

## **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, 2010**

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
<b>MAJOR PROGRAMS</b>			
<b>Research and Development Cluster</b>			
<b>Direct Funds</b>			
<b>Department of Agriculture</b>			
United States Department of Agriculture	10.206		\$ (5,889)
United States Department of Agriculture	10.256		<u>6,515</u>
Total Department of Agriculture			<u>626</u>
<b>Department of Commerce</b>			
National Institute of Standards and Technology	11	NB817030-8-32249	1,411
National Oceanic & Atmospheric Administration	11.431		<u>168,185</u>
Total Department of Commerce			<u>169,596</u>
<b>Department of Defense</b>			
Air Force	12	FA9550-07-1-0484	250,284
Air Force	12	FA9550-08-1-0049	86,313
Air Force	12.630		1,195,567
Air Force	12.800		2,886,761
Air Force	12.910		120,493
Army	12	W912HQ-04-C-0045	73,276
Army	12	W81XWH-09-1-0266	105,659
Army	12	W911NF-07-1-0632	120,403
Army	12.400		31,837
Army	12.420		449,055
Army	12.431		4,368,588
Army	12.910		85,841
Defense Advanced Research Projects Agency	12	HR0011-04-1-0054	97,978
Defense Advanced Research Projects Agency	12	W-30950	80,050
Defense Advanced Research Projects Agency	12.910		2,210,449
National Geospatial-Intelligence Agency	12	HM1582-07-C-0024	(72)
National Geospatial-Intelligence Agency	12.630		224,724
Navy	12	N00244-05-C-0066	3,788,650
Navy	12	N00174-06-C-0052	(4,670)
Navy	12.300		4,964,793

The accompanying notes are an integral part of this Schedule.

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**Schedule of Expenditures of Federal Awards**  
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**For the Year Ended September 30, 2010**

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<b>MAJOR PROGRAMS (CONTINUED)</b>			
<b>Research and Development Cluster (Continued)</b>			
<b>Direct Funds (Continued)</b>			
<b>Department of Defense (Continued)</b>			
Space and Naval Warfare System	12	N66001-10-C-2009	\$ 569,864
Space and Naval Warfare System	12.910		<u>938,233</u>
Total Department of Defense			<u>22,644,076</u>
<b>Department of Energy</b>			
Department of Energy	81	DE-AC27-09RV15086	149,470
Department of Energy	81	DE-FC52-06NA27319	(346)
Department of Energy	81	DE-FC52-08NA28613	3,681,882
Department of Energy	81	DE-FG02-03ER15483	224,468
Department of Energy	81	DE-FG02-04ER46175	164,410
Department of Energy	81	DE-FG02-04ER54755	(557)
Department of Energy	81	DE-FG02-05ER15754	174,798
Department of Energy	81	DE-FG02-05ER41359	13,755
Department of Energy	81	DE-FG02-05ER63983	226,096
Department of Energy	81	DE-FG02-06ER15762	130,876
Department of Energy	81	DE-FG02-06ER15773	3,673
Department of Energy	81	DE-FG02-06ER41427	60,391
Department of Energy	81	DE-FG02-06ER64310	116,272
Department of Energy	81	DE-FG02-07ER41481	6,275
Department of Energy	81	DE-FG02-07ER64410	(60,070)
Department of Energy	81	DE-FG02-07ER64484	443,307
Department of Energy	81	DE-FG02-08ER15933	104,658
Department of Energy	81	DE-FG02-88ER13873	256,379
Department of Energy	81.049		4,760,045
Department of Energy	81.064		4,997,124
Department of Energy	81.086		67,484
Department of Energy	81.087		1,261,185
Department of Energy	81.133		<u>80,383</u>
Total Department of Energy			<u>16,861,958</u>

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<b>MAJOR PROGRAMS (CONTINUED)</b>			
<b>Research and Development Cluster (Continued)</b>			
<b>Direct Funds (Continued)</b>			
<b>Department of Homeland Security</b>			
Homeland Security Advanced Research Projects Agency	97	HSHQDC-08-C-00038	\$ 275,019
Homeland Security Advanced Research Projects Agency	97.077		<u>306,207</u>
Total Department of Homeland Security			<u>581,226</u>
<b>Department of Health and Human Services</b>			
National Institutes of Health	93	DP1 OD003878	1,100,948
National Institutes of Health	93	F32 GM079967	1,191
National Institutes of Health	93	K99 GM087551A	54,190
National Institutes of Health	93	P50 HG004071	2,474,511
National Institutes of Health	93	R01 AG033954	431,182
National Institutes of Health	93	R01 GM083121	(492)
National Institutes of Health	93	R01 GM085371	404,404
National Institutes of Health	93	R21 GM 076417A	28,861
National Institutes of Health	93	U54 CA119347	(447,312)
National Institutes of Health	93.121		1,750,890
National Institutes of Health	93.172		3,778,548
National Institutes of Health	93.173		215,684
National Institutes of Health	93.242		2,011,013
National Institutes of Health	93.273		141,407
National Institutes of Health	93.279		2,023,709
National Institutes of Health	93.282		35,967
National Institutes of Health	93.286		2,030,719
National Institutes of Health	93.310		27,172
National Institutes of Health	93.389		353,204
National Institutes of Health	93.395		130,399
National Institutes of Health	93.396		672,743
National Institutes of Health	93.397		19,161
National Institutes of Health	93.398		198,659
National Institutes of Health	93.399		3,493,060
ARRA - National Institutes of Health	93.701		8,581,966
National Institutes of Health	93.837		83,843

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<b>MAJOR PROGRAMS (CONTINUED)</b>			
<b>Research and Development Cluster (Continued)</b>			
<b>Direct Funds (Continued)</b>			
<b>Department of Health and Human Services (Continued)</b>			
National Institutes of Health	93.839		\$ 715,490
National Institutes of Health	93.847		897,859
National Institutes of Health	93.849		(1)
National Institutes of Health	93.853		2,368,682
National Institutes of Health	93.855		1,393,632
National Institutes of Health	93.859		9,932,153
National Institutes of Health	93.865		1,943,802
National Institutes of Health	93.866		(7,400)
National Institutes of Health	93.867		<u>4,299,680</u>
Total Health and Human Services			<u>51,139,524</u>
<b>Department of the Interior</b>			
Department of the Interior	15	NBCHC070007	201,745
Department of the Interior	15	NBCH1050001	37
United States Geological Survey	15.807		1,766,383
ARRA - United States Geological Survey	15.807		475,828
United States Geological Survey	15.808		383,749
United States Geological Survey	15.810		<u>10,202</u>
Total Department of Interior			<u>2,837,944</u>
<b>Environmental Protection Agency</b>			
United States Environmental Protection Agency (EPA)	66	FP - 91687601-0	18,861
United States Environmental Protection Agency (EPA)	66.509		<u>321,922</u>
Total Environmental Protection Agency			<u>340,783</u>
<b>National Aeronautics and Space Administration (NASA)</b>			
NASA	43		<u>46,721,259</u>

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<b>MAJOR PROGRAMS (CONTINUED)</b>			
<b>Research and Development Cluster (Continued)</b>			
<b>Direct Funds (Continued)</b>			
<b>National Endowment for the Humanities</b>			
National Endowment for the Humanities	45.161		\$ 56,128
<b>National Science of Foundation</b>			
National Science Foundation	47	0636097	32,902
National Science Foundation	47	ATM-0454428	2,906
National Science Foundation	47	CHE-0802907	389
National Science Foundation	47	DMS-0802918	3,284
National Science Foundation	47	MUCHOVEJ	6,141
National Science Foundation	47	Nathan Albin	2,017
National Science Foundation	47	PHY-0823459	390,315
National Science Foundation	47.041		2,176,693
National Science Foundation	47.049		80,809,236
National Science Foundation	47.050		3,668,325
National Science Foundation	47.070		3,521,167
National Science Foundation	47.074		3,523,738
National Science Foundation	47.075		387,277
National Science Foundation	47.076		2,714,322
National Science Foundation	47.078		(9,772)
National Science Foundation	47.080		35,609
ARRA - National Science Foundation	47.082		<u>7,515,013</u>
Total National Science Foundation			<u>104,779,562</u>
Total Research and Development - Direct Funds			<u>246,132,682</u>
<b>Pass-Through Funds</b>			
<b>Department of Commerce</b>			
Massachusetts Institute of Technology	11.417	5710002367	2,828
Massachusetts Institute of Technology	11.417	5710002773	2,690
State University of New York at Albany	11	08-43	<u>98,543</u>
Total Department of Commerce Pass-Through			<u>104,061</u>

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<b>MAJOR PROGRAMS (CONTINUED)</b>			
<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>Department of Defense</b>			
<b>Air Force</b>			
Brown University	12.800	00000271	\$ 139,572
ERC, Inc.	12	RS070364	10,174
ERC, Inc.	12	RS070716	53,013
ERC, Inc.	12	RS100583	3,930
Georgia Institute of Technology	12	R9764-G1	106,152
Georgia Institute of Technology	12.630	E-25-6MV-G2	50,630
Georgia Institute of Technology	12.800	RA740-G1	2,033
IBM Corporation	12.910	AH3.IBMH	451,395
Illinois Institute of Technology	12.800	SA374-0609-6071	102,410
Massachusetts Institute of Technology	12.800	5710002025	56,199
Northrop Corporation	12	76100RGT8S	642,167
Ohio State University	12.800	RF01152700	161,506
Princeton University	12.800	00001720	48,039
Tanner Research, Inc.	12.000	CALTECH FA9550-10-C-0073	30,257
Tanner Research, Inc.	12.800	TANNER.FOCARDI	6,738
Texas Engineering Experiment Station	12.800	A5932	171,328
Total Air Force Pass-Through			2,035,543
<b>Army</b>			
BAE Systems Inc.	12	316092	192,372
Gevo, Inc.	12.400	GEVO.JP8	216,646
Imaginative Technologies, LLC	12.400	W911NF-10-C-0045	53,107
Lewis Center for Educational Research	12	LEWIS.RADIO	35,186
North Carolina State University	12.431	2007-0299-01	(8,914)
Pennsylvania State University	12.431	3710-CIT-USA-0124	98,555
Stanford University	12	18882730-37362-A	99,734
University of California Berkeley	12.431	00006095	253,187
University of California Los Angeles	12.420	0845 G KC599	66,145
University of California San Diego	12.431	10296067	1,175,468

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
<b>MAJOR PROGRAMS (CONTINUED)</b>			
<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>Department of Defense (Continued)</b>			
<b>Army (Continued)</b>			
University of California Santa Barbara	12	KK4102	\$ 489
University of California Santa Barbara	12.420	KK9129	134,580
University of California Santa Barbara	12	KK9150	1,278,216
University of Illinois	12.431	2009-03197-01	262,869
University of Massachusetts	12	S1310878AN00006	141
Total Army Pass-Through			3,857,781
<b>Navy</b>			
Cascade Technologies Inc.	12	06-01-2009	17,043
Colorado School of Mines	12	4-42517	34,216
Columbia University	12	5-60865	36,080
Evolutions Robotics, Inc.	12.630	EVOLUT.ONR	(29,539)
Evolutions Robotics, Inc.	12.630	EVOLUT.ONR2	221,335
John Hopkins University	12.300	2000868411	118,633
Nlight Photonics	12	AY.NLIGHT.ONR2	(92,517)
Photonic Systems Inc.	12.300	SC-08-104	1
Princeton University	12.300	00000916	14,516
TTC Technologies	12	TTC-SBIR2-JS-PH2-CONT-CIT-01	109,569
University of California Riverside	12.300	S-0000344	121,832
University of California San Diego	12	10275845	43,756
University of Pennsylvania	12	550162	347,235
Total Navy Pass-Through			942,160
<b>Defense Advanced Research Projects Agency</b>			
Carnegie Mellon University	12	1040271-202926	33
Carnegie Mellon University	12	1041388-237976	96,058
Evolved Machines Inc.	12.910	EVOLVM.2008	7,211
Georgia Institute of Technology	12	B-12-M06-S21	21,663
Georgia Institute of Technology	12.910	RA306-S6	84,087

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**For the Year Ended September 30, 2010**

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
<b>MAJOR PROGRAMS (CONTINUED)</b>			
<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>Department of Defense (Continued)</b>			
<b>Defense Advanced Research Projects Agency (Continued)</b>			
HRL Laboratories, LLC	12	800294-BS	\$ 4,249
HRL Laboratories, LLC	12.910	901729-BS	56,338
Johns Hopkins University	12	908165	86,604
Johns Hopkins University	12	975379	71,132
Kitware Inc.	12.910	HR0011-08-C-0135-S6	22,104
L-3 Communications	12.910	008003S	80,549
Massachusetts Institute of Technology	12	5710001623	(6,745)
Northrop Corporation	12	07562SGT9S	32,970
Raytheon Systems Inc.	12.910	4400331736.000	796,871
Research Triangle Institute International	12	3-340-0211720	211,034
Rice University	12.910	R16182	53,161
Rutgers, The State University of New Jersey	12.910	00003709	33,161
Telaris Inc	12.910	UCOS-CIT-1	115,000
University of California Berkeley	12.910	SA00007003	182,163
University of California Davis	12.910	015530-04	735
University of California Los Angeles	12.000	0160 S HE179	2,807
University of California Los Angeles	12.910	0160 S MB894	129,355
University of California Los Angeles	12.910	0160 S MB961	85,262
University of California Los Angeles	12.910	0160 S MB962	101,683
University of California Los Angeles	12.910	0160 S ME665	43,161
University of Maryland	12	Z945801	84,860
University of Notre Dame	12	201292	75,675
University of Southern California	12.910	137767	40,103
University of Southern California	12.910	141833	80,777
University of Washington	12.910	554947	312,222
Total Defense Advanced Research Projects Agency - Pass-Through			2,904,283
Total Department of Defense Pass- Through			9,739,767

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<b>MAJOR PROGRAMS (CONTINUED)</b>			
<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>Department of Energy</b>			
Advanced Cooling Technologies, Inc.	81	ACT.DOESBIR	\$ 6,163
Argonne National Laboratory	81	7F-01321	120,264
Brookhaven National Laboratory	81	141291	51,066
BSST LLC	81	04-DOE930-126	(107)
Carnegie Institute	81	4-3253-02	147,663
Carnegie Institute	81.049	4-10114-02	70,114
Fermilab National Accelerator Laboratory	81	570788	105,054
Fermilab National Accelerator Laboratory	81	588521	10,000
Lawrence Berkeley National Laboratory	81	6843187	494,325
Lawrence Berkeley National Laboratory	81	6855469	3,003
Lawrence Berkeley National Laboratory	81	6808461	172,942
Lawrence Berkeley National Laboratory	81	6927580	22,143
Lawrence Livermore National Laboratory	81	B579041	85,133
Lawrence Livermore National Laboratory	81	B581793	327,471
Lawrence Livermore National Laboratory	81	B523297	(1,262)
Los Alamos National Laboratory	81	36992-001-06	68,049
Los Alamos National Laboratory	81	55549-001-07	179,619
Los Alamos National Laboratory	81	65287-001-08	40,712
Los Alamos National Laboratory	81	52187-001-07	168,246
Massachusetts Institute of Technology	81	5710002652	30,681
National Renewable Energy Laboratory	81	XAT-4-33624-10	(707)
Oak Ridge National Laboratory	81	4000081915	33,757
Oak Ridge National Laboratory	81	4000068639	(47,792)
Phononic Devices	81.135	PD20100101	91,975
Power Environmental & Energy Research	81.087	325601-001	45,070
Research Partnership to Secure Energy for America	81	08122-15	358,952
Sandia National Laboratories	81	757212	68,093
Sandia National Laboratories	81	885774	92,629
Sandia National Laboratories	81	997166	220,479
Sandia National Laboratories	81	1034539	20,488
Sheeta Global Technology Company	81	DE-CIT-CO2-0801	(135)
Spectrolab, Inc.	81	BM51709E	19,445

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<b>MAJOR PROGRAMS (CONTINUED)</b>			
<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>Department of Energy (Continued)</b>			
Telescent, Inc.	81	Telecent.00001	\$ 30,000
Telescent, Inc.	81	Telescent.00002	30,000
Texas Tech University	81.049	1310/C122-01	(13)
Texas Tech University	81.049	21E001-01	88,089
University of California Davis	81.121	Sub0700277	139,258
University of California Los Angeles	81.087	0980 G KK369	238,329
University of Delaware	81.049	21094	150,175
University of Nevada	81.065	UNR-04-50	(5)
University of Virginia	81.049	GQ10044-134466	338,547
Washington University in St. Louis	81	WU-HT-06-06/PO29353K	28,004
Total Department of Energy Pass-Through			4,045,917
<b>Department of Homeland Security</b>			
Smiths Detection	97	4800020714	82,687
University of Rhode Island	97.061	112208/0001865	152,526
Total Department of Homeland Security Pass-Through			235,213
<b>Department of Health and Human Services</b>			
<b>National Institutes of Health</b>			
Boston University	93.847	GC207853NGC	33,400
Duke University	93.396	07-SC-NIH-1008	11,496
Duke University	93.855	3035625	189,896
Exploratorium	93	3428	32,442
Fisher Bioservices	93.000	FBS-50035-14	95,492
Harvard University	93.859	137384	67,421
Hudsonalpha Institute for Biotechnology	93.172	2009-02	1,977,263
Indiana University	93.849	39510-0048	(978)
Jackson Laboratory	93	639194	62,500

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<b>MAJOR PROGRAMS (CONTINUED)</b>			
<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>Department of Health and Human Services (Continued)</b>			
<b>National Institutes of Health (Continued)</b>			
Jackson Laboratory	93.172	626766	\$ 52,812
Loma Linda University	93	LLU.SUBNIH	(33,128)
Massachusetts Institute of Technology	93.279	5710002669	166,708
Massachusetts Institute of Technology	93.853	5710002432	22,492
Northwestern University	93.397	60025344CIT	81,815
Pennsylvania State University	93.701	4071-CIT-DHHS-5573	136,111
Princeton University	93.859	00001207	(5,603)
Stanford University	93.172	17222070-35910-B	35,072
The Scripps Research Institute	93	5-21552	13,072
The Scripps Research Institute	93	5-21623	40,114
University of California Berkeley	93.867	00006315	91,639
University of California Los Angeles	93.389	1580 G GF778	87,150
University of California Los Angeles	93.286	0845 G KB564	272,494
University of California Los Angeles	93.853	0845 G MA557	75,292
University of California Riverside	93.859	S-000358	28,709
University of California San Diego	93	10278089	(810)
University of California San Diego	93	10291070	132,607
University of Cincinnati	93.389	20309	32,672
University of Colorado Boulder	93.859	154-5178	50,836
University of Colorado Denver	93.242	FY10.083.002	166,147
University of Colorado Denver	93.242	FY10.083.003	204,500
University of Florida	93.701	UF09098	32,771
University of Florida	93.859	UF09066	98,798
University of Georgia	93.855	RR182-364/4688608	63,357
University of Kansas Center for Research, Inc	93.837	QL814611	66,575
University of Miami	93.701	M158942	31,897
University of New Mexico	93.701	3R85Y	208,470
University of North Carolina	93.242	5-34854	124,263
University of Puerto Rico	93	2009-001252	78,810
University of Southern California	93.855	110512	204,026
University of Southern California	93.853	141186	66,915

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, 2010**

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
<b>MAJOR PROGRAMS (CONTINUED)</b>			
<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>Department of Health and Human Services (Continued)</b>			
<b>National Institutes of Health (Continued)</b>			
University of Southern California	93.113	H38625	\$ 1
University of Southern California	93.397	H43019	78,475
University of Utah	93.859	10003198-02	339,360
University of Wisconsin	93.273	198K505	14,133
Vanderbilt University	93	VUMC 33486-R	185,543
Visdex Corporation	93.867	EY017484-Caltech-2	130,398
Visdex Corporation	93.867	EY019805-Caltech	52,363
Total National Institutes of Health Pass-Through			<u>5,895,788</u>
Total Department of Health and Human Services Pass-Through			<u>5,895,788</u>
<b>Department of Interior</b>			
<b>United States Geological Survey (USGS)</b>			
University of Southern California	15.807	119938	401,349
<b>Department of Transportation</b>			
Virginia Tech	20	451030-19717	2,798
<b>Environmental Protection Agency (EPA)</b>			
Harvard University	66	123392	57,547

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, 2010**

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
<b>MAJOR PROGRAMS (CONTINUED)</b>			
<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>National Aeronautics and Space Administration (NASA)</b>			
Case Western Reserve University	43	RES502973	\$ 39,268
EIC Laboratories Inc	43	EIC.GRRNASA	20,007
Harvard University	43	131131-01	17,000
Harvard University	43	131232-02	20,767
Johns Hopkins University	43	933173	41,724
Lockheed Martin Corporation	43	8100001550	17,832
Massachusetts Institute of Technology	43	5710002515	38,196
Monterey Bay Aquarium Research Institute	43	0512953	59,507
Monterey Bay Aquarium Research Institute	43	0910171	176,233
National Space Biomedical Research Institute	43	TD01301	186,064
New Mexico State University	43	P0051129	128,627
Pennsylvania State University	43	3903-CIT-NASA-A76A	72,461
Smithsonian Astro	43	AR9-0007X	9,790
Smithsonian Astro	43	G09-0024X	1,653
Smithsonian Astro	43	GO0-11083B	5,205
Smithsonian Astro	43	GO7-8106X	(6,416)
Smithsonian Astro	43	GO8-9104X	4,340
Smithsonian Astro	43	GO9-0046X	19,067
Smithsonian Astro	43	GO9-0071B	8,649
Smithsonian Astro	43	PF0-110074	10,897
Smithsonian Astro	43	PF8-90053	83,640
Smithsonian Astro	43	PF8-90060	98,798
Smithsonian Astro	43	PF9-00067	70,208
Southwestern Research Institute	43	699001X	(166)
Southwestern Research Institute	43	699047X	29,041
Southwestern Research Institute	43	699048X	53,378
Southwestern Research Institute	43	699049X	32,731
Southwestern Research Institute	43	886830E	21,663
Space Telescope Science Institute	43	HST-AR-11761.01-A	55,378
Space Telescope Science Institute	43	HST-AR-11766.01-A	26,279
Space Telescope Science Institute	43	HST-AR-11769.02-A	166

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, 2010**

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
<b>MAJOR PROGRAMS (CONTINUED)</b>			
<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>National Aeronautics and Space Administration (NASA)</b>			
<b>(Continued)</b>			
Space Telescope Science Institute	43	HST-GO-09822.01-A	\$ (50)
Space Telescope Science Institute	43	HST-GO-10487.05-A	(73)
Space Telescope Science Institute	43	HST-GO-10793.01-A	5,669
Space Telescope Science Institute	43	HST-GO-10818.01-A	31,397
Space Telescope Science Institute	43	HST-GO-10848.09-A	1,902
Space Telescope Science Institute	43	HST-GO-10858.01-A	21,568
Space Telescope Science Institute	43	HST-GO-10872.01-A	(2,281)
Space Telescope Science Institute	43	HST-GO-10908.07-A	(2)
Space Telescope Science Institute	43	HST-GO-10999.01-A	(2,503)
Space Telescope Science Institute	43	HST-GO-11104.01-A	1,157
Space Telescope Science Institute	43	HST-GO-11120.04-A	190
Space Telescope Science Institute	43	HST-GO-11142.01-A	40,446
Space Telescope Science Institute	43	HST-GO-11149.02-A	1,964
Space Telescope Science Institute	43	HST-GO-11161.06-A	1,786
Space Telescope Science Institute	43	HST-GO-11174.01-A	21
Space Telescope Science Institute	43	HST-GO-11188.13-A	54,253
Space Telescope Science Institute	43	HST-GO-11196.02-A	20,452
Space Telescope Science Institute	43	HST-GO-11213.01-A	776
Space Telescope Science Institute	43	HST-GO-11235.01-A	101,266
Space Telescope Science Institute	43	HST-GO-11236.01-A	166,524
Space Telescope Science Institute	43	HST-GO-11236.10-A	57,719
Space Telescope Science Institute	43	HST-GO-11312.01-A	3,681
Space Telescope Science Institute	43	HST-GO-11518.01-A	10,161
Space Telescope Science Institute	43	HST-GO-11544.01-A	26,556
Space Telescope Science Institute	43	HST-GO-11558.06-A	2,803
Space Telescope Science Institute	43	HST-GO-11616.07-A	6,726
Space Telescope Science Institute	43	HST-GO-11644.01-A	117,929
Space Telescope Science Institute	43	HST-GO11694.02-A	61,481
Space Telescope Science Institute	43	HST-GO-11696.09-A	30,921
Space Telescope Science Institute	43	HST-GO-11721.01-A	184,979

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, 2010**

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
<b>MAJOR PROGRAMS (CONTINUED)</b>			
<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>National Aeronautics and Space Administration (NASA)</b>			
<b>(Continued)</b>			
Space Telescope Science Institute	43	HST-GO-11971.02-A	\$ 5,309
Space Telescope Science Institute	43	HST-HF-01201.01-A	4,946
Space Telescope Science Institute	43	HST-HF-01205.01-A	12,694
Space Telescope Science Institute	43	HST-HF-01212.01-A	20,278
Space Telescope Science Institute	43	HST-HF-51229.01-A	78,181
Space Telescope Science Institute	43	HST-HF-51235.01-A	83,442
Space Telescope Science Institute	43	HST-HF-51256.01-A	98,304
Space Telescope Science Institute	43	HST-HF-51262.01-A	123,367
University of California Berkeley	43	SA2715-23609	479,223
University of California Berkeley	43	SA5155-11047	14,345
University of California Los Angeles	43	0995-S-MA048	53,632
University of California San Diego	43	10300012	29,280
University of Maryland	43	0000005553	1,240
University of New Mexico	43	707490-87H5	24,169
University of Space Research	43	8500-98-011	1,393,423
University of Washington	43	596856	27,864
Washington University in St. Louis	43	WU-HT-10-14/2911192A	39,264
Total National Aeronautics and Space Administration Pass-Through			4,778,366
<b>National Science Foundation</b>			
California Association For Research In Astronomy	47	PO 24565	580,923
Case Western Reserve University	47.041	RES501728	(48,791)
Columbia University	47	570611	229,906
Cornell University	47.049	46514-8592	326,577

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, 2010**

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
<b>MAJOR PROGRAMS (CONTINUED)</b>			
<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>National Science Foundation (Continued)</b>			
Florida International University	47	144300503-01	\$ (3,050)
Harvard University	47.078	131268	23,117
Howard University	47	634177-H017357	106,645
Incorporated Research Institute For Seismology	47	05-GSN	20,001
Large Synoptic Survey Telescope Corporation	47	C44031L	50,242
Large Synoptic Survey Telescope Corporation	47	C44040L	274,787
LC Vision, LLC	47.082	CALTECH-0924709	54,133
LC Vision, LLC	47.041	CALTECH-0946085	42,753
Massachusetts Institute of Technology	47.041	5710002280	94,782
Metamodal, LLC	47.041	MM-1001	3,983
National Bureau of Economic Research Inc.	47.075	34-3476-02-0-79-781-7700	(577)
National Bureau of Economic Research Inc.	47.075	34-3519-02-0-79-981	62,421
New Jersey Institute	47.082	910020	65,932
New York University	47	F6030-01	(10,140)
Pomona College	47.082	6064-1	31,588
Sranford University	47.082	24472250-44193-B	64,752
The University of Mississippi	47	10-01-050G	11,924
University of Arizona	47.041	Y502628	319,246
University of California Berkeley	47.041	SA4591-10349PG	5,770
University of California Berkeley	47.041	00007090	61,403
University of California Davis	47.049	SUB09000769-CIT	29,292
University of California Los Angeles	47	0143 G DB034	113,565
University of California Los Angeles	47.049	1000 G GB150	497,893
University of California Los Angeles	47.049	1000 G HD871	574,900
University of Chicago	47.049	30193-A	151,628
University of Chicago	47.070	30085-B	73,081
University of Southern California	47.041	H31068	686,668
University of Southern California	47.050	137754	31,412
University of Washington	47	594618	23,813
University of Wisconsin	47.049	647F205	438,773
University of Wisconsin-Milwaukee	47.049	K083644	103,338

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, 2010**

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
<b>MAJOR PROGRAMS (CONTINUED)</b>			
<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>National Science Foundation (Continued)</b>			
W.M. Keck Observatory	47	29946	\$ 213,612
W.M. Keck Observatory	47.049	29047	382,479
			<hr/>
Total National Science Foundation - Pass-Through Funds			5,688,781
			<hr/>
Total Research and Development - Pass-Through Funds			30,949,587
			<hr/>
Total Research and Development Cluster			277,082,269
			<hr/>
Total Major Programs			277,082,269
			<hr/>
<b>NON-MAJOR PROGRAMS</b>			
<b>Student Financial Aid Cluster</b>			
<b>Direct Funds</b>			
<b>Department of Education</b>			
Federal Work Study Program	84.033		348,656
Federal Supplemental Educational Opportunity Grant	84.007		431,988
Federal Pell Grant Program	84.063		411,446
Academic Competitiveness Grants	84.375		37,000
National SMART Grant	84.376		152,002
			<hr/>
Total Student Financial Aid Cluster			1,381,092
			<hr/>

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, 2010**

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
<b>NON-MAJOR PROGRAMS (Continued)</b>			
<b>Pass-Through Funds</b>			
<b>Department of Education</b>			
California Student Aid Commission Cal Grants	84.069A		\$ 3,674
Total Department of Education Pass-Through Funds			<u>3,674</u>
Total Non-Major Programs			<u>1,384,766</u>
Total Federal Awards			<u><u>\$ 278,467,035</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, 2010

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#### 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, 2010, 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. In addition, ONR has approved fixed with carry forward rates for FY2009 and FY2010 and a provisional rate for FY2011. 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. 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. Actual incurred costs for FY2009 have been submitted for audit by DCAA and, 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, 2010**

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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, 2010

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#### 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, 2010, the Institute advanced loans totaling \$874,449 for the Federal Perkins Loan Program (CFDA Number 84.038). The outstanding balance at September 30, 2010 was \$4,385,949. 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 \$91,224 of administrative cost allowance to the Federal Perkins Loan Program for the year ended September 30, 2010.

#### 3. Federal Direct Loan Program

During the year ended September 30, 2010, the Institute processed \$1,192,584 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 \$1,173,217. There are no outstanding balances under these loan programs.

#### 4. Transfers

During the year ended September 30, 2010, 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.

#### 5. Federal Work Study Carry forwards

During the year ended September 30, 2010, there were no FWS carry forwards from the year ended September 30, 2009. The carry forward amount is reflected as revenues/expenditures recognized in the year in which the funds were expended. The Institute charged \$952 of administrative cost allowance to the Federal Work-Study Program for the year ended September 30, 2010.

**California Institute of Technology**  
**Notes to Schedule of Expenditures of Federal Awards**  
**For the Year Ended September 30, 2010**

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**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>
<b>Department of Defense</b>	
Air Force Office of Scientific Research	\$ 1,004,582
Army Research Office	1,623,982
Defense Advanced Research Projects Agency	187,486
National Geospatial-Intelligence Agency	26,792
Space and Naval Warfare System	478,266
US Navy	2,685,406
	<u>6,006,514</u>
<b>Department of Energy</b>	
Department of Energy	<u>1,123,073</u>
<b>Department of Health and Human Services</b>	
National Institutes of Health	<u>5,939,530</u>
<b>Department of Homeland Security</b>	
Department of Homeland Security	<u>416,939</u>
<b>Department of Interior</b>	
Department of Interior	<u>30,044</u>
<b>Environmental Protection Agency</b>	
Environmental Protection Agency	<u>48,083</u>
<b>National Aeronautics &amp; Space Administration</b>	
National Aeronautics & Space Administration	28,809,435
National Space Biomedical Research Institute	58,352
Universities Space Research Association	17,200
	<u>28,884,987</u>
<b>National Science Foundation</b>	
National Science Foundation	<u>7,972,695</u>
Total Amount Provided to Subrecipients	<u>\$ 50,421,865</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.