

Section II

Schedule of Expenditures of Federal Awards

**California Institute of Technology
Schedule of Expenditures of Federal Awards
(exclusive of the Jet Propulsion Laboratory)
For the Year Ended September 30, 2005**

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
MAJOR PROGRAMS			
Research and Development Cluster			
Direct Funds			
Executive Office of the President			
Office of Science and Technology Policy	27 011		\$ 104,983
Department of Agriculture			
United States Department of Agriculture	10 206		749
Department of Commerce			
National Institute for Standards and Technology	11 609		695
National Oceanic & Atmospheric Administration	11 431		45,364
Total Department of Commerce			<u>46,059</u>
Department of Defense			
Air Force	12 000	FA9550-05-1-0003	9,100
Air Force	12 000	IPA – SERCEL	170,655
Air Force	12 000	W30906	(373)
Air Force	12 630		1 202 446
Air Force	12 800		2 736 433
Air Force	12 910		489 485
Army	12 000	DASW01-03-C-0037	78,397
Army	12 000	W911NF-04-1-0201	386,291
Army	12 000	W911NF-05-1-0345	22 347
Army	12 000	W911NF-05-1-0434	24,965
Army	12 000	W912HQ-04-C-0045	189,075
Army	12 420		96,262
Army	12 431		2,622,567
Defense Advanced Research Projects Agency	12 910		3,560,191
Navy	12 000	N00173-04-P-0251	9,621
Navy	12 000	N00173-05-P-0153	6,035
Navy	12 000	N00244-02-C-0032	3,207,014
Navy	12 000	N66001-04-1-8913	20,780
Navy	12 000	N00014-04-1-0306	85 512
Navy	12 300		3 340,767
Navy	12 910		1,644 313
National Security Agency	12 901		29,910
National Geospatial-Intelligence Agency	12 000	HM158204C0017	165,906
Total Department of Defense			<u>20,097,699</u>

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MAJOR PROGRAMS (CONTINUED)			
Research and Development Cluster (Continued)			
Direct Funds (Continued)			
Department of Education			
Department of Education	84 116		\$ 38,195
Department of Energy			
Department of Energy	81 000	DE-FC26-02NI15383	199,967
Department of Energy	81 000	DE-FC26-02NI41581	330,261
Department of Energy	81 000	DE-FC26-02NI41631	163,038
Department of Energy	81 000	DE-FC26-04NI15521	372,007
Department of Energy	81 000	DE-FC26-04NI15525	376,675
Department of Energy	81 000	DE-FC26-04NI42212	172,767
Department of Energy	81 000	DE-FC36-04GO14276	600,146
Department of Energy	81 000	DE-FG02-03ER15483	395,043
Department of Energy	81 000	DE-FG02-03ER54711	5,157
Department of Energy	81 000	DE-FG02-04ER25613	81,431
Department of Energy	81 000	DE-FG02-04ER25657	18,675
Department of Energy	81 000	DE-FG02-04ER41316	163,471
Department of Energy	81 000	DE-FG02-04ER46175	177,637
Department of Energy	81 000	DE-FG02-05ER15716	4,852
Department of Energy	81 000	DE-FG02-05ER15754	9,625
Department of Energy	81 000	DE-FG02-05ER41359	1,604,832
Department of Energy	81 000	DE-FG02-05ER41361	190,333
Department of Energy	81 000	DE-FG02-05ER63983	103,664
Department of Energy	81 000	DE-FG02-92ER40701	2,895,965
Department of Energy	81 049		518,520
Department of Energy	81 064		8,906,180
Department of Energy	81 087		<u>332,932</u>
Total Department of Energy			<u>17,623,178</u>
Department of Homeland Security			
Homeland Security Advanced Research Projects Agency	97 000	HSHQPA-05-9-0037	441,888
Department of State			
Department of State	19 000	S-LMAQM-04-GR-170	34,518
Department of Health and Human Services			
National Institutes of Health	93 000		3,009,946
National Institutes of Health	93 121		1 105,163
National Institutes of Health	93 172		3 821,852
National Institutes of Health	93 173		658,746

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MAJOR PROGRAMS (CONTINUED)			
Research and Development Cluster (Continued)			
Direct Funds (Continued)			
Department of Health and Human Services (Continued)			
National Institutes of Health	93 242		\$ 1,406,260
National Institutes of Health	93 279		676,382
National Institutes of Health	93 282		245,043
National Institutes of Health	93 286		1,131,360
National Institutes of Health	93 306		144,751
National Institutes of Health	93 389		1,075,318
National Institutes of Health	93 396		676,533
National Institutes of Health	93 398		80,548
National Institutes of Health	93 821		3,569,893
National Institutes of Health	93 837		226,784
National Institutes of Health	93 847		1,103,925
National Institutes of Health	93 848		136,840
National Institutes of Health	93 849		540,934
National Institutes of Health	93 853		9,434,251
National Institutes of Health	93 854		(211,004)
National Institutes of Health	93 855		633,154
National Institutes of Health	93 856		909,268
National Institutes of Health	93 859		5,458,832
National Institutes of Health	93 862		1,970,870
National Institutes of Health	93 865		503,978
National Institutes of Health	93 866		1,287,902
National Institutes of Health	93 867		3,435,990
Total Health and Human Services			<u>43,033,519</u>
Department of the Interior			
Department of the Interior	15 000	NBCHC030105	189,781
Department of the Interior	15 000	NBCH1050001	521,661
United States Geological Survey	15 807		1,088,954
Total Department of Interior			<u>1,800,396</u>
Environmental Protection Agency			
United States Environmental Protection Agency ("EPA")	66 000		78,178
United States Environmental Protection Agency ("EPA")	66 509		136,072
United States Environmental Protection Agency ("EPA")	66 511		183,784
United States Environmental Protection Agency ("EPA")	66 600		7,084
Total Environmental Protection Agency			<u>405,118</u>

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MAJOR PROGRAMS (CONTINUED)			
Research and Development Cluster (Continued)			
Direct Funds (Continued)			
National Aeronautics and Space Administration ("NASA")			
NASA	43 000		\$ 18,007,717
National Science of Foundation			
National Science Foundation	47 000		2,304,479
National Science Foundation	47 041		4,881,313
National Science Foundation	47 047		14,100,066
National Science Foundation	47 049		35,536,443
National Science Foundation	47 050		5,095,550
National Science Foundation	47 070		6,417,179
National Science Foundation	47 074		1,262,932
National Science Foundation	47 075		635,740
National Science Foundation	47 076		2,860,401
National Science Foundation	47 078		<u>805,074</u>
Total National Science Foundation			<u>73,899,177</u>
Total Research and Development - Direct Funds			<u>175,533,196</u>
Pass-Through Funds			
Department of Commerce			
Rohm and Haas Company	11 612	DOC-RAH-CIT-001	64,915
University of Alaska Fairbanks	11 430	NA03OAR4300104	<u>12,073</u>
Total Department of Commerce – Pass-Through			<u>76,988</u>
Department of Defense			
Air Force			
Alphatech, Inc.	12 300	F33615-02-C-3262	(5,853)
Brown University	12 800	F49620-99-1-0272	52,016
ERC, Inc.	12 000	F04611-99-C-0025	(3,267)
Georgia Institute of Technology	12 630	FA9550-05-1-0411	42,865
Harvard University	12 910	FA9550-05-1-0444	100,829
HRL Laboratories, LLC	12 000	F33615-02-C-1184	208,436
Kettering University	12 000	F33615-02-D-6001	34,938
Lockheed Martin Corporation	12 000	FA8750-04-C-0266	52,287
OptiComp Corporation	12 800	FA9550-05-C-0044	33,867

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MAJOR PROGRAMS (CONTINUED)			
Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
Department of Defense (Continued)			
Air Force (Continued)			
Science Applications International Corporation	12 000	F29601-02-D-0042	\$ 94,222
SRI International	12 000	FA8750-05-C-0011	85,581
Stanford University	12 630	F49620-01-1-0365	64,827
University of California Los Angeles	12 800	F49620-01-1-0361	112,289
University of California San Diego	12 800	F49620-01-1-0497	(28)
University of Southern California	12 000	F30602-02-C-0213	7,349
Total Air Force Pass-Through			<u>880,358</u>
Army			
Battelle Chapel Hill Operations	12 000	DAAD19-02-D-0001	13,867
Cornell University	12 431	DAAD19-01-1-0541	180,955
Microwave Bonding Instruments, Inc	12 000	MBI 000001	32
Parasim, Inc	12 000	W911NF-04-C-0127	79,251
Stanford University	12 431	DAAD19-03-1-0199	101,127
The Scripps Research Institute	12 420	W81XWH-05-1-0217	170,534
University of California Los Angeles	12 420	W81XH-04-1-0653	15,930
University of California Los Angeles	12 000	W911NF-04-1-0236	112,450
University of California Santa Barbara	12 000	DAAD19-03-D-0004	2,287,406
University of Chicago	12 000	W911NF-04-1-071	196,202
Total Army Pass-Through			<u>3,157,754</u>
Navy			
Boeing Company	12 000	N00421-02-D-3223	236,862
Colorado School of Mines	12 300	N00014-02-1-0665	409,122
Colorado School of Mines	12 300	N00014-05-1-0339	42,335
Cornell University	12 300	N00014-03-1-0243	6,425
Harvard University	12 300	N00014-01-0651	306,127
Harvard University	12 000	N00014-04-1-0591	448,899
Naval Research Laboratory	12 300	N00173-01-P-1550	2,555
Princeton University	12 300	N00014-02-1-0826	65,626
Princeton University	12 300	N00014-04-1-0534	131,424
Stanford University	12 300	N00014-02-1-0589	(142)
University of California Berkeley	12 300	N00014-01-1-0890	51,332

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MAJOR PROGRAMS (CONTINUED)			
Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
Department of Defense (Continued)			
Navy (Continued)			
University of California Los Angeles	12 300	N00014-02-1-0180	\$ (11,679)
University of California San Diego	12 300	N00014-02-1-0666	27,020
University of California Santa Barbara	12 300	N00014-01-1-0764	162,930
University of Washington	12 300	N00014-04-1-0094	161,727
University of Washington	12 000	N00014-01-1-0676	194,043
William Lettis & Associates, Inc	12 000	N68936-04-C-0082	38,154
Total Navy Pass-Through			<u>2,272,760</u>
Defense Advanced Research Projects Agency			
Brown University	12 910	HR0011-05-0004	106,250
Harvard University	12 000	N00014-04-1-0591	41,516
Hewlett Packard	12 000	MDA972-01-3-0005	785,076
Hewlett Packard	12 000	HR0011-05-3-0001	512,756
Lockheed Martin Energy Systems	12 000	PP4-536109	739
Massachusetts Institute of Technology	12 000	2003-MII-887	285,924
Oregon State University	12 910	HR0011-04-1-0023	60,424
Princeton University	12 910	N66001-02-1-0829	443,258
Technical Basis, LLC	12 300	DAAH01-03-C-R288	3,958
Trex Enterprises	12 000	DAAH01-02-C-0031	38,945
University of California Berkeley	12 000	SA4334-79952	150,803
University of Colorado at Boulder	12 300	N00014-02-1-0714	117
University of California Davis	12 000	007441-03	25,583
University of California Los Angeles	12 000	DAAH01-01-1-R002	262,210
University of California Los Angeles	12 000	MDA972-01-3-0005	293,990
University of California Los Angeles	12 910	MDA972-02-2-0001	3,752
University of Connecticut	12 910	HR0011-05-1-0027	24,866
University of Massachusetts	12 000	MDA972-95-C-0004	130,545
University of Washington	12 910	HR0011-05-1-0044	60,698
Total Defense Advanced Research Projects Agency - Pass-Through			<u>3,231,410</u>
Total Department of Defense Pass-Through			<u>9,542,282</u>

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MAJOR PROGRAMS (CONTINUED)			
Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
Department of Energy			
BSSI LLC	81 000	DE-FC26-04NI42279	\$ 4,454
Carnegie Institute	81 000	DE-FC03-03NA00144	151,780
Cornell University	81 000	DE-FG02-03ER46072	41,386
Fermilab National Accelerator Laboratory	81 000	DE-AC02-76CH03000	491,451
Georgia Institute of Technology	81 049	DE-FG02-04ER63785	139,734
Lawrence Berkeley National Laboratory	81 049	DE-AC03-76SF00098	302,252
Lawrence Livermore National Laboratory	81 000	W-7405-ENG-48	4,245,761
Los Alamos National Laboratory	81 064	W-7405-ENG-36	159,738
National Renewable Energy Laboratory	81 064	DE-AC36-99GO-10337	48,162
Oak Ridge National Laboratory	81 000	DE-AC05-00OR22725	(2,585)
Sandia National Laboratories	81 000	DE-AC04-94AL 85000	220,237
University of California Los Angeles	81 000	DE-FG03-01ER45949	(40,188)
University of Nevada	81 065	DE-FC28-04RW12232	<u>1,253,850</u>
Total Department of Energy Pass-Through			<u>7,016,032</u>
Department of Health and Human Services			
National Institutes of Health			
Childrens Hospital Los Angeles	93 394	5 U01 CA88199	4,808
City of Hope	93 371	R01 RR06217	33,167
Harvard University	93 903	P50 GM068763	115,066
Indiana University	93 849	P01 DK43881	238,875
Jackson Laboratory	93 172	2 P41 HG002273	233 191
Johns Hopkins University	93 849	1 P50 DK57325-01	169,458
Loma Linda University	93 000	1 R01 CA 112293-01	131,425
Massachusetts Institute of Technology	93 242	P20-MH66239-01	173,562
Medical University of South Carolina	93 837	2 P01 HL 52813-06	6,929
Molecular Sciences Institute	93 000	1 P50-HG02370	202,560
Purdue University	93 856	1 P01 A1055672-01	140 520
Purdue University	93 856	5 P01 A0155672-03	285 347
The Scripps Research Institute	93 859	R01 GM070868-01	89 192
The Scripps Research Institute	93 000	1 R01 GM57148	86,867
The Scripps Research Institute	93 821	5 R01 GM057148-07	17,275
University of California Irvine	93 309	GM-69013	204,197
University of California Los Angeles	93 847	1 R33 DK070328	32,075
University of California Los Angeles	93 389	5 P41 RR13642-04	246,684
University of California Los Angeles	93 929	1 R01 HD044830	132,252

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MAJOR PROGRAMS (CONTINUED)			
Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
Department of Health and Human Services (Continued)			
National Institutes of Health (Continued)			
University of California San Diego	93 279	1 R01 DA018341	\$ 4,269
University of California San Francisco	93 821	R01 GM034993	48,001
University of Iowa	93 242	1 R01 MH067681-01A2	48,087
University of North Carolina	93 242	U54 MH66418	17 317
University of Puerto Rico	93 000	5 U54 NS 39405-06	60,567
University of Tennessee	93 853	R01 NS046356-01	53,526
University of Texas Southwestern Medical Center	93 859	1 U54 GM62114-01	1,479,375
University of Utah	93 821	P01 GM66521	405,973
Total National Institutes of Health Pass-Through			<u>4,660,565</u>
Total Department of Health and Human Services Pass-Through			<u>4,660,565</u>
Department of Interior			
United States Geological Survey ("USGS")			
University of Southern California	15 807	02HQAG0008	150 190
Department of State			
Nat'l Council For Eurasian And E European Research	19 300	I title VIII Grant	2,903
Environmental Protection Agency ("EPA")			
Harvard University	66 500	RD-83095901	49,005
Harvard University	66 509	RD-83215801-01	43,781
University of Houston	66 606	X-83234201	<u>12,179</u>
Total EPA Pass-Through			<u>104,965</u>
National Aeronautics and Space Administration ("NASA")			
California Association for Research in Astronomy	43 000	PO 22886	7,995
California Association for Research in Astronomy	43 000	PO 23206	133,625
Case Western Reserve University	43 000	NAG5-12723	119,964
Emcore Corporation	43 000	NAS3-02201	32,355
Harvard University	43 000	NAG5-5396	34,057
Harvard University	43 000	NNG05GJ29G	22,422
Lockheed Martin Corporation	43 000	NAS2-03004	790

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MAJOR PROGRAMS (CONTINUED)			
Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
National Aeronautics and Space Administration ("NASA") (Continued)			
National Space Biomedical Research Institute	43 000	NCC-9-58-317	\$ 156,928
Pennsylvania State University	43 000	NAG5-13620	1 500
Princeton University	43 000	NAG5-11489	32,744
Smithsonian Astro	43 000	NAS8-03060	99 862
Smithsonian Astro	43 000	NAS8-39073	26,701
Smithsonian Astro	43 000		31,767
Space Telescope Science Institute	43 000	NAS5-26555	1,510,818
Universities of Space Research Association	43 000	NCC3-975	(17,121)
Universities of Space Research Association	43 000	NAS5-97001	746,847
University of Arizona	43 000	ASI-0421499	119,587
University of California Berkeley	43 000	NAS5-00133	1,263,849
University of California Los Angeles	43 000	NCC2-1364	119,620
University of California Los Angeles	43 000	NNG04GJ82G	10,373
University of California Los Angeles	43 000	NNG05EB93C	4,113
University of Colorado At Boulder	43 000	NAG5-11911	3,134
University of Colorado At Boulder	43 000	NAG5-12788	7,355
University of Maryland	43 000	NNG04G088G	82,461
University of Maryland	43 000	NAG5-8877	12,926
University of Southern California	43 000	NNA04CI 15A	55,640
University of Washington	43 000	NCC2-1273	52,291
Washington University in St. Louis	43 000	NNG05WC04G	16,392
Total National Aeronautics and Space Administration Pass-Through			4,688,995
National Science Foundation			
American Association for the Advancement of Science	47 000		4,700
Brown University	47 070	CCR-0086065	(9,360)
Brown University	47 070	CCF-0403674	30,295
California Association For Research In Astronomy	47 049	ASI-9613615	(33,848)
California State University Los Angeles	47 049	DMR-0351848	56,433
Cornell University	47 000	ASI-0041121	3,074
Cornell University	47 049	PO 612144	76,280
Cornell University	47 049	ASI-0431503	3,538
Florida International University	47 049	PHY-0312038	143 286
Incorporated Research Institute For Seismology	47 050	EAR-0004370	19,927
Incorporated Research Institute For Seismology	47 050	EAR-0350030	170,882

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MAJOR PROGRAMS (CONTINUED)			
Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
National Science Foundation (Continued)			
Johns Hopkins University	47 049	ASTI-0122449	\$ 334,931
Massachusetts Institute of Technology	47 049	PHY-0326281	209,329
National Radio Astronomy Observatory	47 000	GSSP02-0003	(250)
National Radio Astronomy Observatory	47 000	ASI-0223851	99,170
New Jersey Institute	47 049	ASI-9987366	60,747
New Jersey Institute	47 000	ASI-0352915	7,142
New York University	47 041	CTS-0103002	237,312
Northeastern University	47 049	PHY-0204786	23,628
Northwestern University	47 049	ASI-0243156	8,557
Pennsylvania State University	47 049	DMS-0101360	35,070
Rice University	47 000	DMR-0073046	7,645
Stanford University	47 000	DMS-0140698	46,477
UNAVCO Inc	47 050	EAR-0318549	29,681
UNAVCO Inc.	47 050	EAR-0453975	823
University of California Berkeley	47 049	ASI-0228963	27,480
University of California Berkeley	47 041	EEC-0425914	153,270
University of California Berkeley	47 041	EEC-9701568	52,504
University of California Berkeley	47 078	MCB-0313546	107,620
University of California Berkeley	47 078	OPP-0091840	21,734
University of California Davis	47 075	SES-0433358	15,519
University of California Irvine	47 074	EF-0330786	499,785
University of California Los Angeles	47 000	CCR-0121778	138,228
University of California Los Angeles	47 041	ECS-0103559	49,240
University of California Los Angeles	47 049	PHY-0441423	167,068
University of California Los Angeles	47 049	PHY 0533280	22,509
University of California Riverside	47 041	CIS-0404376	43,754
University of California San Diego	47 070	ACI-0122272	433,585
University of California San Diego	47 070	ACI-0332113	295,749
University of California San Diego	47 070	ACI-96-19020	424,291
University of California Santa Cruz	47 049	ASI-9876783	113,356
University of Chicago	47 049	ASI-0096913	21,587
University of Delaware	47 070	EIA-0103723	452
University of Florida	47 070	ACI-0086044	134,622
University of Florida	47 049	PHY-0122557	148,340
University of Georgia	47 041	CMS-0404031	53,106
University of Illinois	47 070	ACI-9619019	73,689
University of Illinois	47 000	PHY-9410768	40,676
University of Illinois	47 041	DMI-0328162	184,435

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MAJOR PROGRAMS (CONTINUED)			
Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
National Science Foundation (Continued)			
University of Iowa	47 050	ATM-0205198	\$ 81,256
University of New Jersey	47 041	ECS 0404181	20,000
University of Southern California	47 041	CMS-0409705	4,006
University of Southern California	47 050	EAR-0106924	164,059
University of Southern California	47 000	EEC-0310723	359,431
University of Southern California	47 041	ESC-0335110	206,337
University of Texas	47 049	DMR-0103134	52,911
University of Virginia	47 075	SES-0094800	73,230
University of Washington	47 049	DMR-0120967	<u>6,753</u>
Total National Science Foundation – Pass-Through Funds			<u>5,756,051</u>
Total Research and Development - Pass-Through Funds			<u>31,998,971</u>
Total Research and Development Cluster			<u>207,532,167</u>
Total Major Programs			<u>207,532,167</u>
 NON-MAJOR PROGRAMS			
Student Financial Assistance Cluster			
Direct Funds			
Department of Education			
Federal Work Study Program	84 033		306,899
Federal Supplemental Educational Opportunity Grant	84 007		424,988
Federal Pell Grant Program	84 063		<u>380,773</u>
Total Student Financial Assistance Cluster			<u>1,112,660</u>

The accompanying notes are an integral part of this Schedule.

California Institute of Technology
Schedule of Expenditures of Federal Awards
(exclusive of the Jet Propulsion Laboratory)
For the Year Ended September 30, 2005

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
NON-MAJOR PROGRAMS (CONTINUED)			
Student Financial Assistance Cluster			
Pass-Through Funds			
Department of Education			
California Student Aid Commission Cal Grants	84 069A		<u>\$ 12,042</u>
Total Department of Education Pass-Through Funds			<u>12,042</u>
Total Non-Major Programs			<u>1,124,702</u>
Total Federal Awards			<u>\$ 208,656,869</u>

The accompanying notes are an integral part of this Schedule.

California Institute of Technology

Notes to Schedule of Expenditures of Federal Awards

For the Year Ended September 30, 2005

1. Summary of Significant Accounting Policies

General

The California Institute of Technology (the "Institute") is a private, not-for-profit institution of higher education based in Pasadena, California. The Institute provides education and training services, primarily for students at the undergraduate, graduate, and postdoctoral levels, and performs research, training, and other services under grants, contracts, and similar agreements with sponsoring organizations, primarily departments and agencies of the United States government.

Basis of Presentation

The accompanying Schedule of Expenditures of Federal Awards (the "Schedule") has been prepared on the cash basis of accounting and in accordance with the Office of Management and Budget ("OMB") Circular A-133, Audits of States, Local Governments and Not-for-Profit Organizations and the American Institute of Certified Public Accountants' Audit and Accounting Guide, Government Auditing Standards and Circular A-133 Audits. The Schedule summarizes the expenditures of the Institute under programs of the federal government for the year ended September 30, 2005, except those related to the Jet Propulsion Laboratory (A Federally Funded Research and Development Center managed by the California Institute of Technology), as discussed below. Because the Schedule presents only a selected portion of the operations of the Institute, it is not intended to and does not present the financial position, changes in net assets or cash flows of the Institute in accordance with accounting principles generally accepted in the United States of America.

Negative balances reflected in the Schedule represent adjustments to prior periods.

Expenditures for direct costs are recognized as incurred using the cash basis of accounting and the cost accounting principles contained in OMB Circular A-21, *Cost Principles for Educational Institutions*. Under those cost principles, certain types of expenditures are not allowable or are limited as to reimbursements. Moreover, expenditures include a portion of costs associated with general institution activities (Facilities and Administrative costs) which are allocated to awards under negotiated formulas commonly referred to as indirect cost rates.

The Institute receives funding or reimbursement from Federal Government agencies primarily for research under Government grants and contracts. Grants and contracts provide for reimbursement of indirect costs based on rates negotiated with the Department of Defense's Office of Naval Research ("ONR"), the Institute's cognizant federal agency. The Institute's indirect cost reimbursements traditionally have been based on fixed rates with carry forward of under- or over-recoveries. ONR engages the Defense Contract Audit Agency ("DCAA") to audit both direct and indirect charges to the Institute's grants and contracts. ONR has approved final indirect cost rates through September 30, 2003. Actual incurred costs for the year ended September 30, 2004 have been audited by DCAA and, as no findings were reported, in the opinion of management, the results of such audit will not have a material impact on the Schedule.

California Institute of Technology
Notes to Schedule of Expenditures of Federal Awards
For the Year Ended September 30, 2005

1. Summary of Significant Accounting Policies (Continued)

Basis of Presentation (Continued)

The Institute discloses its accounting policies for the purposes of direct costs and facilities and administrative costs in a Disclosure Statement, in accordance with Cost Accounting Standards. All amendments and updates have been approved by ONR.

For purposes of the Schedule, federal awards include all grants, contracts and similar agreements entered into directly between the Institute and agencies and departments of the federal government and all subawards to the Institute by nonfederal organizations pursuant to federal grants, contracts and similar agreements. The awards are classified into major program categories in accordance with the provisions of OMB Circular A-133. The awards set forth in this Schedule do not include amounts related to the Jet Propulsion Laboratory ("JPL") which is a NASA Federally Funded Research and Development Center ("FFRDC") managed by the Institute. Please refer to the separate financial statements and related reports of the Independent Auditors of JPL and the DCAA.

2. Loan Advances

During the year ended September 30, 2005, the Institute advanced loans totaling \$296,777 for the Federal Perkins Loan Program (CFDA Number 84 038). The outstanding balance at September 30, 2005 was \$4,952,905. The Federal Perkins Loan Program is administered directly by the Institute. Balances and transactions related to this program are included in the Institute's financial statements.

3. Federal Direct Loan Program

During the year ended September 30, 2005, the Institute processed \$895,247 of new loans under the Federal Direct Loan Program (CFDA Number 84.268), (which includes Subsidized Stafford Loans, Parent Loans for Undergraduate Students and Unsubsidized Stafford Loans).

4. Transfers

During the year ended September 30, 2005, the Institute transferred \$137,697 from the Federal Work Study Program (FWS) to the Federal Supplemental Educational Opportunity Grant Program (FSEOG). The transferred amounts are reflected as revenues/expenditures recognized in the program in which the funds were expended.

California Institute of Technology
Notes to Schedule of Expenditures of Federal Awards
For the Year Ended September 30, 2005

5. Federal Work Study (FWS) Carryforwards

During the year ended September 30, 2005, the Institute spent \$55,079 of FWS funds which were carried forward from the year ended September 30, 2004. During year ended September 30, 2005, the Institute carried forward \$55,079 of FWS funds which are to be spent during the year ended September 30, 2006. The carryforward amount is reflected as revenues/expenditures recognized in the year in which the funds were expended.

6. Subrecipient Pass-Throughs

Of the federal expenditures presented in the Schedule, the Institute provided federal awards to subrecipients from the Institute's research and development cluster as follows:

<u>Program Title</u>	<u>Amount Provided to Subrecipients</u>
Department of Commerce	
National Oceanic & Atmosphere Administration	\$ 183
Department of Defense	
Air Force Office of Scientific Research	816,754
Army Research Office	493,219
Defense Advanced Research Projects Agency	716,584
Office of Naval Research	838,283
National Geospatial-Intelligence Agency	101,669
Space and Naval Warfare System	153,462
	<u>3,119,971</u>
Department of Energy	
Department of Energy	248,840
Lawrence Livermore National Laboratory	410,368
University of Nevada Reno	238,157
	<u>897,365</u>
Department of Health and Human Services	
National Institutes of Health	<u>3,286,629</u>
National Aeronautics & Space Administration	
National Aeronautics & Space Administration	5,331,030
National Space Biomedical Research Institute	42,138
Universities of Space Research Association	75,649
	<u>5,448,817</u>
National Science Foundation	
National Science Foundation	<u>5,418,134</u>
Total Amount Provided to Subrecipients	<u>\$ 18,171,099</u>