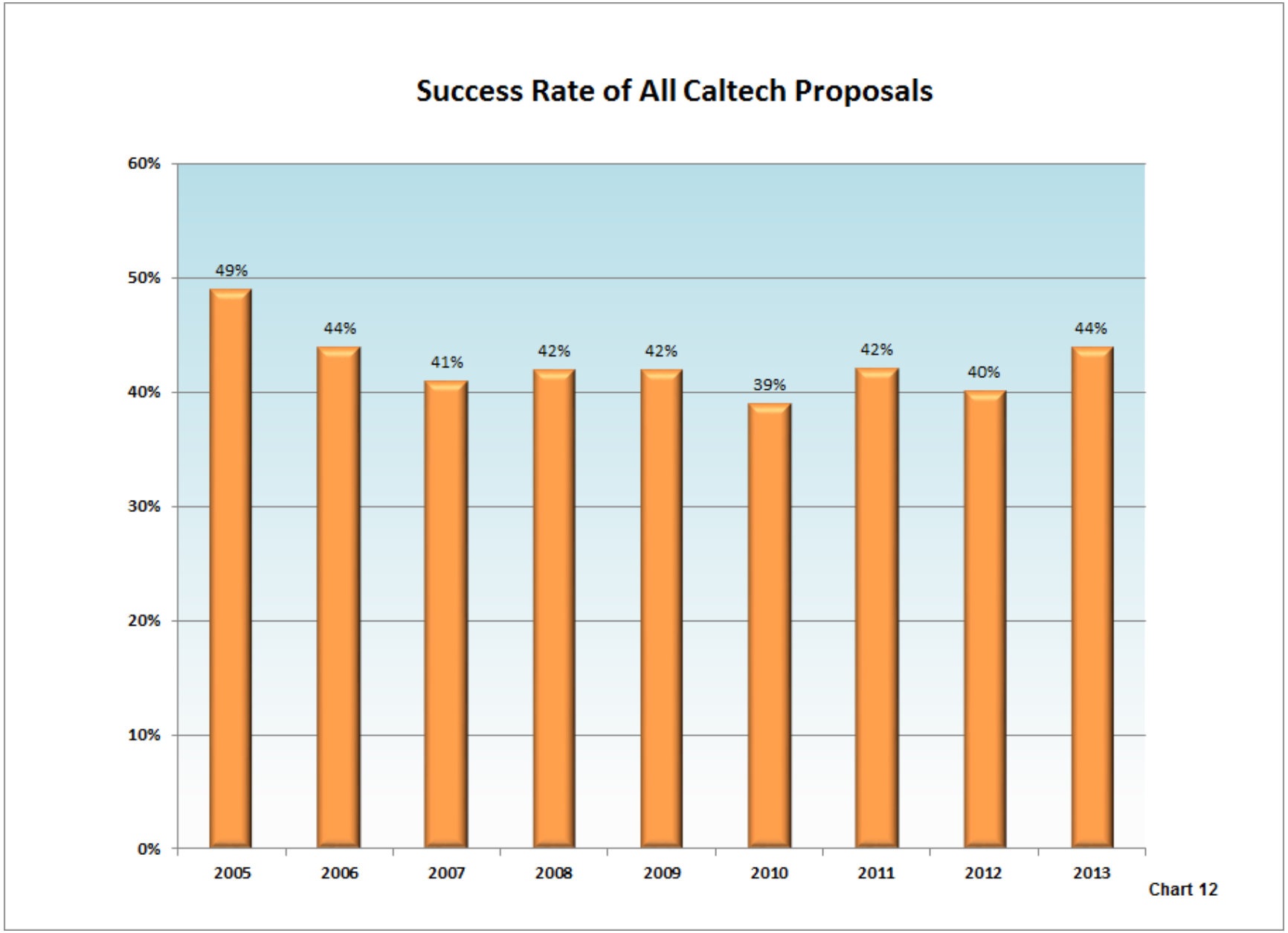


Chart 11		No. of Proposals	Total Dollars Requested
Biology & Biological Engineering		163	174,541,786
Chemistry & Chemical Engineering		144	147,483,065
Engineering & Applied Science		244	141,228,491
Geological & Planetary Sciences		208	73,319,271
Humanities & Social Sciences		11	6,791,704
Physics, Math & Astronomy		243	225,358,313
Other		2	1,054,632
	Totals	**1,015**	**$769,777,262**

Chart 12 shows the success rate of all Caltech research proposals submitted over the past ten years.



Charts 13 and 14 shows the continuing rates of success for Caltech proposals submitted to NIH and NSF compared to the national success rates reported by those agencies.

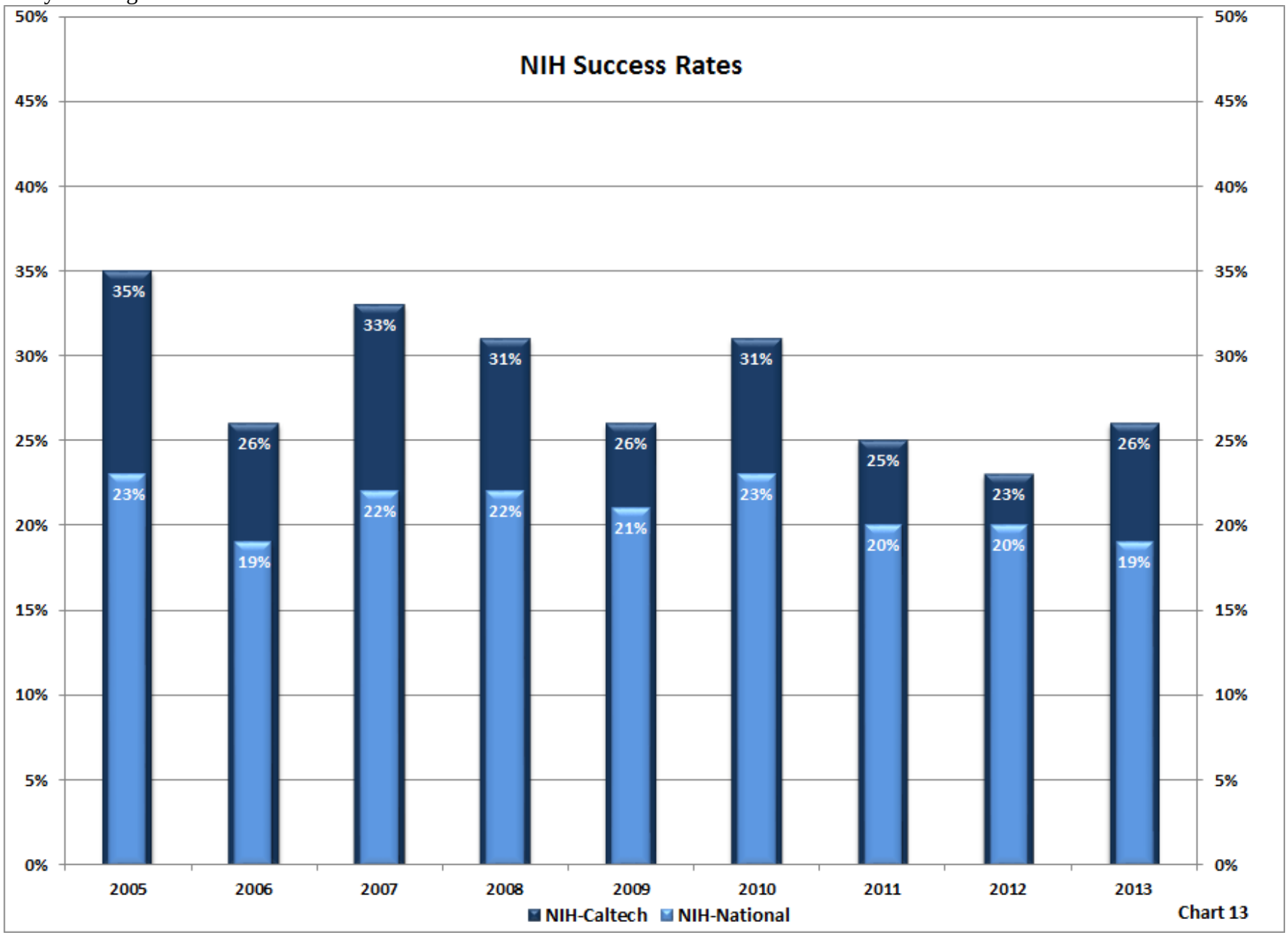
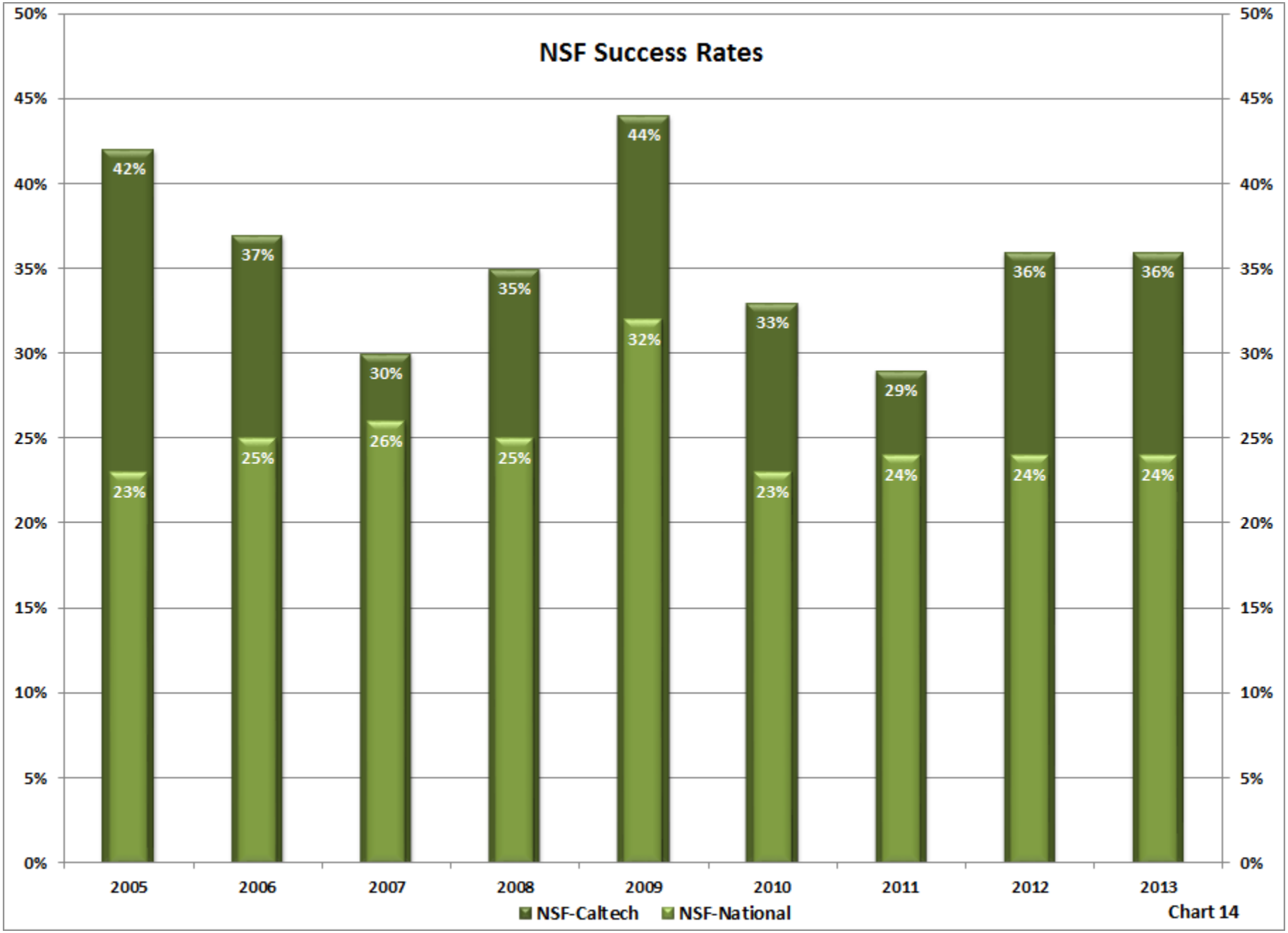


Chart 13


NSF Success Rates
50%
45%
40%
35%
30%
25%
20%
15%
10%
5%
0%
42%
23%
37%
25%
30%
26%
35%
25%
44%
32%
33%
23%
29%
24%
36%
24%
36%
24%
2005
2006
2007
2008
2009
2010
2011
2012
2013
NSF-Caltech
NSF-National
Chart 14