

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, 2009

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
MAJOR PROGRAMS			
Research and Development Program			
Direct Funds			
Department of Agriculture			
United States Department of Agriculture	10.206		\$ 4,892
United States Department of Agriculture	10.256		<u>23,028</u>
Total Department of Agriculture			<u>27,920</u>
Department of Commerce			
National Oceanic & Atmospheric Administration	11.431		121,111
National Institute of Standards and Technology	11		66,591
National Institute of Standards and Technology	11.609		<u>4,000</u>
Total Department of Commerce			<u>191,702</u>
Department of Defense			
Air Force	12	FA9550-07-1-0484	170,507
Air Force	12	FA9550-08-1-0049	122,027
Air Force	12.630		1,071,632
Air Force	12.800		3,337,779
Air Force	12.910		114,022
Army	12	W912HQ-04-C-0045	83,629
Army	12	W81XWH-09-1-0266	55,596
Army	12	W911NF-07-1-0632	277,055
Army	12.420		205,537
Army	12.431		3,044,752
Army	12.910		213,047
Defense Advanced Research Projects Agency	12	HR0011-04-1-0032	330,922
Defense Advanced Research Projects Agency	12	HR0011-04-1-0054	650,556
Defense Advanced Research Projects Agency	12.910		887,818
Navy	12	N00244-05-C-0066	3,659,903
Navy	12	N00174-06-C-0052	289,714
Navy	12	N66001-07-1-2039	24,045
Navy	12.300		6,057,637
National Geospatial-Intelligence Agency	12.630		152,141
Space and Naval Warfare System	12.910		<u>1,033,755</u>
Total Department of Defense			<u>21,782,074</u>

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California Institute of Technology
Schedule of Expenditures of Federal Awards
(exclusive of the Jet Propulsion Laboratory)
For the Year Ended September 30, 2009

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
MAJOR PROGRAMS (CONTINUED)			
Research and Development Program (Continued)			
Direct Funds (Continued)			
Department of Energy			
Department of Energy	81	570788	\$ 80,511
Department of Energy	81	885774	37,840
Department of Energy	81	DE-AC27-09RV15086	89,395
Department of Energy	81	DE-FC36-04GO14276	16,980
Department of Energy	81	DE-FC52-06NA27319	54,124
Department of Energy	81	DE-FC52-08NA28613	2,803,816
Department of Energy	81	DE-FG02-03ER15483	188,944
Department of Energy	81	DE-FG02-04ER46175	297,974
Department of Energy	81	DE-FG02-04ER54755	288
Department of Energy	81	DE-FG02-05ER15716	235
Department of Energy	81	DE-FG02-05ER15754	102,938
Department of Energy	81	DE-FG02-05ER41359	(1,088,349)
Department of Energy	81	DE-FG02-05ER63983	163,359
Department of Energy	81	DE-FG02-06ER15762	(22,037)
Department of Energy	81	DE-FG02-06ER15773	142,791
Department of Energy	81	DE-FG02-06ER41427	86,548
Department of Energy	81	DE-FG02-06ER64310	197,559
Department of Energy	81	DE-FG02-07ER64410	321,994
Department of Energy	81	DE-FG02-07ER64484	411,440
Department of Energy	81	DE-FG02-08ER15933	99,565
Department of Energy	81	DE-FG02-88ER13873	67,637
Department of Energy	81.049		3,818,849
Department of Energy	81.064		5,227,669
Department of Energy	81.087		1,218,652
Department of Energy	81.112		<u>175,603</u>
Total Department of Energy			<u>14,494,325</u>
Department of Homeland Security			
Homeland Security Advanced Research Projects Agency	97	HSHQDC-08-C-00038	465,278
Homeland Security Advanced Research Projects Agency	97	2007-DN-077-ER0004-03	101,398
Homeland Security Advanced Research Projects Agency	97.077		<u>196,661</u>
Total Department of Homeland Security			<u>763,337</u>

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California Institute of Technology
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For the Year Ended September 30, 2009

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
MAJOR PROGRAMS (CONTINUED)			
Research and Development Program (Continued)			
Direct Funds (Continued)			
Department of Health and Human Services			
National Institutes of Health	93	R01 AG033954	\$ 185,626
National Institutes of Health	93	R01 GM085371	409,592
National Institutes of Health	93	R01 GM083121	18,521
National Institutes of Health	93	R01 GM049216	323,043
National Institutes of Health	93	P50 HG004071	754,300
National Institutes of Health	93	U54 CA119347	3,946,956
National Institutes of Health	93	DP1 OD003878	254,122
National Institutes of Health	93	F32 GM079967	4,246
National Institutes of Health	93.121		264,142
National Institutes of Health	93.172		5,782,415
National Institutes of Health	93.173		526,575
National Institutes of Health	93.242		1,136,429
National Institutes of Health	93.273		72,496
National Institutes of Health	93.279		2,086,694
National Institutes of Health	93.286		1,923,033
National Institutes of Health	93.310		7,703
National Institutes of Health	93.389		839,624
National Institutes of Health	93.393		3,000
National Institutes of Health	93.396		433,509
National Institutes of Health	93.398		204,983
National Institutes of Health	93.399		121,934
ARRA - National Institutes of Health	93.701		269,207
National Institutes of Health	93.837		37,229
National Institutes of Health	93.839		1,080,280
National Institutes of Health	93.846		42,060
National Institutes of Health	93.847		964,608
National Institutes of Health	93.849		158,329
National Institutes of Health	93.853		4,136,189
National Institutes of Health	93.855		1,475,067
National Institutes of Health	93.856		(19,919)
National Institutes of Health	93.859		9,154,279
National Institutes of Health	93.865		1,835,154
National Institutes of Health	93.866		551,431
National Institutes of Health	93.867		7,113,071
Total Health and Human Services			<u>46,095,928</u>

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California Institute of Technology
Schedule of Expenditures of Federal Awards
(exclusive of the Jet Propulsion Laboratory)
For the Year Ended September 30, 2009

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
MAJOR PROGRAMS (CONTINUED)			
Research and Development Program (Continued)			
Direct Funds (Continued)			
Department of the Interior			
Department of the Interior	15	NBCHC070007	\$ 284,791
Department of the Interior	15	NBCH1050001	710,583
United States Geological Survey	15.807		1,513,373
United States Geological Survey	15.808		104,318
United States Geological Survey	15.810		<u>6,597</u>
Total Department of Interior			<u>2,619,662</u>
Environmental Protection Agency			
United States Environmental Protection Agency (EPA)	66	FP - 91687601-0	15,408
United States Environmental Protection Agency (EPA)	66.509		<u>226,168</u>
Total Environmental Protection Agency			<u>241,576</u>
National Aeronautics and Space Administration (NASA)			
NASA	43		42,968,957
National Endowment for the Humanities			
National Endowment for the Humanities	45.161		19,551
National Science of Foundation			
National Science Foundation	47	DMS-0555755	11,183
National Science Foundation	47	MUCHOVEJ	5,456
National Science Foundation	47	DMS-0802918	2,599
National Science Foundation	47	DMS-0603606	(247)
National Science Foundation	47	0636097	188,092
National Science Foundation	47	DGE-0703267	1,887,947
National Science Foundation	47	ATM-0454428	37,734
National Science Foundation	47	PHY-0823459	873,095
National Science Foundation	47.041		1,948,781
National Science Foundation	47.049		76,307,307
National Science Foundation	47.050		4,562,059
National Science Foundation	47.070		3,411,939
National Science Foundation	47.074		3,023,372
National Science Foundation	47.075		828,826
National Science Foundation	47.076		426,595
National Science Foundation	47.078		330,367

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California Institute of Technology
Schedule of Expenditures of Federal Awards
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For the Year Ended September 30, 2009

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
MAJOR PROGRAMS (CONTINUED)			
Research and Development Program (Continued)			
Direct Funds (Continued)			
National Science of Foundation (Continued)			
National Science Foundation	47.080		\$ 51,514
ARRA - National Science Foundation	47.082		<u>502,228</u>
Total National Science Foundation			<u>94,398,847</u>
Total Research and Development - Direct Funds			<u>223,603,879</u>
Pass-Through Funds			
Department of Commerce			
Massachusetts Institute of Technology	11.417	5710002367	11,839
State University of New York at Albany	11	08-43	<u>92,792</u>
Total Department of Commerce Pass-Through			<u>104,631</u>
Department of Defense			
Air Force			
Environmental Robots Incorporated	12	ERLBJMSTTR	53,399
ERC, Inc.	12	RS070364	59,811
ERC, Inc.	12	RS070716	76,886
Georgia Institute of Technology	12	R9764-G1	104,798
Georgia Institute of Technology	12.630	E-25-6MV-G2	41,733
Illinois Institute of Technology	12.800	SA374-0609-6071	23,613
Intelligent Optical Systems, Inc.	12.800	AF-3162-Biomarker	22,188
Massachusetts Institute of Technology	12	5710002074	463
Massachusetts Institute of Technology	12.800	5710002025	123,713
Massachusetts Institute of Technology	12.800	5710001972	27,642
Northrop Corporation	12	76100RGT8S	635,517
Northrop Corporation	12	2665226	99,668
Ohio State University	12.800	RF01152700	87,032
Tanner Research, Inc.	12.800	TANNER.FOCARDI	26,274
Teledyne Scientific & Imaging, LLC	12	B7U520660	(2,879)
Texas Engineering Experiment Station	12.800	A5932	<u>61,866</u>
Total Air Force Pass-Through			<u>1,441,724</u>

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For the Year Ended September 30, 2009

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
MAJOR PROGRAMS (CONTINUED)			
Research and Development Program (Continued)			
Pass-Through Funds (Continued)			
Department of Defense (Continued)			
Army			
BAE Systems Inc.	12	316092	\$ 327,271
Lewis Center for Educational Research	12	LEWIS.RADIO	46,055
North Carolina State University	12.431	2007-0299-01	187,597
Pennsylvania State University	12.431	3710-CIT-USA-0124	233,111
Stanford University	12	18882730-37362-A	65,546
Stanford University	12.431	28000-B	(2,728)
Superprotonic, Inc	12	W911NF-08-C-0072	24,601
University of California Berkeley	12.431	00006095	355,200
University of California Los Angeles	12.420	0845 G KC599	33,855
University of California Santa Barbara	12	KK4102	737,232
University of California Santa Barbara	12	KK9150	957,287
University of Chicago	12	28065-2	243,349
University of Massachusetts	12	S1310878AN00006	97,628
Total Army Pass-Through			3,306,004
Navy			
BAE Systems Inc.	12	069144	173,506
Cascade Technologies Inc.	12	N09A-008-0009	5,133
Colorado School of Mines	12	4-42517	187,868
Evolutions Robotics, Inc.	12.630	EVOLUT.ONR2	29,593
Liquidmetal Technologies Inc.	12	ONR06-0566-22	185
Photonic Systems Inc.	12.300	SC-08-103	19,257
Photonic Systems Inc.	12.300	SC-08-104	94,055
Princeton University	12.300	00000916	116,194
Princeton University	12.300	00001328	(43,299)
Tanner Research, Inc.	12	Goodwin N00164-07-C-8553	42,446
Tanner Research, Inc.	12	Kornfield N00164-07-C-8553	42,698
Thaerocomp Technical Corporation	12.300	THAEROC.NAVAIR	1,497
University of California Riverside	12.300	S-0000344	53,219
University of California San Diego	12	10275845	57,518
University of Pennsylvania	12	550162	328,814
University of Washington	12	756206	82,919
Total Navy Pass-Through			1,191,603

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California Institute of Technology
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For the Year Ended September 30, 2009

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MAJOR PROGRAMS (CONTINUED)			
Research and Development Program (Continued)			
Pass-Through Funds (Continued)			
Department of Defense (Continued)			
Defense Advanced Research Projects Agency			
Carnegie Mellon University	12	1040271-202926	\$ 183,914
Evolved Machines Inc.	12.910	EVOLVM.2008	53,777
Georgia Institute of Technology	12	B-12-M06-S21	79,540
HRL Laboratories, LLC	12	800294-BS	81,330
HRL Laboratories, LLC	12	800295-BS	94,953
Johns Hopkins University	12	908165	636,761
Kitware Inc.	12.910	HR0011-08-C-0135-S6	67,347
Massachusetts Institute of Technology	12	5710001623	160,237
Massachusetts Institute of Technology	12.910	5710002524	117,378
Northrop Corporation	12	07562SGT9S	110,563
Raytheon Systems Inc.	12.910	raytheon.healic	229,833
Research Triangle Institute International	12	3-340-0211720	237,768
Rice University	12.910	R16182	93,616
University of California Davis	12.910	015530-04	51,740
University of California Los Angeles	12	0160 S HE179	130,876
University of California San Diego	12.431	10296067	267,421
University of California Santa Barbara	12	KK8101	63,929
University of California Santa Barbara	12.420	KK9129	68,481
University of Notre Dame	12	201292	121,452
University of Southern California	12.910	137767	19,897
University of Southern California	12	USC.NSACENTER	23,893
University of Washington	12.910	554947	<u>110,425</u>
Total Defense Advanced Research Projects Agency - Pass-Through			<u>3,005,131</u>
Total Department of Defense Pass-Through			<u>8,944,462</u>
Department of Energy			
Argonne National Laboratory	81	7F-01321	171,080
Brookhaven National Laboratory	81	141291	48,934
BSST LLC	81	04-DOE930-126	19,919
Carnegie Institute	81	4-3327-30	(2)
Carnegie Institute	81	4-3253-02	103,024
Deep Web Technologies, LLC	81	002	97,872
Fermilab National Accelerator Laboratory	81	PO-512929/554897	9,877

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California Institute of Technology
Schedule of Expenditures of Federal Awards
(exclusive of the Jet Propulsion Laboratory)
For the Year Ended September 30, 2009

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
MAJOR PROGRAMS (CONTINUED)			
Research and Development Program (Continued)			
Pass-Through Funds (Continued)			
Department of Energy (Continued)			
Lawrence Berkeley National Laboratory	81	6843187	\$ 1,917,540
Lawrence Berkeley National Laboratory	81	6855469	2,054
Lawrence Berkeley National Laboratory	81	6808461	96,596
Lawrence Livermore National Laboratory	81	B579041	39,802
Lawrence Livermore National Laboratory	81	B581793	81,921
Lawrence Livermore National Laboratory	81	B523297	23,185
Los Alamos National Laboratory	81	36992-001-06	82,343
Los Alamos National Laboratory	81	55549-001-07	101,520
Los Alamos National Laboratory	81	65287-001-08	62,978
Los Alamos National Laboratory	81	55549-001-07	37,246
Los Alamos National Laboratory	81	52187-001-07	222,800
Oak Ridge National Laboratory	81	4000072624	9,507
Oak Ridge National Laboratory	81	4000081915	29,993
Oak Ridge National Laboratory	81	4000068639	152,309
Project Assistance Corporation	81	ORP-CAL002	17,096
Project Assistance Corporation	81	ORP-CAL001	118,865
Research Partnership to Secure Energy for America	81	08122-15	725
Sandia National Laboratories	81	523348	(641)
Sandia National Laboratories	81	824467	30,000
Sandia National Laboratories	81	75212	30,832
Sheeta Global Technology Company	81	DE-CIT-CO2-0801	59,816
Texas Tech University	81.049	1310/C122-01	13
Texas Tech University	81.049	21E001-01	164,548
University of California Davis	81.121	Sub0700277	146,351
University of California Los Angeles	81.087	0980 G KK369	80,973
University of Nevada	81.065	UNR-04-50	(390)
Washington University in St. Louis	81	WU-HT-06-06/PO29353K	33,971
Total Department of Energy Pass-Through			<u>3,992,657</u>
Department of Homeland Security			
Smiths Detection	97	2998	73,494
University of Rhode Island	97.061	112208/0001865	41,691
Total Department of Homeland Security Pass-Through			<u>115,185</u>

Federal Grant or

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**California Institute of Technology
Schedule of Expenditures of Federal Awards
(exclusive of the Jet Propulsion Laboratory)
For the Year Ended September 30, 2009**

Federal Grantor/Pass-Through Grantor/Program Title	CFDA Number	Contract Number	Federal Expenditures
MAJOR PROGRAMS (CONTINUED)			
Research and Development Program (Continued)			
Pass-Through Funds (Continued)			
Department of Health and Human Services			
National Institutes of Health			
Brown University	93.286	1545-27564	\$ 15,515
Duke University	93.396	07-SC-NIH-1008	64,011
Exploratorium	93	3428	83,743
Georgia Institute of Technology	93.867	R7747-G5	23,131
Harvard University	93.859	137384	82,579
Hudsonalpha Institute for Biotechnology	93.172	2009-02	1,992,124
Indiana University	93	39510-0048	137,465
Jackson Laboratory	93	614087	47,065
Jackson Laboratory	93.172	626766	70,550
Lawrence Berkeley National Laboratory	93	6822728	(91,885)
Loma Linda University	93	LLU.SUBNIH	80,209
Massachusetts Institute of Technology	93.853	5710002432	118,758
Princeton University	93.859	00001207	181,298
Purdue University	93.855	4102-16339	14,463
Stanford University	93	21720860-40259-A	(227,427)
Stanford University	93.172	17222070-35910-B	134,811
The Scripps Research Institute	93	5-20895	19,434
The Scripps Research Institute	93	5-20938	29,835
The Scripps Research Institute	93	5-21552	78,085
The Scripps Research Institute	93	5-21623	9,813
University of California Berkeley	93.867	00006315	56,962
University of California Irvine	93.856	2005-1597	53,339
University of California Los Angeles	93.389	1580 G GF778	464,809
University of California Los Angeles	93.286	0845 G KB564	135,604
University of California Los Angeles	93.929	0845 G ED291	(39,503)
University of California Riverside	93.859	S-000358	677
University of California San Diego	93	10278089	22,460
University of California San Diego	93	10291070	161,600
University of Cincinnati	93.389	20309	64,742
University of Colorado Boulder	93.859	154-5178	23,585
University of Florida	93.701	UF09098	7,858
University of Georgia	93.855	RR182-364/4688608	58,844
University of Kansas Center for Research, Inc	93	QL814610	27,443
University of North Carolina	93.242	5-34854	39,155
University of Puerto Rico	93	2008-001236	41,736
University of Puerto Rico	93	2009-001252	35,056
University of Southern California	93.855	110512	400,706
University of Southern California	93.853	119937	(40,572)
University of Southern California	93.866	130324	64,190

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California Institute of Technology
Schedule of Expenditures of Federal Awards
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For the Year Ended September 30, 2009

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
MAJOR PROGRAMS (CONTINUED)			
Research and Development Program (Continued)			
Pass-Through Funds (Continued)			
Department of Health and Human Services (Continued)			
National Institutes of Health (Continued)			
University of Southern California	93.395	H36051	\$ (4,772)
University of Southern California	93	H37793	218,277
University of Southern California	93.113	H38625	22,094
University of Utah	93.859	10003198-02	283,245
Vanderbilt University	93	VUMC 33486-R	110,942
Visdex Corporation	93.867	EY017484-Caltech-2	126,013
Total National Institutes of Health Pass-Through			<u>5,198,067</u>
Total Department of Health and Human Services Pass-Through			<u>5,198,067</u>
Department of Interior			
United States Geological Survey (USGS)			
University of Southern California	15.807	119938	157,747
Environmental Protection Agency (EPA)			
Harvard University	66	123392	60,039
National Aeronautics and Space Administration (NASA)			
Case Western Reserve University	43	RES502973	56,118
Harvard University	43	131131-01	6,146
Harvard University	43	131066-01	(11)
Johns Hopkins University	43	933173	42,372
Johns Hopkins University	43	935801	10,210
Lockheed Martin Corporation	43	8100001550	8,048
Lockheed Martin Corporation	43	8100000206	5,875
Massachusetts Institute of Technology	43	5710002515	29,376
Monterey Bay Aquarium Research Institute	43	0910168	10,405
Monterey Bay Aquarium Research Institute	43	0512953	195,607
National Space Biomedical Research Institute	43	TD01301	229,352
New Mexico State University	43	P0051129	95,114
Pennsylvania State University	43	3903-CIT-NASA-A76A	2,946

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For the Year Ended September 30, 2009

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
MAJOR PROGRAMS (CONTINUED)			
Research and Development Program (Continued)			
Pass-Through Funds (Continued)			
National Aeronautics and Space Administration (NASA)			
(Continued)			
Smithsonian Astro	43	AR9-0007X	\$ 69,578
Smithsonian Astro	43	DD8-9043X	3,967
Smithsonian Astro	43	G09-0024X	4,952
Smithsonian Astro	43	GO6-7135A	4
Smithsonian Astro	43	GO-7065A	2,306
Smithsonian Astro	43	GO7-8065X	(3)
Smithsonian Astro	43	GO7-8074X	5,282
Smithsonian Astro	43	GO7-8106X	43,237
Smithsonian Astro	43	GO7-8120X	28,464
Smithsonian Astro	43	GO7-8138B	40
Smithsonian Astro	43	GO8-9132B	1,321
Smithsonian Astro	43	GO9-0046X	1,477
Smithsonian Astro	43	GO9-0071B	2,102
Smithsonian Astro	43	PF8-90053	92,606
Smithsonian Astro	43	PF8-90060	5,475
Smithsonian Astro	43	PF9-00067	8,903
Southwestern Research Institute	43	699047X	33,799
Southwestern Research Institute	43	699048X	53,523
Southwestern Research Institute	43	699049X	29,885
Southwestern Research Institute	43	886830E	15,773
Space Telescope Science Institute	43	HST-AR-11241.06-A	4,324
Space Telescope Science Institute	43	HST-AR-11261.01-A	35,435
Space Telescope Science Institute	43	HST-AR-11761.01-A	5,395
Space Telescope Science Institute	43	HST-AR-11766.01-A	82,193
Space Telescope Science Institute	43	HST-AR-11769.02-A	6,280
Space Telescope Science Institute	43	HST-GO-09822.01-A	24,037
Space Telescope Science Institute	43	HST-GO-10403.10-A	6,893
Space Telescope Science Institute	43	HST-GO-10405.04-A	146
Space Telescope Science Institute	43	HST-GO-10487.05-A	732
Space Telescope Science Institute	43	HST-GO-10521.01-A	44,973
Space Telescope Science Institute	43	HST-GO-10551.01-A	3,051
Space Telescope Science Institute	43	HST-GO-10793.01-A	4,478
Space Telescope Science Institute	43	HST-GO-10811.05-A	12,640
Space Telescope Science Institute	43	HST-GO-10818.01-A	20,676
Space Telescope Science Institute	43	HST-GO-10848.09-A	37,987

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California Institute of Technology
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(exclusive of the Jet Propulsion Laboratory)
For the Year Ended September 30, 2009

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
MAJOR PROGRAMS (CONTINUED)			
Research and Development Program (Continued)			
Pass-Through Funds (Continued)			
National Aeronautics and Space Administration (NASA)			
(Continued)			
Space Telescope Science Institute	43	HST-GO-10858.01-A	\$ 92,085
Space Telescope Science Institute	43	HST-GO-10858.03-A	12,306
Space Telescope Science Institute	43	HST-GO-10860.01-A	15,679
Space Telescope Science Institute	43	HST-GO-10872.01-A	71,285
Space Telescope Science Institute	43	HST-GO-10899.06-A	14,036
Space Telescope Science Institute	43	HST-GO-10908.07-A	7,386
Space Telescope Science Institute	43	HST-GO-10908.17-A	2,976
Space Telescope Science Institute	43	HST-GO-10999.01-A	8,325
Space Telescope Science Institute	43	HST-GO-11104.01-A	13,731
Space Telescope Science Institute	43	HST-GO-11120.04-A	49
Space Telescope Science Institute	43	HST-GO-11120.06-A	(1,319)
Space Telescope Science Institute	43	HST-GO-11142.01-A	68,499
Space Telescope Science Institute	43	HST-GO-11142.06-A	86,428
Space Telescope Science Institute	43	HST-GO-11149.02-A	64,273
Space Telescope Science Institute	43	HST-GO-11160.01-A	433
Space Telescope Science Institute	43	HST-GO-11161.06-A	4,889
Space Telescope Science Institute	43	HST-GO-11169.01-A	57,379
Space Telescope Science Institute	43	HST-GO-11174.01-A	3,058
Space Telescope Science Institute	43	HST-GO-11188.10-A	24,833
Space Telescope Science Institute	43	HST-GO-11235.01-A	54,290
Space Telescope Science Institute	43	HST-GO-11236.10-A	14,647
Space Telescope Science Institute	43	HST-GO-11312.01-A	35,170
Space Telescope Science Institute	43	HST-GO-11518.01-A	5,643
Space Telescope Science Institute	43	HST-GO-11544.01-A	24,932
Space Telescope Science Institute	43	HST-GO-11644.01-A	9,720
Space Telescope Science Institute	43	HST-GO-11721.01-A	9,195
Space Telescope Science Institute	43	HST-GO-11971.02-A	3,053
Space Telescope Science Institute	43	HST-HF-01201.01-A	70,241
Space Telescope Science Institute	43	HST-HF-01205.01-A	78,371
Space Telescope Science Institute	43	HST-HF-01212.01-A	85,082
Space Telescope Science Institute	43	HST-HF-51229.01-A	4,958
Space Telescope Science Institute	43	HST-HF-51256.01-A	14,721
Space Telescope Science Institute	43	HST-HF-51262.01-A	6,128
University of California Berkeley	43	SA2715-23609	464,300
University of California Berkeley	43	SA5155-11047	23,662

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, 2009

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
MAJOR PROGRAMS (CONTINUED)			
Research and Development Program (Continued)			
Pass-Through Funds (Continued)			
National Aeronautics and Space Administration (NASA)			
(Continued)			
University of California Los Angeles	43	0995 G GC317	\$ 19,204
University of California Los Angeles	43	0995-S-MA048	20,415
University of California San Diego	43	10300012	1,743
University of Maryland	43	000005553	85,245
University of Space Research	43	8500-98-011	1,561,200
University of Washington	43	298306	324
University of Washington	43	596856	10,003
Total National Aeronautics and Space Administration Pass-Through			4,532,067
National Science Foundation			
California Association For Research In Astronomy	47	PO 24565	714,951
California State University Los Angeles	47.049	DMR-0351848-UAS-220995	41,832
Columbia University	47	570611	177,954
Cornell University	47.049	46514-8592	497,864
Fermilab National Accelerator Laboratory	47.049	573837	(258)
Florida International University	47	144300503-01	32,865
Howard University	47	634177-H017357	13,841
Incorporated Research Institute For Seismology	47	05-GSN	19,998
Johns Hopkins University	47.049	2000009797	88,645
Large Synoptic Survey Telescope Corporation	47	C44031L	72,013
Large Synoptic Survey Telescope Corporation	47	C44040L	156,107
LC Vision, LLC	47.041	CALTECH-0741216	54,324
Massachusetts Institute of Technology	47.041	5710002280	128,609
National Bureau of Economic Research Inc.	47.075	34-3476-02-0-79-781-7700	30,566
National Radio Astronomy Observatory	47	GSSP07-0021	2,503
National Radio Astronomy Observatory	47	315060	2,212
New Jersey Institute	47.049	990774	52,666
New York University	47	F6030-01	53,655
Southwest Research Institute	47	A99114JD	15,541
UNAVCO Inc.	47.050	EAR-0453975-02	11,881
University of Arizona	47.041	Y502628	237,742
University of California Berkeley	47.041	SA4591-10349PG	89,380
University of California Irvine	47.074	2003-1310	13,971

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, 2009

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
MAJOR PROGRAMS (CONTINUED)			
Research and Development Program (Continued)			
Pass-Through Funds (Continued)			
National Science Foundation (Continued)			
University of California Los Angeles	47	0143 G DB034	\$ 137,217
University of California Los Angeles	47.049	1000 G GB150	440,952
University of California Los Angeles	47.049	1000 G HD871	1,603,959
University of California Riverside	47.041	S-00065	74,884
University of California Santa Cruz	47.049	S0182453	43,397
University of Chicago	47.049	32572	4,929
University of Chicago	47.049	30193-A	619,110
University of Chicago	47.070	30085-B	142,543
University of Delaware	47.041	8307	67,367
University of Illinois	47.041	2003-07452-1	364
University of Illinois	47.041	2008-041111-02	22,954
University of Southern California	47.041	H31068	501,810
University of Southern California	47.050	137754	1,852
University of Washington	47	594618	126,638
University of Wisconsin	47.049	647F205	392,240
University of Wisconsin-Milwaukee	47.049	K083644	74,554
W.M. Keck Observatory	47.049	29047	238,669
Total National Science Foundation - Pass-Through Funds			7,002,301
Total Research and Development - Pass-Through Funds			30,107,156
Total Research and Development Program			253,711,035

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, 2009

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
MAJOR PROGRAMS (CONTINUED)			
Student Financial Assistance Cluster			
Direct Funds			
Department of Education			
Federal Work Study Program	84.033		\$ 386,734
Federal Supplemental Educational Opportunity Grant	84.007		303,349
Federal Pell Grant Program	84.063		239,763
Academic Competitiveness Grant and National SMART Grant	84.376		<u>106,826</u>
Total Student Financial Assistance Cluster			<u>1,036,672</u>
Total Major Programs			<u>254,747,707</u>
NON-MAJOR PROGRAMS			
Pass-Through Funds			
Department of Education			
California Student Aid Commission Cal Grants	84.069A		<u>5,026</u>
Total Department of Education Pass-Through Funds			<u>5,026</u>
Total Non-Major Programs			<u>5,026</u>
Total Federal Awards			<u><u>\$ 254,752,733</u></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, 2009

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, 2009, except those related to the Jet Propulsion Laboratory ("JPL")(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.

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.

Negative balances reflected in the Schedule represent adjustments to expenditures under awards made in prior years.

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. However, the Institute's FY2008 indirect cost reimbursements were based on a predetermined rate. 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, 2006. In addition, ONR has approved a fixed with carryforward rate for FY2009. Actual incurred costs for the year ended September 30, 2007 are being audited by DCAA and, in the opinion of management, the results of such audit will not have a material impact on the Schedule.

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. Revision 11 to the Disclosure Statement has been submitted by the Institute and is currently being reviewed by DCAA. All amendments and updates through Revision 9 have been approved by ONR.

California Institute of Technology

Notes to Schedule of Expenditures of Federal Awards

For the Year Ended September 30, 2009

1. Summary of Significant Accounting Policies (Continued)

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 JPL which is a National Aeronautics and Space Administration ("NASA") Federally Funded Research and Development Center ("FFRDC") managed by the Institute. Please refer to the separate financial statements and related reports for JPL.

2. Loan Advances

During the year ended September 30, 2009, the Institute advanced loans totaling \$626,722 for the Federal Perkins Loan Program (CFDA Number 84.038). The outstanding balance at September 30, 2009 was \$4,235,782. 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. The Institute charged \$4,277 of administrative cost allowance to the Federal Perkins Loan Program for the year ended September 30, 2009.

3. Federal Direct Loan Program

During the year ended September 30, 2009, the Institute processed \$1,019,484 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). The amount disbursed to students (including origination fees and rebates) was \$1,002,890. The outstanding balance at September 30, 2009 was \$0.

4. Transfers

During the year ended September 30, 2009, the Institute transferred \$117,034 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.

5. Federal Work Study Carryforwards

During the year ended September 30, 2009, the Institute spent \$14,679 of FWS funds which were carried forward from the year ended September 30, 2008. The carry forward amount is reflected as revenues/expenditures recognized in the year in which the funds were expended. The Institute charged \$67,187 of administrative cost allowance to the Federal Work-Study Program for the year that ended September 30, 2009.

California Institute of Technology
Notes to Schedule of Expenditures of Federal Awards
For the Year Ended September 30, 2009

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 Defense	
Air Force Office of Scientific Research	\$ 1,284,974
Army Research Office	1,184,896
Defense Advanced Research Projects Agency	551,624
Office of Naval Research	1,328,117
National Geospatial-Intelligence Agency	94,653
Space and Naval Warfare System	319,518
US Navy	<u>1,868,871</u>
	<u>6,632,653</u>
Department of Energy	
Department of Energy	<u>255,705</u>
Department of Health and Human Services	
National Institutes of Health	<u>6,035,599</u>
Department of Homeland Security	
Department of Homeland Security	<u>297,616</u>
Department of Interior	
Department of Interior	<u>95,969</u>
National Aeronautics & Space Administration	
National Aeronautics & Space Administration	26,192,449
National Space Biomedical Research Institute	86,123
Universities Space Research Association	<u>20,994</u>
	<u>26,299,566</u>
National Science Foundation	
National Science Foundation	<u>6,941,680</u>
Total Amount Provided to Subrecipients	<u>\$ 46,558,788</u>

7. Contingencies

The amounts expended by the Institute under federal programs are subject to audit by governmental agencies. The Institute believes that any liabilities arising from such audits will not have a material impact on the Institute's financial position.