

## **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, 2012**

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant/Contract/Pass-Through Number	Federal Expenditures
<b>Research and Development Cluster</b>			
<b>Direct Funds</b>			
<b>Agency for International Development</b>			
Agency for International Development	98.000	00012MO000602	\$ 90,409
<b>Department of Commerce</b>			
National Institute of Standards and Technology	11.609	70NANB11H130	405,669
National Oceanic & Atmospheric Administration	11.431	NA09OAR4310128	110,311
Total Department of Commerce			515,980
<b>Department of Defense</b>			
Air Force	12	F2TSY-A1272M001	181,373
Air Force	12	F2TSTA1332M001	167,918
Air Force	12.300		209,881
Air Force	12.630		1,389,086
Air Force	12.800		3,484,872
Air Force	12.910		750,407
Army	12	W81XWH-09-1-0266	57,061
Army	12.420		252,964
Army	12.431		3,445,120
Army	12.910		202,800
Defense Advanced Research Projects Agency	12	W30950	274,930
Defense Advanced Research Projects Agency	12.300		278,987
Defense Advanced Research Projects Agency	12.910		2,456,275
National Geospatial-Intelligence Agency	12.630		178,717
Navy	12	N66001-10-C-2009	1,780,274
Navy	12	N00244-05-C-0066	(17,983)
Navy	12	1100719152	833

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant/Contract/Pass-Through Number	Federal Expenditures
<b>Research and Development Cluster (Continued)</b>			
<b>Direct Funds (Continued)</b>			
<b>Department of Defense (Continued)</b>			
Navy	12.300		\$ 4,336,659
Navy	12.910		1,703,248
Office of the Secretary of Defense	12.351		55,725
Space and Naval Warfare System	12.910		<u>110,821</u>
Total Department of Defense			<u>21,299,968</u>
<b>Department of Energy</b>			
Department of Energy	81	DE-AR0000226	57,072
Department of Energy	81	DE-FC52-08NA28613	3,905,688
Department of Energy	81	DE-FG02-03ER15483	72,209
Department of Energy	81	DE-FG02-04ER46175	132,279
Department of Energy	81	DE-FG02-05ER15754	546,000
Department of Energy	81	DE-FG02-05ER63983	14,940
Department of Energy	81	DE-FG02-06ER15762	100,159
Department of Energy	81	DE-FG02-07ER41481	4,946
Department of Energy	81	DE-FG02-08ER15933	30,251
Department of Energy	81	DE-FG02-88ER13873	(23,774)
Department of Energy	81	IPA CHANNING AHN	21,793
Department of Energy	81.049		27,583,535
Department of Energy	81.064		471,765
Department of Energy	81.087		586,917
Department of Energy	81.117		120,000
Department of Energy	81.133		<u>94,922</u>
Total Department of Energy			<u>33,718,702</u>

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<b>Federal Grantor/Pass-Through Grantor/Program Title</b>	<b>Federal CFDA Number</b>	<b>Grant/Contract/Pass-Through Number</b>	<b>Federal Expenditures</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	\$ 725,208
<b>Department of Health and Human Services</b>			
National Institutes of Health	93	1R01GM099535	221,486
National Institutes of Health	93	2338999	251,818
National Institutes of Health	93	DP1GM105377A	723,321
National Institutes of Health	93	F32 GM101792A	22,433
National Institutes of Health	93	P50 MH094258A	328,479
National Institutes of Health	93	R01 AG033954A	443,951
National Institutes of Health	93	R01 GM065997C	261,297
National Institutes of Health	93	R01 GM085371A	241,058
National Institutes of Health	93.121		1,536,693
National Institutes of Health	93.172		4,435,275
National Institutes of Health	93.173		34,405
National Institutes of Health	93.242		2,026,575
National Institutes of Health	93.273		1,550
National Institutes of Health	93.279		3,390,246
National Institutes of Health	93.281		83,333
National Institutes of Health	93.282		91,539
National Institutes of Health	93.286		1,727,852
National Institutes of Health	93.310		6,129,472
National Institutes of Health	93.389		1,323,774
National Institutes of Health	93.395		2,716,134
National Institutes of Health	93.396		251,715
National Institutes of Health	93.397		2,433,718
National Institutes of Health	93.398		287,412

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant/Contract/Pass-Through Number	Federal Expenditures
<b>Research and Development Cluster (Continued)</b>			
<b>Direct Funds (Continued)</b>			
<b>Department of Health and Human Services (Continued)</b>			
ARRA - National Institutes of Health	93.701		\$ 1,278,701
National Institutes of Health	93.837		107,551
National Institutes of Health	93.847		1,711,884
National Institutes of Health	93.853		2,364,712
National Institutes of Health	93.855		3,657,439
National Institutes of Health	93.859		16,712,253
National Institutes of Health	93.865		2,590,796
National Institutes of Health	93.866		171,275
National Institutes of Health	93.867		<u>3,543,157</u>
Total Department of Health and Human Services			<u>61,101,304</u>
<b>Department of the Interior</b>			
United States Geological Survey	15	G11AP20032	9,349
United States Geological Survey	15.807		1,948,088
United States Geological Survey	15.808		<u>470,346</u>
Total Department of the Interior			<u>2,427,783</u>
<b>Environmental Protection Agency</b>			
United States Environmental Protection Agency (EPA)	66	FP-91732501	15,746
United States Environmental Protection Agency (EPA)	66.509		<u>239,243</u>
Total Environmental Protection Agency			<u>254,989</u>

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant/Contract/Pass-Through Number	Federal Expenditures
<b>Research and Development Cluster (Continued)</b>			
<b>Direct Funds (Continued)</b>			
<b>General Services Administration</b>			
General Services Administration	39	GP0478497	\$ 262,228
<b>National Aeronautics and Space Administration (NASA)</b>			
NASA	43		21,535,194
NASA	43.009		116,798
Total NASA			21,651,992
<b>National Endowment for the Humanities</b>			
National Endowment for the Humanities	45.161		1,929
<b>National Science of Foundation</b>			
National Science Foundation	47	0802907	51,717
National Science Foundation	47	0802918	(1,406)
National Science Foundation	47	0823459	(81,860)
National Science Foundation	47	1144910	20
National Science Foundation	47	1158655	153,899
National Science Foundation	47	MUCHOVEJ	2,591
National Science Foundation	47	Nathan Albin	875
National Science Foundation	47.041		2,699,560
National Science Foundation	47.049		91,832,002
National Science Foundation	47.050		3,518,669
National Science Foundation	47.070		3,993,367
National Science Foundation	47.074		829,402
National Science Foundation	47.075		622,578
National Science Foundation	47.076		3,830,796

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant/Contract/Pass-Through Number	Federal Expenditures
<b>Direct Funds (Continued)</b>			
<b>National Science of Foundation (Continued)</b>			
National Science Foundation	47.078		\$ 211,212
National Science Foundation	47.080		325
ARRA - National Science Foundation	47.082		<u>3,756,595</u>
Total National Science Foundation			<u>111,420,342</u>
Total Research and Development - Direct Funds			<u>253,470,834</u>
<b>Pass-Through Funds</b>			
<b>Department of Commerce</b>			
Massachusetts Institute of Technology	11.417	5710002773	<u>25,416</u>
<b>Department of Defense</b>			
<b>Air Force</b>			
Brown University	12.800	00000271	166,438
Georgia Institute of Technology	12.800	RA740-G1	17,742
Georgia Institute of Technology	12	R9764-G1	1,037
IBM Corporation	12.910	AH3.IBMH	58,886
Illinois Institute of Technology	12.800	SA374-0609-6071	122,294
Northwestern University	12.800	PROJ0003600	151,858
Northrop Corporation	12	7600003367 / 76100RGT8S	225,349
Ohio State University	12.800	RF01152700/PO60020925	4,611
Ohio State University	12.800	RF01220513	180,492

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant/Contract/Pass-Through Number	Federal Expenditures
<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>Department of Defense (Continued)</b>			
<b>Air Force (Continued)</b>			
Princeton University	12.800	00002050	\$ 3,492
Princeton University	12.800	00001720	158,569
Stanford University	12.800	29018150-51649-C	197,370
Texas Engineering Experiment Station	12.800	A5932	236,496
UES, Inc.	12	S-875-060-006	230,557
University of California Berkeley	12.800	00007817	140,496
University of California Los Angeles	12.910	0145 G PA422	255,300
University of California San Diego	12.800	RF01220513	39,138
University of California Santa Barbara	12.800	KK1224	154,758
University of Notre Dame	12	201943	60,717
University of Southern California	12	Y85620	19,226
Total Air Force Pass-Through			2,424,826
<b>Army</b>			
Cornell University	12	63222-9803	48,086
Gevo, Inc.	12.400	GEVO.JP8	50,646
HRL Laboratories, LLC	12.910	10008-002329	13,662
University of Illinois	12.420	2010-04699-03	3,374
University of Illinois	12.431	2009-03197-01	118,713
Imaginative Technologies, LLC	12.400	IT-001	216,278
Johns Hopkins University	12.630	2001515018	178,098
Pennsylvania State University	12.431	3710-CIT-USA-0124	158,514
Stanford University	12	18882730-37362-A	(5,256)

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant/Contract/Pass-Through Number	Federal Expenditures
<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>Department of Defense (Continued)</b>			
<b>Army (Continued)</b>			
Tanner Research, Inc.	12.400	CALTECH-W911SR-12-C-0003	\$ 188,993
University of California Berkeley	12.431	00006095	233,039
University of California Santa Barbara	12	KK9150	1,556,968
University of California Santa Barbara	12.420	KK9129	<u>(23,640)</u>
Total Army Pass-Through			<u>2,737,475</u>
<b>Navy</b>			
Cascade Technologies Inc.	12.300	2010-7042	68,181
Columbia University	12.300	5-60865	118,832
Evolutions Robotics, Inc.	12.630	EVOLUT.ONR2	50,530
John Hopkins University	12.300	2000868411	104,700
OCEANIT	12.300	002	1,018
University of California Los Angeles	12.300	1015 G NA127	140,938
University of California Los Angeles	12.300	0980 G PK234	1,647
University of California Riverside	12.300	S-0000344	2,858
University of California San Diego	12	10275845	53,155
University of Pennsylvania	12	550162	<u>314,790</u>
Total Navy Pass-Through			<u>856,649</u>

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**California Institute of Technology**  
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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant/Contract/Pass-Through Number	Federal Expenditures
<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</b>			
AURRIN, Inc.	12.910	AURRION.RPHI	\$ 62,225
BAE Systems, Inc.	12	739533	155,452
Carnegie Mellon University	12	1041388-237976	1,178
Duke University	12.910	12-DARPA-1071	87,517
HRL Laboratories, LLC	12.910	901729-BS	217
HRL Laboratories, LLC	12.910	10008-002329	190,088
Johns Hopkins University	12.910	2001253081	31,452
Johns Hopkins University	12	975379	846,930
Kitware Inc.	12.910	HR0011-08-C-0135-S6	(2,641)
Research Triangle Institute International	12	3-340-0211720	72,093
Rice University	12.910	R16182	24,904
Rutgers, The State University of New Jersey	12.910	00003709	24,050
University of California Berkeley	12.910	SA00007003	191,827
University of California Los Angeles	12.910	0160 S MB962	105,418
University of California Los Angeles	12.910	0160 S MB894	93,720
University of California Los Angeles	12.910	0160 S MB961	121,641
University of California Los Angeles	12.910	N66001-12-1-4034	267,242
University of California San Diego	12.431	10296067	409,416
University of California Santa Barbara	12.910	KK1123	297,370
University of Southern California	12.910	141833	(17,770)
Total Defense Advanced Research Projects Agency Pass-Through			2,962,329

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant/Contract/Pass-Through Number	Federal Expenditures
<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>Department of Defense (Continued)</b>			
<b>Defense Threat Reduction Agency</b>			
Kettering University	12	330233-A	\$ 98,484
Kettering University	12.351	P0030022	554
Total Defense Threat Reduction Agency			99,038
Pass-Through			
Total Department of Defense Pass-Through			9,080,317
<b>Department of Energy</b>			
Advanced Cooling Technologies, Inc.	81	14074	69,420
AMERIGON	81	AMERGN.DOE	48,426
Argonne National Laboratory	81	2F-32261	4,457
Carnegie Institute	81	4-3253-02	140,205
Carnegie Institute	81.049	4-10114-02	88,625
Fermilab National Accelerator Laboratory	81	570788	169,641
Fermilab National Accelerator Laboratory	81	547138	(73,286)
Fermilab National Accelerator Laboratory	81	602368	39,336
Fermilab National Accelerator Laboratory	81	554897	263,258
Harvard University	81.049	130734-1	93,085
Lawrence Berkeley National Laboratory	81	6843187	26,469
Lawrence Berkeley National Laboratory	81	6855469	177,145
Lawrence Berkeley National Laboratory	81	6808461	(48,686)
Lawrence Berkeley National Laboratory	81	6927580	63,344
Lawrence Berkeley National Laboratory	81	B597705	238,449
Lawrence Livermore National Laboratory	81	B581793	587
Lawrence Livermore National Laboratory	81	197339-1	19,436
Los Alamos National Laboratory	81	36992-001-06	642
Los Alamos National Laboratory	81	55549-001-07	760

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant/Contract/Pass-Through Number	Federal Expenditures
<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>Department of Energy (Continued)</b>			
Los Alamos National Laboratory	81	52187-001-07	\$ (6,535)
Los Alamos National Laboratory	81	118779-1	144,382
Northwestern University	81.049	PROJ0003849	(297)
Oak Ridge National Laboratory	81	4000103663	139,452
Oak Ridge National Laboratory	81	4000115818	12,305
Power Environmental & Energy Research	81.087	325601-001	22,336
Research Partnership to Secure Energy for America	81	08122-15	308,467
Sandia National Laboratories	81	1161597	49,745
Sandia National Laboratories	81	757212	11,400
Sandia National Laboratories	81	1155749	284,206
Sandia National Laboratories	81	1121205	48,650
Stanford University	81	DOE DE-AC02-76SF00515	83,418
Telescent, Inc.	81.049	DE-SC0000915	97,397
Telescent, Inc.	81.049	DE-SC0000916	97,590
University of California Davis	81.121	Sub0700277	10
University of California Los Angeles	81.087	0980 G KK369	(13,220)
University of Delaware	81.049	21094	222,440
University of Minnesota	81.135	A002601001	267,947
University of Virginia	81.049	GQ10044-134466	259,962
University of Washington	81.049	704095	85,364
Total Department of Energy Pass-Through			3,436,332
<b>Department of Homeland Security</b>			
University of Rhode Island	97.061	112208/0001865	435,854

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<b>Federal Grantor/Pass-Through Grantor/Program Title</b>	<b>Federal CFDA Number</b>	<b>Grant/Contract/Pass-Through Number</b>	<b>Federal Expenditures</b>
<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>Department of Health and Human Services</b>			
<b>National Institutes of Health</b>			
Benaroya Research Institute	93	FY11.033.01967-02.A55923	\$ 185,137
Benaroya Research Institute	93.859	FY10.020.01967-01.A49428	(34,761)
Childrens Hospital Los Angeles	93.855	512	89,574
Childrens Hospital Los Angeles	93.853	000480	90,708
City of Hope	93.847	22614.914994.6692	420,166
City of Hope	93.701	22904.910176.6697	37,427
Duke University	93.396	07-SC-NIH-1008	46,745
Fisher Bioservices	93	FBS-50035-14	423,452
Georgia Institute of Technology	93.867	R7747-G5	7,149
Harvard University	93.859	137384	67,538
Hudsonalpha Institute for Biotechnology	93.172	2009-02	843,914
Jackson Laboratory	93	652563	37,153
Massachusetts Institute of Technology	93.279	5710002669	170,563
Northwestern University	93.397	60025344CIT	122,523
Pennsylvania State University	93.701	4071-CIT-DHHS-5573	(1,705)
Pennsylvania State University	93.859	4156-CIT-DHHS-5365	15,439
Pennsylvania State University	93.172	4564-CIT-DHHS-5573	172,515
Science Applications International Corporation	93.000	11XS287	1,165,408
The Scripps Research Institute	93.279	5-23851	1,553
University of California Los Angeles	93.286	0845 G KB564	314,318
University of California Los Angeles	93.853	0845 G MA557	124,541
University of California Riverside	93.859	S-000358	196,864
University of California San Diego	93	10291070	20,159
University of California, Davis	93.701	SUB09-002032-1	(11,251)
University of Colorado Boulder	93.859	154-5178	273,775
University of Colorado Denver	93.242	FY10.083.003	121,941

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<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 Colorado Denver	93.242	FY10.083.002	\$ 323,392
University of Florida	93.859	UF09066	73,949
University of Georgia	93.855	RR182-364/4688608	39,679
University of Illinois	93.847	2012-01135-02	121,692
University of Miami	93.395	M162725	230,744
University of Miami	93.701	M158942	(319)
University of New Mexico	93.701	3R85Y	19,555
University of Southern California	93.859	159431	41,949
University of Southern California	93	H47388	33,742
University of Southern California	93.837	162272	53,920
University of Southern California	93.853	159442	65,451
University of Utah	93.859	10003198-02	376,075
University of Wisconsin	93.273	198K505	187,271
University of Wisconsin	93.859	348K434	61,336
Vanderbilt University	93	VUMC 33486-R	53,064
Visdex Corporation	93	EY021054-Caltech	8,267
Total National Institutes of Health Pass-Through			6,590,612
Total Department of Health and Human Services Pass-Through			6,590,612

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<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>Department of Interior</b>			
<b>United States Geological Survey (USGS)</b>			
University of Southern California	15.000	157944	\$ 142,855
University of Southern California	15.807	119938	223,070
University of Southern California	15.808	Y86581	25,739
University of Southern California	15.808	Y80804	<u>30,068</u>
Total Department of the Interior Pass-Through			<u>421,732</u>
<b>Department of State Bureau of Intelligence and Research</b>			
National Council for Eurasian and East European Research	19.300	826-06	<u>7,397</u>
<b>Department of Transportation</b>			
Virginia Tech	20	451030-19717	<u>43,292</u>
<b>General Services Administration</b>			
High Performance Technologies, Inc.	39	PP-CCM-KY02-589	<u>(10,215)</u>
<b>National Aeronautics and Space Administration (NASA)</b>			
Analytical Mechanics Associates, Inc.	43	1601-TEAMS2-CAL	203,353
Carnegie Institution of Washington	43.001	7-10349-01	4,692
Case Western Reserve University	43.001	RES502973	332
Harvard University	43.001	131299-5039010	12,209
Harvard University	43.001	131232-02	42,820

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant/Contract/Pass-Through Number	Federal Expenditures
<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>National Aeronautics and Space Administration (NASA)</b>			
<b>(Continued)</b>			
Johns Hopkins University	43	975476	\$ 14,477
Johns Hopkins University	43.001	108898	1,050
Lockheed Martin Corporation	43	8100001550	1,786
Massachusetts Institute of Technology	43	Subaward No. 5710002515	173,134
Massachusetts Institute of Technology	43.001	5710002999	59,397
Monterey Bay Aquarium Research Institute	43	0910171	176,748
National Space Biomedical Research Institute	43	TD01301	(4,026)
Near Space Corporation	43	NASA NNX12CA51C	18,414
New Mexico State University	43	P0051129	88,407
Pennsylvania State University	43	3903-CIT-NASA-A76A	65,268
Princeton University	43.001	00002046	127,193
Smithsonian Astro	43.001	DD2-13059X	9,984
Smithsonian Astro	43.001	DD2-13060X	7,168
Smithsonian Astro	43	GO1-12122X	12,438
Smithsonian Astro	43.001	PF2-130099	12,458
Smithsonian Astro	43	PF9-00067	9,833
Smithsonian Astro	43	GO1-12006X	2,714
Smithsonian Astro	43.001	PF1-120089	125,776
Smithsonian Astro	43	AR9-0007X	(10)
Smithsonian Astro	43.001	PF0-110074	18,609
Southwestern Research Institute	43	699048X	40,702
Southwestern Research Institute	43	699047X	67,404
Southwestern Research Institute	43	699049X	41,997
Southwestern Research Institute	43	D99029L	156,031

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, 2012**

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant/Contract/Pass-Through Number	Federal Expenditures
<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>National Aeronautics and Space Administration (NASA)</b>			
<b>(Continued)</b>			
Southwestern Research Institute	43	886830E	\$ 4,788
Southwestern Research Institute	43	D99029L	356,173
Space Telescope Science Institute	43	HST-GO-11971.02-A	10,499
Space Telescope Science Institute	43	HST-GO-11644.01-A	2,865
Space Telescope Science Institute	43.001	HST-GO-12283.08.-A	66,936
Space Telescope Science Institute	43	HST-GO-12223.03-A	30,693
Space Telescope Science Institute	43	HST-GO-12234.02-A	2,068
Space Telescope Science Institute	43	HST-HF-51296.01-A	100,517
Space Telescope Science Institute	43	HST-GO-12181.13-A	17,495
Space Telescope Science Institute	43	HST-AR-12636.04-A	22,630
Space Telescope Science Institute	43	HST-GO-12524.04-A	20,945
Space Telescope Science Institute	43	HST-GO-12473.11-A	1,082
Space Telescope Science Institute	43	HST-GO-11622.01-A	1,445
Space Telescope Science Institute	43	HST-GO-12583.01-A	16,333
Space Telescope Science Institute	43.001	HST G0-12286.04-A	6,954
Space Telescope Science Institute	43	HST-GO-11616.10-A	9,629
Space Telescope Science Institute	43	HST-GO-11696.09-A	54,888
Space Telescope Science Institute	43.001	HST-G0-11702.04-A	39,131
Space Telescope Science Institute	43	HST-G0-11708.07-A	94,083
Space Telescope Science Institute	43.001	HST-GO-12330.01-A	27,738
Space Telescope Science Institute	43	HST-G0-12534.01-A	30,598
Space Telescope Science Institute	43	HST-G0-12568.08-A	5,069
Space Telescope Science Institute	43	HST-GO-11610.02-A	56,581
Space Telescope Science Institute	43	HST-GO-11616.07-A	109,768
Space Telescope Science Institute	43	HST-GO-11636.13-A	11,934
Space Telescope Science Institute	43	HST-GO-11638.01-A	46,567

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, 2012**

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant/Contract/Pass-Through Number	Federal Expenditures
<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-11694.02-A	\$ 28,422
Space Telescope Science Institute	43	HST-GO-11721.01-A	6,748
Space Telescope Science Institute	43.001	HST-GO-12055.21-A	30,665
Space Telescope Science Institute	43	HST-GO-12117.01-A	8,966
Space Telescope Science Institute	43	HST-GO-12177.04-A	2,627
Space Telescope Science Institute	43	HST-GO-12195.01-A	5,671
Space Telescope Science Institute	43	HST-GO-12197.01-A	5,347
Space Telescope Science Institute	43	HST-GO-12233.01-A	3,594
Space Telescope Science Institute	43	HST-GO-12265.02-A	2,181
Space Telescope Science Institute	43	HST-GO-12298.01-A	64,859
Space Telescope Science Institute	43	HST-GO-12498.01-A	107,126
Space Telescope Science Institute	43	HST-GO-12659.01-A	1,255
Space Telescope Science Institute	43	HST-AR-12655.01-A	33,519
Space Telescope Science Institute	43	HST-HF-51256.01-A	96,606
Space Telescope Science Institute	43.001	HST-AR-12154.08-A	139
Space Telescope Science Institute	43	HST-HF-51313.01-A	5,992
Space Telescope Science Institute	43	HST-GO-11236.01-A	2,805
Space Telescope Science Institute	43.001	HST-GO-11213.01-A	3,402
Space Telescope Science Institute	43.001	HST-HF-51262.01-A	1,837
Space Telescope Science Institute	43	HST-GO-11640.07-A	11,596
Space Telescope Science Institute	43.001	HST-GO-12310.11-A	21,736
Space Telescope Science Institute	43.001	HST-GO-10429.08-A	6,347
Space Telescope Science Institute	43	HST-GO-11558.06-A	169
Space Telescope Science Institute	43.001	HST-GO-10574.17-A	38,658
Space Telescope Science Institute	43	HST-GO-11648.06-A	20,832
Space Telescope Science Institute	43	HST-GO-11544.01-A	136

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, 2012**

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant/Contract/Pass-Through Number	Federal Expenditures
<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	43.001	HST-GO-12060.49-A	\$ 54,201
Space Telescope Science Institute	43.001	HST-GO-12269.12-A	21,169
TAO of Systems Engineering, Inc.	43	101D021312	30,799
United Negro College Fund	43	UNCF.KATHLEEN	40,000
United Negro College Fund	43	UNCF.SCHETEMA	27,467
University of California Berkeley	43.001	SA2715-23609	362,626
University of California Los Angeles	43	0995-S-MA048	91,826
University of California San Diego	43	10300012	44,532
University of California Irvine	43	2010-2483	50,215
Universities Space Research Association	43.001	02212-01	493
Universities Space Research Association	43	08521-017	161,048
University of Washington	43	596856	19,086
Vigyan, Inc.	43	14167	204,492
Washington University in St. Louis	43.001	WU-HT-10-14/2911192A	<u>62,501</u>
Total National Aeronautics and Space Administration Pass-Through			<u>4,319,457</u>
<b>National Science Foundation</b>			
Arizona State University	47.041	12-729	286,278
California Association For Research In Astronomy	47	PO 24565	142,756
Carnegie Mellon University	47.079	1121550-259731	236,307
Computing Research Association	47.070	CIF-B-202	1,166
Computing Research Association	47.070	CIF-C-202	120,090
Consortium for Ocean Leadership	47.050	T339A89	23,568
Cornell University	47.049	46514-8592	151,916

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, 2012**

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<b>Federal Grantor/Pass-Through Grantor/Program Title</b>	<b>Federal CFDA Number</b>	<b>Grant/Contract/Pass-Through Number</b>	<b>Federal Expenditures</b>
<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>National Science Foundation (Continued)</b>			
Harvard University	47.078	131268	\$ 62,069
Incorporated Research Institute for Seismology	47.050	38-GSN	23,029
Incorporated Research Institute for Seismology	47.050	46-DMS	1,774
Internet2	47.082	109-01	109,195
Large Synoptic Survey Telescope Corporation	47	C44040L	253,043
LC Vision, LLC	47	IIP-1058604	119,369
Louisiana State University	47.080	62973	106,593
Louisiana State University	47.082	55893	50,647
National Bureau of Economic Research, Inc.	47.075	34-3519-02-0-79-981	2,569
National Radio Astronomy Observatory	47	337416	16,333
National Radio Astronomy Observatory	47	339014	1,065
National Radio Astronomy Observatory	47	337419	14,266
National Radio Astronomy Observatory	47.082	995614	63,000
New Jersey Institute	47.049	NJIT.000008	1,693
New Jersey Institute	47.082	910020	80,449
Princeton University	47.049	00002009	247,633
Stanford University	47.082	24472250-44193-B	71,549
Stanford University	47.082	25315690-46990-A	249,931
University of Arizona	47.041	Y502628	193,724
University of California Berkeley	47.041	00007090	64,214
University of California Los Angeles	47.082	0995 G PB241	122,748
University of California Los Angeles	47.049	1000 G HD871	450,520
University of California Los Angeles	47	0143 G DB034	80,394
University of California, Davis	47.050	200911281-03	293,732
University of California, Davis	47.049	sub09000769-CIT	53,867
University of Connecticut	47.041	7150	16,011

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, 2012**

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant/Contract/Pass-Through Number	Federal Expenditures
<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>National Science Foundation (Continued)</b>			
University of Southern California	47.041	H31068	\$ 357,639
University of Southern California	47.050	Y86197	5,066
University of Southern California	47.050	153603	48,921
University of Southern California	47.050	137754	21,008
University of Wisconsin	47.049	647F205	76,369
University of Wisconsin-Milwaukee	47.049	K083644	75,032
Virtual Astronomical Observatory, Inc.	47	2010-08(1)	277,244
W.M. Keck Observatory	47.049	10742	965,991
W.M. Keck Observatory	47	29946	(342,038)
W.M. Keck Observatory	47.049	10339	<u>477,593</u>
Total National Science Foundation - Pass-Through Funds			<u>5,674,323</u>
Total Research and Development - Pass-Through Funds			<u>30,024,517</u>
Total Research and Development Cluster			<u>283,495,351</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, 2012**

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant/Contract/Pass-Through Number	Federal Expenditures
<b>Student Financial Aid Cluster</b>			
<b>Direct Funds</b>			
<b>Department of Education</b>			
Federal Work Study Program	84.033		\$ 383,768
Federal Supplemental Educational Opportunity Grant	84.007		431,988
Federal Pell Grant Program	84.063		<u>441,812</u>
Total Student Financial Aid Cluster			<u>1,257,568</u>
Total Expenditures of Federal Awards			<u>\$ 284,752,919</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, 2012

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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*. The Schedule summarizes the expenditures of the Institute under programs of the federal government for the year ended September 30, 2012, 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 predetermined rates for FY2011, FY2012, and FY2013. 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 FY2009 and 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 audit will not be required for FY2011, FY2012, or FY2013 because those rates are predetermined.

# California Institute of Technology

## Notes to Schedule of Expenditures of Federal Awards

### For the Year Ended September 30, 2012

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#### 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 audited financial statements and related OMB Circular A-133 reports for JPL.

#### 2. Loan Advances

During the year ended September 30, 2012, the Institute advanced loans totaling \$817,383 for the Federal Perkins Loan Program (CFDA Number 84.038). The outstanding balance at September 30, 2012 was \$4,743,192. 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 \$92,240 of administrative cost allowance to the Federal Perkins Loan Program for the year ended September 30, 2012. The amount of Federal Perkins Loan principal (CFDA Number 84.037) cancelled during the year ended September 30, 2012 was \$8,740.

#### 3. Federal Direct Loan Program

During the year ended September 30, 2012, the Institute awarded \$1,122,227 (including origination fees and rebates) of 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) to students.

#### 4. Transfers

During the year ended September 30, 2012, 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, 2012, there were no FWS carry-forwards from the year ended September 30, 2011. The Institute carried back \$33,481 from the year ending September 30, 2013. The carry forward/back amounts are reflected as revenues/expenditures recognized in the year in which the funds were expended. The Institute did not charge any administrative cost allowance to the Federal Work-Study Program for the year ended September 30, 2012.

**California Institute of Technology**  
**Notes to Schedule of Expenditures of Federal Awards**  
**For the Year Ended September 30, 2012**

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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	\$ 909,012
Army Research Office	1,415,310
Defense Advanced Research Projects Agency	504,207
National Geospatial-Intelligence Agency	30,568
US Navy	1,641,100
	<b>4,500,197</b>
<b>Department of Energy</b>	
Department of Energy	1,935,088
<b>Department of Health and Human Services</b>	
National Institutes of Health	10,491,760
<b>Environmental Protection Agency</b>	
Environmental Protection Agency	131,999
<b>Department of Homeland Security</b>	
Department of Homeland Security	146,000
<b>National Aeronautics &amp; Space Administration</b>	
National Aeronautics & Space Administration	10,785,995
National Space Biomedical Research Institute	1,575
Space Telescope Science Institute	64,664
	<b>10,852,233</b>
<b>National Science Foundation</b>	
National Science Foundation	9,406,217
<b>United States Geological Survey</b>	
United States Geological Survey	10,675
Total Amount Provided to Subrecipients	<b>\$ 37,474,169</b>

**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.