

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, 2011**

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
MAJOR PROGRAMS			
Research and Development Cluster			
Direct Funds			
Department of Commerce			
National Institute of Standards and Technology	11.609	70NANB11H130	\$ 10,760
National Oceanic & Atmospheric Administration	11.431	NA09OAR4310128	<u>16,834</u>
Total Department of Commerce			<u>27,594</u>
Department of Defense			
Air Force	12	FA9550-07-1-0484	33,688
Air Force	12	FA9550-08-1-0049	2,307
Air Force	12.300		4,879
Air Force	12.630		1,376,840
Air Force	12.800		3,464,082
Air Force	12.910		999,499
Army	12	W81XWH-09-1-0266	161,684
Army	12	W911NF-07-1-0632	28,246
Army	12.400		18,163
Army	12.420		470,473
Army	12.431		2,898,925
Army	12.910		120,721
Defense Advanced Research Projects Agency	12	W30950	279,498
Defense Advanced Research Projects Agency	12.910		1,545,534
National Geospatial-Intelligence Agency	12.630		155,158
Navy	12	N00244-05-C-0066	399,030
Navy	12	N66001-10-C-2009	2,531,643
Navy	12	N66001-10-P-7184	5,000
Navy	12.300		5,627,158
Navy	12.910		938,672
Space and Naval Warfare System	12.910		<u>154,135</u>
Total Department of Defense			<u>21,215,335</u>

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Schedule of Expenditures of Federal Awards
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For the Year Ended September 30, 2011**

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
MAJOR PROGRAMS (CONTINUED)			
Research and Development Cluster (Continued)			
Direct Funds (Continued)			
Department of Energy			
Department of Energy	81	DE-AC27-09RV15086	\$ 1,104
Department of Energy	81	DE-FC52-08NA28613	3,454,063
Department of Energy	81	DE-FG02-03ER15483	74,246
Department of Energy	81	DE-FG02-04ER46175	(45,560)
Department of Energy	81	DE-FG02-04ER54755	295
Department of Energy	81	DE-FG02-05ER15754	42,423
Department of Energy	81	DE-FG02-05ER41359	13,755
Department of Energy	81	DE-FG02-05ER63983	108,770
Department of Energy	81	DE-FG02-06ER15762	173,097
Department of Energy	81	DE-FG02-06ER15773	3
Department of Energy	81	DE-FG02-06ER64310	45,482
Department of Energy	81	DE-FG02-07ER41481	160,779
Department of Energy	81	DE-FG02-07ER64484	175,678
Department of Energy	81	DE-FG02-08ER15933	136,855
Department of Energy	81	DE-FG02-88ER13873	299,695
Department of Energy	81.049		14,881,209
Department of Energy	81.064		1,280,799
Department of Energy	81.086		232,516
Department of Energy	81.087		392,246
Department of Energy	81.133		<u>125,182</u>
Total Department of Energy			<u>21,552,637</u>
Department of Homeland Security			
Homeland Security Advanced Research Projects Agency	97	HSHQDC-08-C-00038	<u>218,258</u>

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For the Year Ended September 30, 2011**

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MAJOR PROGRAMS (CONTINUED)			
Research and Development Cluster (Continued)			
Direct Funds (Continued)			
Department of Health and Human Services			
National Institutes of Health	93	DP1 OD003878A	\$ 1,171,095
National Institutes of Health	93	IPA WOLD	18,910
National Institutes of Health	93	K99 GM087551A	20,906
National Institutes of Health	93	P50 HG004071A	12,962
National Institutes of Health	93	R01 AG033954A	424,482
National Institutes of Health	93	R01 GM065997C	118,696
National Institutes of Health	93	R01 GM085371A	185,374
National Institutes of Health	93	R21 GM 076417A	1,051
National Institutes of Health	93	U54 CA119347A	(5,960)
National Institutes of Health	93.121		711,014
National Institutes of Health	93.172		4,383,154
National Institutes of Health	93.173		145,503
National Institutes of Health	93.242		1,736,928
National Institutes of Health	93.273		205,160
National Institutes of Health	93.279		2,884,597
National Institutes of Health	93.281		12,677
National Institutes of Health	93.282		50,610
National Institutes of Health	93.286		1,158,255
National Institutes of Health	93.310		2,710,626
National Institutes of Health	93.389		605,501
National Institutes of Health	93.395		3,146,165
National Institutes of Health	93.396		908,259
National Institutes of Health	93.397		2,486,719
National Institutes of Health	93.398		203,681
National Institutes of Health	93.399		71,588
ARRA - National Institutes of Health	93.701		7,794,764
National Institutes of Health	93.837		115,477
National Institutes of Health	93.839		16,591
National Institutes of Health	93.847		1,668,327
National Institutes of Health	93.853		2,553,575
National Institutes of Health	93.855		1,946,066

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California Institute of Technology
Schedule of Expenditures of Federal Awards
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For the Year Ended September 30, 2011

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
MAJOR PROGRAMS (CONTINUED)			
Research and Development Cluster (Continued)			
Direct Funds (Continued)			
Department of Health and Human Services (Continued)			
National Institutes of Health	93.859		\$ 12,842,364
National Institutes of Health	93.865		2,653,738
National Institutes of Health	93.866		40,226
National Institutes of Health	93.867		<u>3,586,549</u>
Total Department of Health and Human Services			<u>56,585,630</u>
Department of the Interior			
United States Geological Survey	15	G11AP20032	59,645
United States Geological Survey	15.807		1,321,176
ARRA - United States Geological Survey	15.807		724,155
United States Geological Survey	15.808		529,805
United States Geological Survey	15.810		<u>5,694</u>
Total Department of the Interior			<u>2,640,475</u>
Environmental Protection Agency			
United States Environmental Protection Agency (EPA)	66	FP - 91687601-0	2,692
United States Environmental Protection Agency (EPA)	66.509		<u>402,457</u>
Total Environmental Protection Agency			<u>405,149</u>
General Services Administration			
General Services Administration	39	JPL IPA GP0478497	<u>137,972</u>

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For the Year Ended September 30, 2011

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MAJOR PROGRAMS (CONTINUED)			
Research and Development Cluster (Continued)			
Direct Funds (Continued)			
National Aeronautics and Space Administration (NASA)			
NASA	43		\$ 34,271,308
NASA	43.009		<u>12,214</u>
Total NASA			<u>34,283,522</u>
National Endowment for the Humanities			
National Endowment for the Humanities	45.161		<u>65,043</u>
National Science of Foundation			
National Science Foundation	47	CHE-0802907	3,536
National Science Foundation	47	DMS-0555755	24
National Science Foundation	47	DMS-0803024	1,500
National Science Foundation	47	ID: 0846233	2,920
National Science Foundation	47	MUCHOVEJ	9,678
National Science Foundation	47	PHY-0823459	2,314,875
National Science Foundation	47.041		2,123,104
National Science Foundation	47.049		102,204,634
National Science Foundation	47.050		3,400,654
National Science Foundation	47.070		4,363,420
National Science Foundation	47.074		1,631,964
National Science Foundation	47.075		339,657
National Science Foundation	47.076		3,359,480
National Science Foundation	47.078		216,641
National Science Foundation	47.080		53,469
ARRA - National Science Foundation	47.082		<u>6,188,343</u>
Total National Science Foundation			<u>126,213,899</u>
Total Research and Development - Direct Funds			<u>263,345,514</u>

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For the Year Ended September 30, 2011

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MAJOR PROGRAMS (CONTINUED)			
Research and Development Cluster (Continued)			
Pass-Through Funds			
Department of Commerce			
Massachusetts Institute of Technology	11.417	5710002367	\$ 28,857
Massachusetts Institute of Technology	11.417	5710002773	41,862
State University of New York at Albany	11	08-43	<u>72,129</u>
Total Department of Commerce Pass-Through			<u>142,848</u>
Department of Defense			
Air Force			
Brown University	12.800	00000271	215,109
ERC, Inc.	12	RS070716	71,900
ERC, Inc.	12	RS110483	4,920
Georgia Institute of Technology	12.800	RA740-G1	29,048
Georgia Institute of Technology	12.800	R9764-G1	127,721
IBM Corporation	12.910	AH3.IBMH	393,495
Illinois Institute of Technology	12.800	SA374-0609-6071	87,625
Massachusetts Institute of Technology	12.800	5710002025	25,027
Northrop Corporation	12	7600003367 / 76100RGT8S	658,950
Ohio State University	12.800	RF01152700/PO60020925	76,847
Ohio State University	12.800	RF01220513	220,064
Princeton University	12.800	00001720	153,527
Tanner Research, Inc.	12	CALTECH FA9550-10-C-0073	14,743
Tanner Research, Inc.	12.800	TANNER.FOCARDI	20
Texas Engineering Experiment Station	12.800	A5932	225,467
UES, Inc.	12	S-875-060-006	41,796
University of California San Diego	12.800	10312818	<u>40,532</u>
Total Air Force Pass-Through			<u>2,386,791</u>

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For the Year Ended September 30, 2011**

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MAJOR PROGRAMS (CONTINUED)			
Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
Department of Defense (Continued)			
Army			
BAE Systems Inc.	12	316092	\$ 21,362
Gevo, Inc.	12.400	GEVO.JP8	243,531
HRL Laboratories, LLC	12.910	10008-002329	111,514
Imaginative Technologies, LLC	12.400	IT-001	13,674
Imaginative Technologies, LLC	12.400	W911NF-10-C-0045	(43,107)
Pennsylvania State University	12.400	3710-CIT-USA-0124	107,810
Stanford University	12.400	18882730-37362-A	71,837
University of California Berkeley	12.431	00006095	325,184
University of California Santa Barbara	12	KK9150	1,110,064
University of California Santa Barbara	12.420	KK9129	407,705
University of California San Diego	12.431	10296067	<u>667,709</u>
Total Army Pass-Through			<u>3,037,283</u>
Navy			
BAE Systems, Inc.	12	1041388-237976	144,724
Cascade Technologies Inc.	12	06-01-2009	7,824
Cascade Technologies Inc.	12.300	2010-7042	101,467
Columbia University	12.300	5-60865	116,215
Evolutions Robotics, Inc.	12.630	EVOLUT.ONR2	195,084
Johns Hopkins University	12	975379.000	596,001
John Hopkins University	12.300	2000868411	211,906
Liquidmetal Technologies, Inc.	12	ONR06-0566-22	(66)
University of California Los Angeles	12.300	1015 G NA127	223,445
University of California Riverside	12.300	S-0000344	82,091
University of California San Diego	12	10275845	56,025
University of Illinois	12.431	2009-03197-01	219,940
University of Pennsylvania	12	550162	<u>361,914</u>
Total Navy Pass-Through			<u>2,316,570</u>

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For the Year Ended September 30, 2011**

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MAJOR PROGRAMS (CONTINUED)			
Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
Department of Defense (Continued)			
Defense Advanced Research Projects Agency			
Carnegie Mellon University	12	1041388-237976	\$ 2,764
Department of Interior	12.910	N10AP20004	252,975
Georgia Institute of Technology	12.910	RA306-S6	50,913
HRL Laboratories, LLC	12.910	901729-BS	53,444
Johns Hopkins University	12.910	2001253081	28,322
Kitware Inc.	12.910	HR0011-08-C-0135-S6	77,062
L-3 Communications	12.910	008003S	4,912
Research Triangle Institute International	12	3-340-0211720	264,170
Rice University	12.910	R16182	52,690
Rutgers, The State University of New Jersey	12.910	00003709	27,280
Tanner Research, Inc.	12.910	Caltech D10PC20068	20,000
TTC Technologies	12	TTC-SBIR2-JS-PH2-CONT-CIT-01	40,422
University of California Berkeley	12.910	SA00007003	130,038
University of California Davis	12.910	015530-04	17,525
University of California Los Angeles	12.000	0160 S MB962	123,310
University of California Los Angeles	12.910	0160 S ME665	196,837
University of California Los Angeles	12.910	0160 S MB894	113,447
University of California Los Angeles	12.910	0160 S MB961	132,075
University of California Santa Barbara	12.910	KK1123	200,209
University of Southern California	12.910	141833	109,996
University of Washington	12.910	554947	<u>(12,643)</u>
Total Defense Advanced Research Projects Agency - Pass-Through			<u>1,885,748</u>
Defense Threat Reduction Agency			
Kettering University	12	330233-A	<u>76,662</u>
Total Department of Defense Pass-Through			<u>9,703,054</u>

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For the Year Ended September 30, 2011**

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
MAJOR PROGRAMS (CONTINUED)			
Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
Department of Energy			
Advanced Cooling Technologies, Inc.	81	ACT.DOESBIR	\$ 23,837
Argonne National Laboratory	81	7F-01321	18,982
Brookhaven National Laboratory	81	141291	64,500
Carnegie Institute	81	4-3253-02	104,019
Carnegie Institute	81.049	4-10114-02	72,394
Fermilab National Accelerator Laboratory	81	570788	118,694
Fermilab National Accelerator Laboratory	81	547138	342,286
Fermilab National Accelerator Laboratory	81	602368	10,664
Harvard University	81.049	130734-1	85,071
Lawrence Berkeley National Laboratory	81	6843187	380,069
Lawrence Berkeley National Laboratory	81	6855469	3,597
Lawrence Berkeley National Laboratory	81	6808461	24,431
Lawrence Berkeley National Laboratory	81	6927580	108,443
Lawrence Livermore National Laboratory	81	B593628	35,000
Lawrence Livermore National Laboratory	81	B581793	279,965
Los Alamos National Laboratory	81	36992-001-06	44,726
Los Alamos National Laboratory	81	55549-001-07	36,876
Los Alamos National Laboratory	81	52187-001-07	7,588
Los Alamos National Laboratory	81	118779-1	153,378
Northwestern University	81.049	PROJ0003849	255,000
Oak Ridge National Laboratory	81	4000103663	75,808
Phononic Devices	81.135	PD20100101	223,020
Power Environmental & Energy Research	81.087	325601-001	87,118
Research Partnership to Secure Energy for America	81	08122-15	397,017
Sandia National Laboratories	81	1161597	3,850
Sandia National Laboratories	81	757212	38,540
Sandia National Laboratories	81	1034539	(488)
Sandia National Laboratories	81	997166	129,396
Sandia National Laboratories	81	885774	5,530
Sandia National Laboratories	81	1121205	101,349
Spectrolab, Inc.	81	BM51709E	30,555
Telescent, Inc.	81.049	DE-SC0000915	27,424
Telescent, Inc.	81.049	DE-SC0000916	27,377

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For the Year Ended September 30, 2011**

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
MAJOR PROGRAMS (CONTINUED)			
Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
Department of Energy (Continued)			
Texas Tech University	81.049	21E001-01	\$ 106,363
University of California Davis	81.121	Sub0700277	138,066
University of California Los Angeles	81.087	0980 G KK369	193,918
University of Delaware	81.049	21094	133,885
University of Virginia	81.049	GQ10044-134466	210,332
University of Washington	81.049	704095	49,959
Washington University in St. Louis	81	WU-HT-06-06/PO29353K	<u>28,003</u>
Total Department of Energy Pass-Through			<u>4,176,542</u>
Department of Homeland Security			
Smiths Detection	97	4800020714	52,665
University of Rhode Island	97.061	112208/0001865	<u>114,401</u>
Total Department of Homeland Security Pass-Through			<u>167,066</u>
Department of Health and Human Services			
National Institutes of Health			
Benaroya Research Institute	93	FY11.033.01967-02.A55923	21,745
Benaroya Research Institute	93.859	FY10.020.01967-01.A49428	243,814
Boston University	93.847	4500000431	18,830
Childrens Hospital Los Angeles	93.853	000480	34,607
City of Hope	93.847	22614.914994.6692	85,443
City of Hope	93.701	22904.910176.6697	285,434
Duke University	93.396	07-SC-NIH-1008	46,031
Duke University	93.855	3035625	(47)
Duke University	93.855	3035431	212,819
Fisher Bioservices	93	FBS-50035-14	936,992
Georgia Institute of Technology	93.867	R7747-G5	(7,149)
Harvard University	93.859	137384	67,379
Hudsonalpha Institute for Biotechnology	93.172	2009-02	1,236,115
Jackson Laboratory	93	652563	78,950
Jackson Laboratory	93	639194	58,611

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For the Year Ended September 30, 2011**

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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)			
Massachusetts Institute of Technology	93.279	5710002669	\$ 124,341
Massachusetts Institute of Technology	93.853	5710002432	91,397
Northwestern University	93.397	60025344CIT	51,276
Pennsylvania State University	93.701	4071-CIT-DHHS-5573	186,191
Pennsylvania State University	93.859	4156-CIT-DHHS-5365	71,165
University of California Los Angeles	93.286	0845 G KB564	233,603
University of California Los Angeles	93.853	0845 G MA557	101,852
University of California Riverside	93.859	S-000358	64,037
University of California San Diego	93	10291070	106,546
University of California, Davis	93.701	SUB09-002032-1	39,240
University of Colorado Boulder	93.859	154-5178	130,545
University of Colorado Denver	93.242	FY10.083.003	164,949
University of Colorado Denver	93.242	FY10.083.002	353,283
University of Florida	93.859	UF09066	89,942
University of Florida	93.701	UF09098	57,276
University of Georgia	93.855	RR182-364/4688608	160,499
University of Kansas Center for Research, Inc	93.837	QL814611	15,890
University of Miami	93.395	M162725	168,022
University of Miami	93.701	M158942	26,167
University of New Mexico	93.701	3R85Y	288,284
University of North Carolina	93.242	5-34854	128,242
University of Southern California	93	H47388	30,286
University of Southern California	93.853	147757	64,537
University of Utah	93.859	10003198-02	431,833
University of Utah	93.701	10003198-02S1	166,871
University of Wisconsin	93.273	198K505	84,716
Visdex Corporation	93	EY021054-Caltech	37,840
Visdex Corporation	93.867	EY017484-Caltech-2	(369)
Visdex Corporation	93.867	EY019805-Caltech	58,665
Total National Institutes of Health Pass-Through			<u>6,846,700</u>
Total Department of Health and Human Services Pass-Through			<u>6,846,700</u>

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For the Year Ended September 30, 2011**

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MAJOR PROGRAMS (CONTINUED)			
Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
Department of Interior			
United States Geological Survey (USGS)			
University of Southern California	15.807	119938	\$ 521,125
Department of State Bureau of Intelligence and Research			
National Council for Eurasian and East European Research	19.300	826-06	8,883
Department of Transportation			
Virginia Tech	20	451030-19717	178,315
General Services Administration			
High Performance Technologies, Inc.	39	PP-CCM-KY02-589	133,132
National Aeronautics and Space Administration (NASA)			
Case Western Reserve University	43	RES502973	8,851
Harvard University	43	131232-02	9,729
Jacobs Technology	43	N170873FSK	614
Johns Hopkins University	43	975476	107,956
Johns Hopkins University	43	933173	(2,647)
L'Garde, Inc.	43	11797	23,000
Lockheed Martin Corporation	43	8100001550	18,260
Massachusetts Institute of Technology	43	Subaward No. 5710002515	109,661
Massachusetts Institute of Technology	43	5710002999	18,210
Monterey Bay Aquarium Research Institute	43	0910171	287,310
National Space Biomedical Research Institute	43	TD01301	211,206
New Mexico State University	43	P0051129	135,627
Pennsylvania State University	43	3903-CIT-NASA-A76A	27,428
Smithsonian Astro	43	PF8-90060	95,986
Smithsonian Astro	43	PF9-00067	101,270
Smithsonian Astro	43	GO1-12006X	43,074
Smithsonian Astro	43	GO8-9104X	25,771

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For the Year Ended September 30, 2011**

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MAJOR PROGRAMS (CONTINUED)			
Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
National Aeronautics and Space Administration (NASA) (Continued)			
Smithsonian Astro	43	PF8-90053	\$ 103,032
Smithsonian Astro	43	GO9-0071B	4,249
Smithsonian Astro	43	GO0-11083B	8,744
Smithsonian Astro	43	AR9-0007X	40,951
Smithsonian Astro	43	PF0-110074	98,088
Southwestern Research Institute	43	699048X	53,948
Southwestern Research Institute	43	699047X	30,625
Southwestern Research Institute	43	D99029L	193,010
Southwestern Research Institute	43	886830E	21,727
Southwestern Research Institute	43	699049X	25,247
Southwestern Research Institute	43	D99029L	24,836
Space Telescope Science Institute	43	HST-GO-11236.01-A	(2,778)
Space Telescope Science Institute	43	HST-GO-11213.01-A	37,525
Space Telescope Science Institute	43	HST-GO-11971.02-A	593
Space Telescope Science Institute	43	HST-HF-51262.01-A	86,255
Space Telescope Science Institute	43	HST-GO-11644.01-A	112,970
Space Telescope Science Institute	43	HST-GO-12060.49-A	9,962
Space Telescope Science Institute	43	HST-GO-12118.03-A	9,648
Space Telescope Science Institute	43	HST-GO-12310.11-A	9,861
Space Telescope Science Institute	43	HST-GO-12223.03-A	22,866
Space Telescope Science Institute	43	HST-GO-12234.02-A	3,840
Space Telescope Science Institute	43	HST-HF-51296.01-A	5,575
Space Telescope Science Institute	43	HST-GO-10429.08-A	61,965
Space Telescope Science Institute	43	HST-GO-11558.06-A	14,219
Space Telescope Science Institute	43	HST-GO-11616.10-A	8,173
Space Telescope Science Institute	43	HST-GO-10574.17-A	61,965
Space Telescope Science Institute	43	HST-GO-11648.06-A	36,388
Space Telescope Science Institute	43	HST-GO-11696.09-A	75,741
Space Telescope Science Institute	43	HST-GO-10793.01-A	1,244
Space Telescope Science Institute	43	HST-GO-11544.01-A	78,648
Space Telescope Science Institute	43	HST-GO-11610.02-A	11,926
Space Telescope Science Institute	43	HST-GO-11616.07-A	141,777
Space Telescope Science Institute	43	HST-GO-11636.13-A	4,523

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, 2011**

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
MAJOR PROGRAMS (CONTINUED)			
Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
National Aeronautics and Space Administration (NASA) (Continued)			
Space Telescope Science Institute	43	HST-GO-11638.01-A	\$ 70,498
Space Telescope Science Institute	43	HST-GO-11694.02-A	82,863
Space Telescope Science Institute	43	HST-GO-11721.01-A	15,559
Space Telescope Science Institute	43	HST-GO-12055.21-A	28,179
Space Telescope Science Institute	43	HST-GO-12117.01-A	2,025
Space Telescope Science Institute	43	HST-GO-12177.04-A	19,708
Space Telescope Science Institute	43	HST-GO-12195.01-A	27,462
Space Telescope Science Institute	43	HST-GO-12197.01-A	18,507
Space Telescope Science Institute	43	HST-GO-12298.01-A	20,824
Space Telescope Science Institute	43	HST-HF-51256.01-A	96,287
Space Telescope Science Institute	43	HST-AR-12154.08-A	31,650
Space Telescope Science Institute	43	HST-HF-01212.01-A	6,085
Space Telescope Science Institute	43	HST-GO-11142.01-A	52,052
Space Telescope Science Institute	43	HST-GO-11235.01-A	34,400
Space Telescope Science Institute	43	HST-GO-11120.04-A	14,664
Space Telescope Science Institute	43	HST-GO-11196.02-A	(193)
Space Telescope Science Institute	43	HST-HF-51235.01-A	12,510
Space Telescope Science Institute	43	HST-GO-11104.01-A	4,356
Space Telescope Science Institute	43	HST-GO-11149.02-A	1,950
Space Telescope Science Institute	43	HST-GO-11188.13-A	42,875
Space Telescope Science Institute	43	HST-GO-11312.01-A	1,123
Space Telescope Science Institute	43	HST-GO-11636.01-A	60,197
Space Telescope Science Institute	43	HST-AR-11761.01-A	3,909
Space Telescope Science Institute	43	HST-GO-12201.01-A	4,371
Space Telescope Science Institute	43	HST-GO-12283.11-A	1,961
Space Telescope Science Institute	43	HST-AR-11766.01-A	2,387
Space Telescope Science Institute	43	HST-GO-11518.01-A	1,671
Space Telescope Science Institute	43	HST-GO-12265.02-A	59,038
United Negro College Fund	43	UNCF.SCHETEMA	42,720
University of California Berkeley	43	SA2715-23609	493,357
University of California Los Angeles	43	0995-S-MA048	68,184
University of California San Diego	43	10300012	53,919

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, 2011**

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
MAJOR PROGRAMS (CONTINUED)			
Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
National Aeronautics and Space Administration (NASA) (Continued)			
University of California Irvine	43	2010-2483	\$ 41,743
University of New Mexico	43	707490-87H5	4,831
Universities Space Research Association	43	8500-98-011	193,907
Universities Space Research Association	43	08521-017	33,189
University of Washington	43	596856	12,543
Vigyan, Inc.	43	14167	27,515
Washington University in St. Louis	43	WU-HT-10-14/2911192A	<u>44,305</u>
Total National Aeronautics and Space Administration Pass-Through			<u>4,351,780</u>
National Science Foundation			
California Association For Research In Astronomy	47	PO 24565	349,556
Carnegie Mellon University	47.079	1121550-259731	144,939
Columbia University	47	570611	98,463
Computing Research Association	47.070	CIF-B-202	138,834
Computing Research Association	47.070	CIF-C-202	9,961
Cornell University	47.049	46514-8592	574,054
Harvard University	47.078	131268	67,757
Howard University	47	634177-H017357	16,783
Incorporated Research Institute for Seismology	47	05-GSN	19,998
Internet2	47.082	109-01	123,368
Large Synoptic Survey Telescope Corporation	47	C44040L	231,224
Large Synoptic Survey Telescope Corporation	47	C44031L	(3,941)
LC Vision, LLC	47	Caltech-1058604	23,887
LC Vision, LLC	47.082	CALTECH-0924709	145,867
Louisiana State University	47.082	55893	2,152
Louisiana State University	47.080	53231	48,451
Massachusetts Institute of Technology	47.041	5710002280	70,368
National Bureau of Economic Research, Inc.	47.075	34-3519-02-0-79-981	36,524
New Jersey Institute	47.082	910020	61,366

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, 2011**

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
MAJOR PROGRAMS (CONTINUED)			
Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
National Science Foundation (Continued)			
Photonic Systems, Inc.	47.041	SC-10-103	\$ 37,670
Pomona College	47.082	6064-1	68,412
Stanford University	47.082	24472250-44193-B	350,914
Stanford University	47.082	25315690-46990-A	19,036
The University of Mississippi	47	10-01-050G	1,961
University of Arizona	47.041	Y502628	250,213
University of California Berkeley	47.041	00007090	64,009
University of California Berkeley	47.041	SA4591-10349PG	(189)
University of California Los Angeles	47.049	1000 G HD871	978,286
University of California Los Angeles	47	0143 G DB034	95,213
University of California Los Angeles	47.049	1000 G GB150	185,766
University of California, Davis	47.050	200911281-03	71,841
University of California, Davis	47.049	sub09000769-CIT	72,336
University of Southern California	47.041	H31068	479,142
University of Southern California	47.050	153603	1,053
University of Southern California	47.050	137754	52,686
University of Washington	47	594618	17,058
University of Wisconsin	47.049	647F205	380,093
University of Wisconsin-Milwaukee	47.049	K083644	80,054
Virtual Astronomical Observatory, Inc.	47	2010-08(1)	585,929
W.M. Keck Observatory	47	29946	795,215
W.M. Keck Observatory	47.049	29047	21,956
W.M. Keck Observatory	47.049	10339	238,836
Total National Science Foundation - Pass-Through Funds			<u>7,007,101</u>
Total Research and Development - Pass-Through Funds			<u>33,236,546</u>
Total Research and Development Cluster			<u>296,582,060</u>
Total Major Programs			<u>296,582,060</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, 2011

Federal Grantor/Pass-Through Grantor/Program Title	CFDA Number	Contract Number	Federal Expenditures
NON-MAJOR PROGRAMS			
Student Financial Aid Cluster			
Direct Funds			
Department of Education			
Federal Work Study Program	84.033		\$ 425,122
Federal Supplemental Educational Opportunity Grant	84.007		431,988
Federal Pell Grant Program	84.063		395,534
Academic Competitiveness Grants	84.375		18,100
National SMART Grant	84.376		<u>170,003</u>
Total Student Financial Aid Cluster			<u>1,440,747</u>
Pass-Through Funds			
Department of Education			
California Student Aid Commission Cal Grants	84.069A		<u>2,068</u>
Total Department of Education Pass-Through Funds			<u>2,068</u>
Total Non-Major Programs			<u>1,442,815</u>
Total Federal Awards			<u><u>\$ 298,024,875</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, 2011

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, 2011, 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, a predetermined rate for FY2011, and a provisional rate for FY2012. 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 have been 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 FY2010 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. An incurred cost rate will not be required for FY2011 because the provisional rate was converted to a predetermined rate.

California Institute of Technology

Notes to Schedule of Expenditures of Federal Awards

For the Year Ended September 30, 2011

1. Summary of Significant Accounting Policies (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. 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.

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, 2011, the Institute advanced loans totaling \$841,637 for the Federal Perkins Loan Program (CFDA Number 84.038). The outstanding balance at September 30, 2011 was \$4,598,824. 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 \$46,617 of administrative cost allowance to the Federal Perkins Loan Program for the year ended September 30, 2011. The amount of Federal Perkins Loan principal (CFDA Number 84.037) cancelled during the year ended September 30, 2011 was \$6,040.

3. Federal Direct Loan Program

During the year ended September 30, 2011, the Institute processed \$1,217,390 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 \$1,195,981. There are no outstanding balances under these loan programs.

4. Transfers

During the year ended September 30, 2011, 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, 2011, there were no FWS carry-forwards from the year ended September 30, 2010. The carry forward amount is reflected as revenues/expenditures recognized in the year in which the funds were expended. The Institute charged \$41,464 of administrative cost allowance to the Federal Work-Study Program for the year ended September 30, 2011.

California Institute of Technology
Notes to Schedule of Expenditures of Federal Awards
For the Year Ended September 30, 2011

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	\$ 1,016,995
Army Research Office	681,306
Defense Advanced Research Projects Agency	80,437
National Geospatial-Intelligence Agency	29,096
US Navy	2,855,698
	<u>4,663,532</u>
Department of Energy	
Department of Energy	<u>2,044,380</u>
Department of Health and Human Services	
National Institutes of Health	<u>9,155,218</u>
Environmental Protection Agency	
Environmental Protection Agency	<u>149,254</u>
National Aeronautics & Space Administration	
National Aeronautics & Space Administration	20,145,156
National Space Biomedical Research Institute	16,768
	<u>20,161,924</u>
National Science Foundation	
National Science Foundation	<u>7,486,502</u>
Total Amount Provided to Subrecipients	<u>\$ 43,660,810</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.