

## **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, 2013**

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
<b>Research and Development Cluster</b>			
<b>Direct Funds</b>			
<b>Agency for International Development</b>			
Agency for International Development	98.UNKNOWN	00012MO000602	\$ 25,989
<b>Department of Commerce</b>			
National Institute of Standards and Technology	11.609		524,624
National Oceanic & Atmospheric Administration	11.431		157,184
Total Department of Commerce			<u>681,808</u>
<b>Department of Defense</b>			
Air Force	12.UNKNOWN	F2TSY-A1272M001	7,834
Air Force	12.UNKNOWN	F2TSTA1332M001	(592)
Air Force	12.300		322,931
Air Force	12.630		1,327,912
Air Force	12.800		5,223,529
Air Force	12.910		732,030
Army	12.300		4,544
Army	12.420		413,103
Army	12.431		3,059,075
Army	12.910		206,189
Defense Advanced Research Projects Agency	12.UNKNOWN	W30950	261,776
Defense Advanced Research Projects Agency	12.910		3,690,256
National Geospatial-Intelligence Agency	12.630		112,493
Navy	12.UNKNOWN	N66001-10-C-2009	160,474
Navy	12.300		3,574,092
Navy	12.910		1,564,703
Office of the Secretary of Defense	12.351		<u>330,388</u>
Total Department of Defense			<u>20,990,737</u>

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**California Institute of Technology**  
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**(exclusive of the Jet Propulsion Laboratory)**  
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<b>Federal Grantor/Pass-Through Grantor/Program Title</b>	<b>Federal CFDA Number</b>	<b>Grant or Contract Number</b>	<b>Federal Expenditures</b>
<b>Research and Development Cluster (Continued)</b>			
<b>Direct Funds (Continued)</b>			
<b>Department of Energy</b>			
Department of Energy	81.UNKNOWN	IPA CHANNING AHN	\$ 122,063
Department of Energy	81.049		22,760,892
Department of Energy	81.064		552,617
Department of Energy	81.087		282,948
Department of Energy	81.112		217,493
Department of Energy	81.117		120,000
Department of Energy	81.124		2,244,720
Department of Energy	81.133		(487)
Department of Energy	81.135		<u>764,742</u>
Total Department of Energy			<u>27,064,988</u>
<b>Department of Homeland Security</b>			
Homeland Security Advanced Research Projects Agency	97.UNKNOWN	HSHQDC-08-C-00038	<u>343,218</u>
<b>Department of Health and Human Services</b>			
National Institutes of Health	93.121		439,000
National Institutes of Health	93.172		3,435,765
National Institutes of Health	93.173		654,932
National Institutes of Health	93.242		4,164,579
National Institutes of Health	93.279		2,483,568
National Institutes of Health	93.282		28,052
National Institutes of Health	93.286		1,813,358
National Institutes of Health	93.310		6,598,191
National Institutes of Health	93.351		599,309
National Institutes of Health	93.389		1,342,618
National Institutes of Health	93.395		2,239,030
National Institutes of Health	93.396		435,999
National Institutes of Health	93.397		2,409,514
National Institutes of Health	93.398		218,677
National Institutes of Health	93.399		(47,741)

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**California Institute of Technology**  
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**For the Year Ended September 30, 2013**

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract 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		\$ (94,677)
National Institutes of Health	93.837		141,288
National Institutes of Health	93.838		218,085
National Institutes of Health	93.847		1,451,471
National Institutes of Health	93.853		3,236,922
National Institutes of Health	93.855		3,347,364
National Institutes of Health	93.859		14,087,090
National Institutes of Health	93.865		4,713,554
National Institutes of Health	93.866		288,537
National Institutes of Health	93.867		<u>2,708,906</u>
Total Department of Health and Human Services			<u>56,913,391</u>
<b>Department of the Interior</b>			
United States Geological Survey	15.UNKNOWN	4500047679	66,027
United States Geological Survey	15.807		1,828,728
United States Geological Survey	15.808		<u>532,779</u>
Total Department of the Interior			<u>2,427,534</u>
<b>Environmental Protection Agency</b>			
United States Environmental Protection Agency (EPA)	66.509		232,073
United States Environmental Protection Agency (EPA)	66.514		<u>13,949</u>
Total Environmental Protection Agency			<u>246,022</u>

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
<b>Research and Development Cluster (Continued)</b>			
<b>Direct Funds (Continued)</b>			
<b>General Services Administration</b>			
General Services Administration	39.UNKNOWN	GP0478497	\$ 239,672
<b>National Aeronautics and Space Administration (NASA)</b>			
NASA	43.UNKNOWN	JSCNNJ13ZA01P	155,446
NASA	43.UNKNOWN	JSCNNJ13ZA02P	170,932
NASA	43.UNKNOWN	NNH-061IA-10P	(616)
NASA	43.UNKNOWN	NAS5-98034	91,633
NASA	43.UNKNOWN	NNG08FD60C	5,415,661
NASA	43.UNKNOWN	NNH08IA03P	209,719
NASA	43.UNKNOWN	NNH11IA01P	29,200
NASA	43.UNKNOWN	NNH11IA02P	188,635
NASA	43.UNKNOWN	NNH-11-IA05P	(449)
NASA	43.UNKNOWN	W30912	(1,274)
NASA	43.001		7,202,786
NASA	43.008		71,543
NASA	43.009		277,276
Total NASA			<u>13,810,492</u>
<b>National Endowment for the Humanities</b>			
National Endowment for the Humanities	45.161		<u>37,087</u>
<b>National Science of Foundation</b>			
National Science Foundation	47.UNKNOWN	1158655	144,806
National Science Foundation	47.UNKNOWN	Nathan Albin	108
National Science Foundation	47.041		2,613,560
National Science Foundation	47.049		75,670,149
National Science Foundation	47.050		3,570,882
National Science Foundation	47.070		3,760,039
National Science Foundation	47.074		312,178
National Science Foundation	47.075		508,008
National Science Foundation	47.076		4,625,931
National Science Foundation	47.078		75,978

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant or Contract Number	Federal Expenditures
<b>Research and Development Cluster (Continued)</b>			
<b>Direct Funds (Continued)</b>			
<b>National Science of Foundation (Continued)</b>			
National Science Foundation	47.080		\$ 105,813
ARRA - National Science Foundation	47.082		<u>1,583,537</u>
Total National Science Foundation			<u>92,970,989</u>
Total Research and Development - Direct Funds			<u>215,751,927</u>
<b>Pass-Through Funds</b>		<b>Pass-Through Award Number</b>	
<b>Department of Agriculture</b>			
Citrus Research and Development Foundation, Inc.	10.309	13-009NU-788	<u>340,971</u>
<b>Department of Defense</b>			
<b>Air Force</b>			
Brown University	12.800	00000271	172,199
Brown University	12.800	00000553	182,500
Carnegie Mellon University	12.800	1150119-294707	147,274
Georgia Institute of Technology	12.800	RA740-G1	1,177
IBM Corporation	12.910	AH3.IBMH	524,240
Illinois Institute of Technology	12.800	SA374-0609-6071	57,371
Northwestern University	12.800	PROJ0003600	233,908
Ohio State University	12.800	RF01220513	178,674
Ohio State University	12.800	60035093/GRT00027335	105,290
Princeton University	12.800	00001720	129,191
Princeton University	12.800	00002050	186,949
Stanford University	12.800	29018150-51649-C	257,562
Texas Engineering Experiment Station	12.800	A5932	177,573
UES, Inc.	12.UNKNOWN	S-875-060-006	(57,352)
University of California Berkeley	12.800	00007817	144,655
University of California Los Angeles	12.910	0145 G PA422	44,699

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<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>Department of Defense (Continued)</b>			
<b>Air Force (Continued)</b>			
University of California Los Angeles	12.800	0160 G QA874	\$ 158,675
University of California San Diego	12.800	10312818	307,780
University of California Santa Barbara	12.800	KK1224	535,537
University of Missouri	12.800	C00039417-2	133,693
University of Notre Dame	12.800	201943	41,130
University of Southern California	12.800	34278403	81,828
University of Southern California	12.UNKNOWN	Y85620	<u>94,592</u>
Total Air Force Pass-Through			<u>3,839,145</u>
<b>Army</b>			
Cornell University	12.910	63222-9803	283,592
Gevo, Inc.	12.400	GEVO.JP8	25,650
Imaginative Technologies, LLC	12.400	IT-001	(4,976)
Johns Hopkins University	12.630	2001515018	871,356
Pennsylvania State University	12.431	3710-CIT-USA-0124	73,433
Tanner Research, Inc.	12.400	CALTECH-W911SR-12-C-0003	406,412
University of California Berkeley	12.431	00006095	335,989
University of California Davis	12.431	201301077-01	3,872
University of California San Diego	12.431	10296067	480,920
University of California Santa Barbara	12.UNKNOWN	KK9150	2,329,112
University of Illinois	12.420	2010-04699-03	36,010
University of Pennsylvania	12.910	561587	<u>124,165</u>
Total Army Pass-Through			<u>4,965,535</u>
<b>Navy</b>			
BAE Systems, Inc.	12.UNKNOWN	739533	153,768
Cascade Technologies Inc.	12.300	2010-7042	55,294
Columbia University	12.300	GG001604	99,494

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<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>Department of Defense (Continued)</b>			
<b>Navy (Continued)</b>			
John Hopkins University	12.300	2000868411	\$ 105,154
Massachusetts Institute of Technology	12.300	5710003358	120,150
Oceanit	12.300	002	22,982
University of California Los Angeles	12.300	1015 G NA127	135,825
University of California Los Angeles	12.300	0980 G PK234	85,804
University of California San Diego	12.300	10275845	57,539
University of Illinois	12.431	2009-03197-01	296,070
University of Pennsylvania	12.300	550162	<u>169,049</u>
Total Navy Pass-Through			<u>1,301,129</u>
<b>Defense Advanced Research Projects Agency</b>			
Aurrion, Inc	12.910	AURRION.EPHI	102,775
Duke University	12.910	12-DARPA-1071	54,568
HRL Laboratories, LLC	12.910	10008-002329	76,724
Johns Hopkins University	12.910	975379	810,754
Johns Hopkins University	12.910	2001253081	226
University of California Berkeley	12.910	00008161/BB00143380	147,302
University of California Berkeley	12.910	SA00007003	8,471
University of California Los Angeles	12.UNKNOWN	0142SQA028	79,668
University of California Los Angeles	12.910	0160 S MB894	21,477
University of California Los Angeles	12.910	0160 S MB961	9,022
University of California Los Angeles	12.910	0160 S MB962	12,589
University of California Los Angeles	12.910	Sub 0157 G PA105	394,011
University of California Santa Barbara	12.910	KK1123	<u>(23,970)</u>
Total Defense Advanced Research Projects Agency Pass-Through			<u>1,693,617</u>

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Pass-Through Award 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.UNKNOWN	330233-A	\$ 10,706
Kettering University	12.351	P0030022	(69)
Total Defense Threat Reduction Agency Pass-Through			<u>10,637</u>
Total Department of Defense Pass-Through			<u>11,810,063</u>
<b>Department of Energy</b>			
Advanced Cooling Technologies, Inc.	81.049	14074	180,580
Amerigon, Inc.	81.086	AMERGN.DOE	67,457
Argonne National Laboratory	81.UNKNOWN	2F-32261	34,358
Argonne National Laboratory	81.UNKNOWN	3F-30421	24,185
Argonne National Laboratory	81.UNKNOWN	3F-32381	3,045
Carnegie Institute	81.049	4-10114-02	93,869
Carnegie Institute	81.112	4-10469-02	63,493
Carnegie Institute	81.UNKNOWN	4-3253-02	44,205
Fermilab National Accelerator Laboratory	81.UNKNOWN	547138	222,094
Fermilab National Accelerator Laboratory	81.UNKNOWN	554897	90,250
Fermilab National Accelerator Laboratory	81.UNKNOWN	570788	151,564
Fermilab National Accelerator Laboratory	81.UNKNOWN	608659	57,802
Fermilab National Accelerator Laboratory	81.UNKNOWN	608666	863,899
Fermilab National Accelerator Laboratory	81.UNKNOWN	610159	46,346
Harvard University	81.049	130734-1	83,950
Krell Institute	81.UNKNOWN	KRELL.GRADPT	8,793
Lawrence Berkeley National Laboratory	81.UNKNOWN	7038034	30,577
Lawrence Berkeley National Laboratory	81.UNKNOWN	B597705	229,182
Lawrence Livermore National Laboratory	81.UNKNOWN	B604177	35,922
Los Alamos National Laboratory	81.UNKNOWN	118779-1	152,240
Los Alamos National Laboratory	81.UNKNOWN	197339-1	130,564
Los Alamos National Laboratory	81.UNKNOWN	217155-1/74372-001-09	52,401

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Pass-Through Award Number	Federal Expenditures
<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>Department of Energy (Continued)</b>			
National Security Technologies, LLC	81.UNKNOWN	146428	\$ 13,093
Northwestern University	81.087	SP0003300-PROJ0005791	11,305
Oak Ridge National Laboratory	81.UNKNOWN	4000103663	226,551
Oak Ridge National Laboratory	81.UNKNOWN	4000115818	117,311
Power Environmental & Energy Research	81.087	325601-001	(3,031)
Research Partnership to Secure Energy for America	81.UNKNOWN	08122-15	124,839
Sandia National Laboratories	81.UNKNOWN	1155749	40,794
Sandia National Laboratories	81.UNKNOWN	1263763	61,582
Sandia National Laboratories	81.UNKNOWN	1375108	32,062
Stanford University	81.UNKNOWN	DOE DE-AC02-76SF00515	84,527
Stanford University	81.087	60212342-51077-I	84,452
Telescent, Inc.	81.049	DE-SC0000915	45,884
Telescent, Inc.	81.049	DE-SC0000916	45,910
University of California Los Angeles	81.087	0980 G KK369	149,999
University of Delaware	81.049	21094	279,730
University of Illinois	81.049	2013-00236-02	8,821
University of Minnesota	81.135	A002601001	419,190
University of Virginia	81.049	GQ10044-134466	295,997
University of Washington	81.049	704095	45,492
Total Department of Energy Pass-Through			<u>4,751,284</u>
<b>Department of Homeland Security</b>			
City of Los Angeles	97.008	C-121968	3,921,180
University of Rhode Island	97.061	112208/0001865	45,593
Total Department of Homeland Security Pass-Through			<u>3,966,773</u>

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**Schedule of Expenditures of Federal Awards**  
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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Pass-Through Award Number	Federal Expenditures
<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	93.859	FY12196701	\$ 206,272
Benaroya Research Institute	93.859	FY13196701	99,058
Childrens Hospital Los Angeles	93.855	512	121,485
City of Hope	93.847	22614.914994.6692	(81,824)
City of Hope	93.701	22904.910176.6697	(1,691)
Fisher Bioservices	93.UNKNOWN	FBS-50035-14	42,573
Fors Marsh Group LLC	93.UNKNOWN	FORSM.FVAP	42,062
Harvard University	93.859	137384	50,188
Harvard University	93.310	138062-5061610	142,080
Hudsonalpha Institute for Biotechnology	93.172	2009-02	52,904
Hudsonalpha Institute for Biotechnology	93.172	2013-01	1,876,546
Jackson Laboratory	93.172	201132	102,785
Jackson Laboratory	93.172	671778	347,719
Massachusetts Institute of Technology	93.UNKNOWN	5700013163	(19,442)
Massachusetts Institute of Technology	93.279	5710002669	117,985
Northwestern University	93.397	60025344CIT	28,272
Pennsylvania State University	93.701	4071-CIT-DHHS-5573	(1,921)
Pennsylvania State University	93.859	4156-CIT-DHHS-5365	53,766
Pennsylvania State University	93.172	4564-CIT-DHHS-5573	(8,176)
Science Applications International Corporation	93.UNKNOWN	11XS287	1,273,114
The Scripps Research Institute	93.279	5-23851	96,477
The Scripps Research Institute	93.279	5-50129	50,570
University of California Los Angeles	93.286	0845 G KB564	278,182
University of California Los Angeles	93.853	0845 G MA557	8,609
University of California Riverside	93.859	S-000358	(71,666)
University of California San Diego	93.UNKNOWN	10291070	35,000
University of California San Diego	93.859	35698179/S9000124	185,332
University of Colorado Denver	93.242	FY10.083.002	208,657

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Pass-Through Award Number	Federal Expenditures
<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	FY10.083.003	\$ 151,310
University of Florida	93.859	UF09066	(3,110)
University of Georgia	93.855	RR182-364/4688608	80,997
University of Illinois	93.847	2012-01135-02	(4,306)
University of Kansas Center for Research, Inc	93.837	QL814611	(2,151)
University of Miami	93.395	660215/M178140	49,990
University of Miami	93.395	M162725	1,881
University of New Mexico	93.701	3R85Y	5,426
University of New Mexico	93.242	3RJ60	305,803
University of Southern California	93.859	159431	42,401
University of Southern California	93.837	162272	121,046
University of Southern California	93.395	50024836	25,969
University of Texas Sothwestern Medical Center	93.859	Cons. Agmt. dated 12/7/00	(1,389)
University of Utah	93.859	10003198-02	(19,751)
University of Utah	93.859	10027535-05	270,503
University of Utah	93.859	10027535-06	408,276
University of Wisconsin	93.273	198K505	21,831
University of Wisconsin	93.859	348K434	57,574
Total National Institutes of Health Pass-Through			<u>6,747,216</u>
Total Department of Health and Human Services Pass-Through			<u>6,747,216</u>
<b>Department of Interior</b>			
<b>United States Geological Survey (USGS)</b>			
Boston Fusion Corp.	15.UNKNOWN	BF-5008-SK001	46,812
Oceanit	15.UNKNOWN	001	148,081
University of Southern California	15.UNKNOWN	10014924	71,199
University of Southern California	15.808	Y80804	204,799
University of Southern California	15.808	Y86581	285,698
Total Department of the Interior			<u>756,589</u>

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<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>Department of State Bureau of Intelligence and Research</b>			
National Council for Eurasian and East European Research	19.300	826-06	\$ 8,742
<b>Department of Transportation</b>			
Virginia Tech	20.UNKNOWN	451030-19717	89,160
<b>National Aeronautics and Space Administration (NASA)</b>			
Analytical Mechanics Associates, Inc.	43.001	1601-TEAMS2-CAL	612,154
Carnegie Institution of Washington	43.001	7-10349-01	41,174
Center for the Advancement of Science in Space	43.001	GA-2013-101	91,135
EIC Laboratories Incorporated	43.001	EIC.PHASEII	34,377
Harvard University	43.001	131299-5039010	8,193
Johns Hopkins University	43.001	108898	97,254
Massachusetts Institute of Technology	43.001	5710002999	55,470
Massachusetts Institute of Technology	43.001	5710003277	26,338
Massachusetts Institute of Technology	43.001	5710003373	40,839
Massachusetts Institute of Technology	43.001	Subaward No. 5710002515	84,877
Monterey Bay Aquarium Research Institute	43.001	0910171	196,313
Near Space Corporation	43.001	4202	107,994
New Mexico State University	43.001	P0051129	165,498
Pennsylvania State University	43.001	3903-CIT-NASA-A76A	6,890
Princeton University	43.001	00002046	350,400
Smithsonian Astrophysical Observatory	43.001	DD2-13059X	116
Smithsonian Astrophysical Observatory	43.001	DD2-13060X	2,931
Smithsonian Astrophysical Observatory	43.001	DD2-13062X	11,630
Smithsonian Astrophysical Observatory	43.001	GO1-12122X	16,438
Smithsonian Astrophysical Observatory	43.001	GO2-13008X	30,408
Smithsonian Astrophysical Observatory	43.001	GO3-14052X	15,865
Smithsonian Astrophysical Observatory	43.001	GO3-14087X	5,119
Smithsonian Astrophysical Observatory	43.001	PF1-120089	103,591

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<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>National Aeronautics and Space Administration (NASA)</b>			
<b>(Continued)</b>			
Smithsonian Astrophysical Observatory	43.001	PF2-130099	\$ 103,907
Smithsonian Astrophysical Observatory	43.001	PF3-140114	10,709
Southwestern Research Institute	43.001	699047X	73,530
Southwestern Research Institute	43.001	699048X	110,645
Southwestern Research Institute	43.001	699049X	36,413
Southwestern Research Institute	43.001	D99029L	1,111,264
Space Telescope Science Institute	43.001	48178	50,000
Space Telescope Science Institute	43.001	HST-AR-11769.02-A	16,379
Space Telescope Science Institute	43.001	HST-AR-12154.08-A	30,210
Space Telescope Science Institute	43.001	HST-AR-12636.04-A	5,310
Space Telescope Science Institute	43.001	HST-AR-12655.01-A	12,086
Space Telescope Science Institute	43.001	HST-G0-11702.04-A	11,458
Space Telescope Science Institute	43.001	HST-G0-11708.07-A	16,436
Space Telescope Science Institute	43.001	HST-G0-12534.01-A	110,760
Space Telescope Science Institute	43.001	HST-G0-12568.08-A	248
Space Telescope Science Institute	43.001	HST-GO-11610.02-A	6,618
Space Telescope Science Institute	43.001	HST-GO-11616.07-A	2,645
Space Telescope Science Institute	43.001	HST-GO-11622.01-A	6,972
Space Telescope Science Institute	43.001	HST-GO-11636.13-A	50,532
Space Telescope Science Institute	43.001	HST-GO-11638.01-A	6,789
Space Telescope Science Institute	43.001	HST-GO-11644.01-A	3,416
Space Telescope Science Institute	43.001	HST-GO-11696.09-A	110
Space Telescope Science Institute	43.001	HST-GO-11971.02-A	1,155
Space Telescope Science Institute	43.001	HST-GO-12055.21-A	15,823
Space Telescope Science Institute	43.001	HST-GO-12060.49-A	(9,871)
Space Telescope Science Institute	43.001	HST-GO-12177.04-A	7,644
Space Telescope Science Institute	43.001	HST-GO-12181.13-A	19,240
Space Telescope Science Institute	43.001	HST-GO-12197.01-A	4,698
Space Telescope Science Institute	43.001	HST-GO-12223.03-A	10,385
Space Telescope Science Institute	43.001	HST-GO-12233.01-A	22,893

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, 2013**

<b>Federal Grantor/Pass-Through Grantor/Program Title</b>	<b>Federal CFDA Number</b>	<b>Pass-Through Award Number</b>	<b>Federal Expenditures</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	43.001	HST-GO-12234.02-A	\$ 3,116
Space Telescope Science Institute	43.001	HST-GO-12265.02-A	1,855
Space Telescope Science Institute	43.001	HST-GO-12283.08-A	11,236
Space Telescope Science Institute	43.001	HST-GO-12298.01-A	7,085
Space Telescope Science Institute	43.001	HST-GO-12330.01-A	(4,745)
Space Telescope Science Institute	43.001	HST-GO-12473.11-A	1,084
Space Telescope Science Institute	43.001	HST-GO-12495.02-A	15,555
Space Telescope Science Institute	43.001	HST-GO-12498.01-A	125,547
Space Telescope Science Institute	43.001	HST-GO-12524.04-A	10,469
Space Telescope Science Institute	43.001	HST-GO-12542.11-A	4,998
Space Telescope Science Institute	43.001	HST-GO-12659.01-A	2,658
Space Telescope Science Institute	43.001	HST-GO-12927.02-A	58,359
Space Telescope Science Institute	43.001	HST-GO-12949.01-A	9,236
Space Telescope Science Institute	43.001	HST-GO-12960.01-A	37,776
Space Telescope Science Institute	43.001	HST-GO-13006.01-A	2,218
Space Telescope Science Institute	43.001	HST-GO-13007.01-A	29,034
Space Telescope Science Institute	43.001	HST-GO-13021.03-A	1,006
Space Telescope Science Institute	43.001	HST-GO-13025.01-A	7,019
Space Telescope Science Institute	43.001	HST-HF-51256.01-A	5,710
Space Telescope Science Institute	43.001	HST-HF-51296.01-A	95,793
Space Telescope Science Institute	43.001	HST-HF-51313.01-A	93,095
Space Telescope Science Institute	43.001	STI-506645 / T047844	112,386
TAO of Systems Engineering, Inc.	43.001	101D021312	29,201
United Negro College Fund	43.001	UNCF.KATHLEEN	32,000
Universities Space Research Association	43.001	02212-01	60,914
Universities Space Research Association	43.001	08521-017	169,204
Universities Space Research Association	43.001	SOF-0084	11,521
Universities Space Research Association	43.001	USRA.000123	9,915
Universities Space Research Association	43.001	USRA.000456	11,782
University of Arizona	43.001	30981	9,726
University of California Berkeley	43.001	SA2715-26309	134,033
University of California Los Angeles	43.001	0995-S-MA048	55,630

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, 2013**

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Pass-Through Award 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>			
University of California San Diego	43.001	32377315	\$ 39,824
University of California Irvine	43.001	2010-2483	70,866
University of Houston	43.001	R-13-0027	32,821
University of Southern California	43.001	38485892	5,516
University of Washington	43.001	596856	10,939
University of Wisconsin-Milwaukee	43.001	474K961	3,550
Washington University in St. Louis	43.001	WU-HT-10-14/2911192A	<u>18,703</u>
Total National Aeronautics and Space Administration Pass-Through			<u>5,290,043</u>
<b>National Science Foundation</b>			
Arizona State University	47.041	12-729	328,732
California Association For Research In Astronomy	47.UNKNOWN	PO 24565	11,038
Carnegie Mellon University	47.079	1121550-259731	281,328
College of William and Mary	47.049	713951-712687	70,337
Computing Research Association	47.070	CIF-C-202	(2,551)
Consortium for Ocean Leadership	47.050	T339A89	532
Cornell University	47.049	46514-8592	(427)
Cornell University	47.049	63433-10071	18,235
Emory University	47.049	T082424	113,707
Harvard University	47.078	131268	4,890
Harvard University	47.078	5064956-131340	325,334
Incorporated Research Institute for Seismology	47.050	38-GSN	21,884
Incorporated Research Institute for Seismology	47.050	46-DMS	15,223
Internet2	47.082	109-01	100,745
Large Synoptic Survey Telescope Corporation	47.049	C44040L	234,994
LC Vision, LLC	47.041	IIP-1058604	6,744
Louisiana State University	47.082	55893	2,485
Louisiana State University	47.080	62973	130,595

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, 2013**

<b>Federal Grantor/Pass-Through Grantor/Program Title</b>	<b>Federal CFDA Number</b>	<b>Pass-Through Award 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>			
National Bureau of Economic Research, Inc.	47.075	34-3519-02-0-79-981	\$ 48,296
National Radio Astronomy Observatory	47.UNKNOWN	337416	8,039
National Radio Astronomy Observatory	47.UNKNOWN	337419	9,190
National Radio Astronomy Observatory	47.UNKNOWN	339014	41,014
National Radio Astronomy Observatory	47.UNKNOWN	339998	126
National Radio Astronomy Observatory	47.UNKNOWN	340516	31,127
National Radio Astronomy Observatory	47.UNKNOWN	341271	3,000
National Radio Astronomy Observatory	47.UNKNOWN	341472	14,747
New Jersey Institute	47.082	995614	104,922
New Jersey Institute	47.049	NJIT.EXPANOPS	47,765
Princeton University	47.049	00002009	753,370
Protabit LLC	47.041	CIT1215234	49,999
Protabit LLC	47.041	P-1332185	49,164
Stanford University	47.082	24472250-44193-B	42,165
Stanford University	47.082	25315690-46990-A	87,758
Stanford University	47.049	60078899-105579-C	140,891
University of Arizona	47.041	Y502628	34,758
University of California Berkeley	47.041	00007090	61,543
University of California Los Angeles	47.082	0995 G PB241	3,532
University of California, Davis	47.050	200911281-03	463
University of Connecticut	47.041	7150	15,921
University of Southern California	47.041	H31068	180,145
University of Southern California	47.050	Y86197	31,912
University of Wisconsin-Milwaukee	47.049	123405532	69,620
University of Wisconsin-Milwaukee	47.049	K083644	6,240
Virtual Astronomical Observatory, Inc.	47.049	2010-08(1)	230,544
W.M. Keck Observatory	47.049	10339	376,244
W.M. Keck Observatory	47.049	10742	(160,563)

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, 2013**

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Pass-Through Award Number	Federal Expenditures
<b>Research and Development Cluster (Continued)</b>			
<b>Pass-Through Funds (Continued)</b>			
<b>National Science Foundation (Continued)</b>			
W.M. Keck Observatory	47.049	11523	\$ 1,725,080
Washington University	47.041	120239 G003227	<u>668</u>
Total National Science Foundation - Pass-Through Funds			<u>5,671,505</u>
Total Research and Development - Pass-Through Funds			<u>39,432,346</u>
Total Research and Development Cluster			<u>255,184,273</u>
			<u>255,184,273</u>
 <b>Student Financial Aid Cluster</b>			
<b>Direct Funds</b>			
<b>Department of Education</b>			
Federal Work Study Program	84.033		421,862
Federal Supplemental Educational Opportunity Grant	84.007		420,347
Federal Pell Grant Program	84.063		<u>446,461</u>
Total Student Financial Aid Cluster			<u>1,288,670</u>
Total Expenditures of Federal Awards			<u><u>\$ 256,472,943</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, 2013

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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. The awards set forth in this Schedule do not include amounts related to the Jet Propulsion Laboratory ("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.

##### **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, 2013, except those related to JPL. 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. Actual incurred costs for the year ended September 30, 2007 have been audited by DCAA but not yet finalized 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 audits will not have a material impact on the Schedule. An incurred cost rate audit will not be required for FY 2008, 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, 2013

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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.

#### 2. Loan Advances

During the year ended September 30, 2013, the Institute advanced loans totaling \$900,715 for the Federal Perkins Loan Program (CFDA Number 84.038). The outstanding balance at September 30, 2013 was \$4,873,089. 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 \$91,969 of administrative cost allowance to the Federal Perkins Loan Program for the year ended September 30, 2013. The amount of Federal Perkins Loan principal cancelled (CFDA Number 84.037) during the year ended September 30, 2013 was \$2,719.

#### 3. Federal Direct Loan Program

During the year ended September 30, 2013, the Institute processed \$921,087 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 (excluding origination fees) was \$895,350. There are no outstanding balances under these loan programs.

#### 4. Transfers

During the year ended September 30, 2013, the Institute transferred \$128,966 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, 2013, there were no FWS carry-forwards from the year ended September 30, 2012. The Institute carried back \$33,481 from the year ended September 30, 2013 that was spent in the year ended September 30, 2012. The Institute carried back to the year ended September 30, 2013, \$404 from year ending September 30, 2014. 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, 2013.

**California Institute of Technology**  
**Notes to Schedule of Expenditures of Federal Awards**  
**For the Year Ended September 30, 2013**

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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	\$ 1,425,405
Army Research Office	1,036,050
Defense Advanced Research Projects Agency	1,359,500
US Navy	451,215
	<u>4,272,170</u>
<b>Department of Energy</b>	
Department of Energy	<u>1,584,949</u>
<b>Department of Health and Human Services</b>	
National Institutes of Health	<u>9,585,815</u>
<b>Environmental Protection Agency</b>	
Environmental Protection Agency	<u>166,499</u>
<b>National Aeronautics &amp; Space Administration</b>	
National Aeronautics & Space Administration	4,993,807
Space Telescope Science Institute	16,436
	<u>5,010,243</u>
<b>National Science Foundation</b>	
National Science Foundation	<u>9,625,724</u>
<b>United States Geological Survey</b>	
United States Geological Survey	<u>4,050</u>
Total Amount Provided to Subrecipients	<u>\$ 30,249,450</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.