

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, 2014

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant/Contract or Pass-Through Number	Federal Expenditures
Research and Development Cluster			
Direct Funds			
Agency for International Development			
Agency for International Development	98.UNKNOWN	00012MO000602	<u>\$ (6)</u>
Department of Commerce			
National Institute of Standards and Technology	11.609		133,687
National Oceanic & Atmospheric Administration	11.431		<u>117,415</u>
Total Department of Commerce			<u>251,102</u>
Department of Defense			
Air Force	12.300		241,511
Air Force	12.630		1,099,501
Air Force	12.800		4,476,140
Air Force	12.910		59,496
Army	12.420		22,385
Army	12.431		3,580,005
Army	12.910		357,486
Defense Threat Reduction Agency	12.351		372,321
Defense Advanced Research Project Agency	12.UNKNOWN	W30950	224,287
Defense Advanced Research Project Agency	12.431		48,269
Defense Advanced Research Projects Agency	12.910		5,920,205
National Geospatial-Intelligence Agency	12.630		43,962
Navy	12.300		3,471,450
Navy	12.910		<u>659,915</u>
Total Department of Defense			<u>20,576,933</u>

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Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant/Contract or Pass-Through Number	Federal Expenditures
Research and Development Cluster (Continued)			
Direct Funds (Continued)			
Department of Energy			
Department of Energy	81.UNKNOWN	IPA CHANNING AHN	\$ 128,496
Department of Energy	81.049		20,680,699
Department of Energy	81.064		203,547
Department of Energy	81.087		3,861
Department of Energy	81.112		226,996
Department of Energy	81.117		120,000
Department of Energy	81.124		150,754
Department of Energy	81.135		<u>1,153,866</u>
Total Department of Energy			<u>22,668,219</u>
Department of Homeland Security			
Homeland Security Advanced Research Projects Agency	97.UNKNOWN	HSHQDC-08-C-00038	<u>103,308</u>
Department of Health and Human Services			
National Institutes of Health	93.077		683
National Institutes of Health	93.121		467,288
National Institutes of Health	93.172		3,205,750
National Institutes of Health	93.173		634,970
National Institutes of Health	93.242		3,194,779
National Institutes of Health	93.279		3,370,016
National Institutes of Health	93.286		1,525,560
National Institutes of Health	93.310		8,392,570
National Institutes of Health	93.351		691
National Institutes of Health	93.389		708,886
National Institutes of Health	93.395		4,210,474

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Research and Development Cluster (Continued)			
Direct Funds (Continued)			
Department of Health and Human Services (Continued)			
National Institutes of Health	93.396		\$ 607,003
National Institutes of Health	93.397		2,420,654
National Institutes of Health	93.398		173,688
National Institutes of Health	93.837		116,815
National Institutes of Health	93.838		583,838
National Institutes of Health	93.846		4,366
National Institutes of Health	93.847		927,555
National Institutes of Health	93.853		3,367,166
National Institutes of Health	93.855		5,351,315
National Institutes of Health	93.859		16,316,583
National Institutes of Health	93.865		4,434,044
National Institutes of Health	93.866		263,380
National Institutes of Health	93.867		<u>1,569,981</u>
Total Department of Health and Human Services			<u>61,848,055</u>
Department of the Interior			
United States Geological Survey	15.UNKNOWN	4500047679	112,686
United States Geological Survey	15.UNKNOWN	4500072148	1,425
United States Geological Survey	15.807		1,707,033
United States Geological Survey	15.808		<u>658,569</u>
Total Department of the Interior			<u>2,479,713</u>

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Research and Development Cluster (Continued)			
Direct Funds (Continued)			
Environmental Protection Agency			
United States Environmental Protection Agency (EPA)	66.509		\$ 16,545
United States Environmental Protection Agency (EPA)	66.514		<u>20,450</u>
Total Environmental Protection Agency			<u>36,995</u>
General Services Administration			
General Services Administration	39.UNKNOWN	GP0478497	<u>231,636</u>
National Aeronautics and Space Administration (NASA)			
NASA	43.UNKNOWN	NAG5-11851	(176)
NASA	43.UNKNOWN	JSCNNJ13ZA01P	158,384
NASA	43.UNKNOWN	JSCNNJ13ZA02P	56,931
NASA	43.UNKNOWN	NNG08FD60C	3,850,785
NASA	43.UNKNOWN	NNH11IA02P	159,299
NASA	43.UNKNOWN	NNH08IA03P	99,537
NASA	43.UNKNOWN	NNH11IA01P	(16)
NASA	43.001		6,994,892
NASA	43.002		35,412
NASA	43.008		289,842
NASA	43.009		<u>364,043</u>
Total NASA			<u>12,008,933</u>
National Endowment for the Humanities			
National Endowment for the Humanities	45.161		<u>77,637</u>

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Research and Development Cluster (Continued)			
Direct Funds (Continued)			
National Science of Foundation			
National Science Foundation	47.UNKNOWN	1400366	\$ 195,379
National Science Foundation	47.UNKNOWN	1158655	125,018
National Science Foundation	47.041		3,464,852
National Science Foundation	47.049		66,432,692
National Science Foundation	47.050		4,158,066
National Science Foundation	47.070		3,111,031
National Science Foundation	47.074		386,847
National Science Foundation	47.075		495,391
National Science Foundation	47.076		4,639,166
National Science Foundation	47.078		63,177
National Science Foundation	47.080		304,730
ARRA - National Science Foundation	47.082		<u>232,586</u>
Total National Science Foundation			<u>83,608,935</u>
Total Research and Development - Direct Funds			<u>203,891,460</u>
Pass-Through Funds			
Agency for International Development			
Development Alternatives, Inc.	98.UNKNOWN	1001624-13S-19790	<u>232,921</u>
Department of Agriculture			
Citrus Research and Development Foundation, Inc.	10.309	13-009NU-788	<u>313,991</u>

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Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
Department of Defense			
Air Force			
Brown University	12.800	00000271	\$ 220,379
Brown University	12.800	00000553	169,191
Carnegie Mellon University	12.800	1150119-294707	213,336
IBM Corporation	12.910	AH3.IBMH	377,080
Illinois Institute of Technology	12.800	SA374-0609-6071	1,489
Massachusetts Institute of Technology	12.800	5710003606	131,979
Northwestern University	12.800	PROJ0003600	19,234
Ohio State University	12.800	RF01220513	136,762
Ohio State University	12.800	60035093/GRT00027335	73,088
Princeton University	12.800	00001720	110,673
Princeton University	12.800	00002050	121,138
Stanford University	12.800	29018150-51649-C	261,739
Texas Engineering Experiment Station	12.800	A5932	2,383
University of California Berkeley	12.800	00007817	176,837
University of California Los Angeles	12.800	0160 G QA874	84,569
University of California San Diego	12.800	10312818	267,447
University of California Santa Barbara	12.800	KK1224	373,694
University of Missouri	12.800	C00039417-2	3,432
University of Missouri	12.800	C00043936-2	36,131
University of Notre Dame	12.800	201943	112,747
University of Southern California	12.800	34278403	144,842
University of Southern California	12.UNKNOWN	Y85620	<u>90,139</u>
Total Air Force Pass-Through			<u>3,128,309</u>

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Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
Department of Defense (Continued)			
Army			
Cornell University	12.910	63222-9803	\$ 140,360
Johns Hopkins University	12.630	2001515018	944,038
Tanner Research, Inc.	12.400	CALTECH-W911SR-12-C-0003	4,995
University of California Davis	12.431	201301077-01	210,901
University of California Santa Barbara	12.UNKNOWN	KK1502	10,696
University of California Santa Barbara	12.UNKNOWN	KK9150	1,859,306
University of Illinois	12.420	2009-03197-01	124,168
University of Illinois	12.420	2010-04699-03	241,741
University of Pennsylvania	12.910	561587	<u>659,708</u>
Total Army Pass-Through			<u>4,195,913</u>
Navy			
BAE Systems, Inc.	12.UNKNOWN	739533	158,213
Columbia University	12.300	GG001604	30,251
Johns Hopkins University	12.300	2000868411	14,883
Johns Hopkins University	12.300	975379	871,340
Massachusetts Institute of Technology	12.300	5710003358	132,507
University of California Los Angeles	12.300	0980 G RE457	134,067
University of California Los Angeles	12.300	0980 G SB033	7,061
University of California Los Angeles	12.300	0980 G PK234	229,621
University of California Los Angeles	12.300	1015 G NA127	179,165
University of Pennsylvania	12.300	550162	<u>20,401</u>
Total Navy Pass-Through			<u>1,777,509</u>

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Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
Department of Defense (Continued)			
Defense Advanced Research Projects Agency			
Duke University	12.910	12-DARPA-1071	\$ 182,915
HRL Laboratories, LLC	12.910	10008-002329	88,438
Hughes Research Laboratory	12.910	9085-303500-DS	74,233
University of California Berkeley	12.910	00008161/BB00143380	355,522
University of California Los Angeles	12.UNKNOWN	0142SQA028	255,290
University of California Los Angeles	12.910	Sub 0157 G PA105	88,748
University of California San Diego	12.431	10296067	(9,970)
University of California Santa Barbara	12.910	KK1123	<u>(173)</u>
Total Defense Advanced Research Projects Agency Pass-Through			<u>1,035,003</u>
Defense Threat Reduction Agency			
Kettering University	12.UNKNOWN	330233-A	<u>51,848</u>
Total Defense Threat Reduction Agency Pass-Through			<u>51,848</u>
Total Department of Defense Pass-Through			<u>10,188,582</u>

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Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
Department of Energy			
Advanced Cooling Technologies, Inc.	81.049	14074	\$ (375)
Amerigon, Inc.	81.086	AMERGN.DOE	79,499
Argonne National Laboratory	81.UNKNOWN	3F-30421	29,581
Argonne National Laboratory	81.UNKNOWN	3F-32381	37,350
Arizona State University	81.087	14-377	127,376
Carnegie Institute	81.049	4-10114-02	94,365
Carnegie Institute	81.112	4-10469-02	106,351
Fermilab National Accelerator Laboratory	81.UNKNOWN	547138	82,883
Fermilab National Accelerator Laboratory	81.UNKNOWN	554897	83,556
Fermilab National Accelerator Laboratory	81.UNKNOWN	570788	238,185
Fermilab National Accelerator Laboratory	81.UNKNOWN	608659	13,848
Fermilab National Accelerator Laboratory	81.UNKNOWN	608666	1,137,454
Fermilab National Accelerator Laboratory	81.UNKNOWN	610159	14,619
Fermilab National Accelerator Laboratory	81.UNKNOWN	612044	37,340
Fermilab National Accelerator Laboratory	81.UNKNOWN	613639	36,876
Fermilab National Accelerator Laboratory	81.UNKNOWN	615210	84,618
Harvard University	81.049	130734-1	123
Krell Institute	81.UNKNOWN	KRELL.GRADPT	7,017
Krell Institute	81.UNKNOWN	KRELL.KLEISER	1,000
Lawrence Berkeley National Laboratory	81.UNKNOWN	6927580	1,647
Lawrence Berkeley National Laboratory	81.UNKNOWN	7038034	33,595
Lawrence Berkeley National Laboratory	81.UNKNOWN	7080503	100,000
Lawrence Berkeley National Laboratory	81.UNKNOWN	B597705	152,973
Lawrence Berkeley National Laboratory	81.UNKNOWN	B602077	13,929
Los Alamos National Laboratory	81.UNKNOWN	259078	128,612
Los Alamos National Laboratory	81.UNKNOWN	273448	106,627
Los Alamos National Laboratory	81.UNKNOWN	118779-1	(372)

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Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
Department of Energy (Continued)			
Los Alamos National Laboratory	81.UNKNOWN	217155-1/74372-001-09	\$ 65,330
National Security Technologies, LLC	81.UNKNOWN	146428	38,766
Northwestern University	81.087	SP0024973-PROJ0007275	122,679
Oak Ridge National Laboratory	81.UNKNOWN	4000103663	138,023
Oak Ridge National Laboratory	81.UNKNOWN	4000115818	166,123
Protabit LLC	81.049	P-0011396	62,439
Sandia National Laboratories	81.UNKNOWN	1263763	13,418
Sandia National Laboratories	81.UNKNOWN	1375108	4,073
Sandia National Laboratories	81.UNKNOWN	1416776	11,385
Stanford University	81.UNKNOWN	DOE DE-AC02-76SF00515	21,019
Stanford University	81.087	60212342-51077-I	236,365
Telescent, Inc.	81.049	11404	5,838
University of Delaware	81.049	21094	136,673
University of Delaware	81.049	37733	6,942
University of Minnesota	81.135	A002601001	410,358
University of Washington	81.049	704095	68,460
University of Virginia	81.049	GQ10044-134466	<u>281,314</u>
Total Department of Energy Pass-Through			<u>4,537,882</u>
Department of Health and Human Services			
Center for Disease Control			
Aerosol Dynamics, Inc	93.262	3169	<u>48,554</u>

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Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
Department of Health and Human Services (Continued)			
National Institutes of Health			
Benaroya Research Institute	93.859	FY12196701	\$ (413)
Benaroya Research Institute	93.859	FY13196701	104,356
Children's Hospital Los Angeles	93.855	000480	74,092
Children's Hospital Los Angeles	93.855	512	87,801
City of Hope	93.847	22614.914994.6692	(6,349)
City of Hope	93.701	51013.914960.6692	44,961
Doheny Eye Institute	93.867	12059-CT	97,476
Harvard University	93.310	138062-5061610	291,718
Hudsonalpha Institute for Biotechnology	93.172	2013-01	2,078,326
Jackson Laboratory	93.172	201132	200,872
Jackson Laboratory	93.172	202909	187,929
Massachusetts Institute of Technology	93.279	5710002669	95,995
Mount Sinai School of Medicine	93.UNKNOWN	0258-3615 / HHSN272201000054C	42,889
Northwestern University	93.397	60025344CIT	72,979
Princeton University	93.397	00002053	25,000
Science Applications International Corporation	93.UNKNOWN	11XS287	697,695
Symbiotix Biotherapies, Inc.	93.847	SBI-003	3,416
The Scripps Research Institute	93.279	5-50129	43,539
The Scripps Research Institute	93.279	5-50657	48,276
University of California Los Angeles	93.286	0845 G KB564	156,004
University of California Los Angeles	93.853	0845 G MA557	(137)
University of California Los Angeles	93.837	1564GRA556	62,953
University of California Los Angeles	93.853	0845 G MA557	90,190
University of California San Diego	93.859	35698179/S9000124	(11)
University of Colorado Denver	93.242	FY10.083.002	234,655

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Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
Department of Health and Human Services (Continued)			
National Institutes of Health (Continued)			
University of Colorado Denver	93.242	FY10.083.003	\$ 78,994
University of Illinois	93.847	2012-01135-02	82,808
University of Kansas Center for Research, Inc	93.310	FY2014-061	30,630
University of Miami	93.395	660215/MR82521	147,983
University of New Mexico	93.701	3R85Y	(604)
University of New Mexico	93.242	3RJ60	186,759
University of Southern California	93.859	159431	110,487
University of Southern California	93.837	56294097	259,410
University of Utah	93.859	10027535-05	372,848
University of Utah	93.859	10027535-06	434,661
University of Wisconsin	93.859	348K434	<u>64,650</u>
Total National Institutes of Health Pass-Through			<u>6,502,838</u>
Total Department of Health and Human Services Pass-Through			<u>6,551,392</u>
Department of Interior			
United States Geological Survey (USGS)			
Boston Fusion Corp.	15.UNKNOWN	BF-5008-SK001	3,648
Oceanit	15.UNKNOWN	001	1,919
University of Southern California	15.808	Y80804	99,925
University of Southern California	15.808	Y86581	<u>233,323</u>
Total Department of the Interior			<u>338,815</u>

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Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
Department of Transportation			
Virginia Tech	20.UNKNOWN	451030-19717	\$ 36,434
National Aeronautics and Space Administration (NASA)			
Analytical Mechanics Associates, Inc.	43.001	1601-TEAMS2-CAL	24,184
Carnegie Institution of Washington	43.001	7-10349-01	43,851
Center for the Advancement of Science in Space	43.001	GA-2013-101	229,999
Harvard University	43.001	131299-5039010	15,078
Harvard University	43.001	131396-5071107	2,153
Johns Hopkins University	43.001	108898	42,018
Johns Hopkins University	43.001	2002128886	13,460
Massachusetts Institute of Technology	43.001	5710002999	7,563
Massachusetts Institute of Technology	43.001	5710003277	22,978
Massachusetts Institute of Technology	43.001	5710003373	100,713
Monterey Bay Aquarium Research Institute	43.001	0910171	18,100
Near Space Corporation	43.001	4202	5,482
New Mexico State University	43.001	P0051129	7,109
New Mexico State University	43.001	P0132182	145,147
Pennsylvania State University	43.001	3903-CIT-NASA-A76A	43,170
Princeton University	43.001	00002046	270,983
Smithsonian Astrophysical Observatory	43.001	DD2-13062X	569
Smithsonian Astrophysical Observatory	43.001	DD3-14069X	14,261
Smithsonian Astrophysical Observatory	43.001	GO1-12122X	7,885
Smithsonian Astrophysical Observatory	43.001	GO2-13008X	23,891
Smithsonian Astrophysical Observatory	43.001	GO3-14052X	11,400
Smithsonian Astrophysical Observatory	43.001	GO3-14087X	11,007

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Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
National Aeronautics and Space Administration (NASA)			
(Continued)			
Smithsonian Astrophysical Observatory	43.001	GO3-14091A	\$ 3,350
Smithsonian Astrophysical Observatory	43.001	PF1-120089	125,429
Smithsonian Astrophysical Observatory	43.001	PF2-130099	94,020
Smithsonian Astrophysical Observatory	43.001	PF3-140114	84,527
Smithsonian Astrophysical Observatory	43.001	PF4-150124	26,525
Southwestern Research Institute	43.001	1415GC0042	12,064
Southwestern Research Institute	43.001	699047X	90,223
Southwestern Research Institute	43.001	699048X	84,838
Southwestern Research Institute	43.001	699049X	39,277
Southwestern Research Institute	43.001	D99029L	1,651,653
Space Telescope Science Institute	43.001	HST-AR-13345.01-A	12,661
Space Telescope Science Institute	43.001	HST-AR-11769.02-A	28,915
Space Telescope Science Institute	43.001	HST-GO-12495.02-A	3,327
Space Telescope Science Institute	43.001	HST-GO-12888.01-A	3,424
Space Telescope Science Institute	43.001	HST-AR-12636.04-A	(58)
Space Telescope Science Institute	43.001	HST-GO-11702.04-A	3,155
Space Telescope Science Institute	43.001	HST-GO-12568.08-A	19,191
Space Telescope Science Institute	43.001	HST-GO-11622.01-A	27,278
Space Telescope Science Institute	43.001	HST-GO-12060.49-A	52,313
Space Telescope Science Institute	43.001	HST-GO-12177.04-A	20,665
Space Telescope Science Institute	43.001	HST-GO-12181.13-A	912
Space Telescope Science Institute	43.001	HST-GO-12197.01-A	5,605
Space Telescope Science Institute	43.001	HST-GO-12223.03-A	7,963
Space Telescope Science Institute	43.001	HST-GO-12234.02-A	2,746
Space Telescope Science Institute	43.001	HST-GO-12283.08-A	60,691
Space Telescope Science Institute	43.001	HST G0-12286.04-A	60,427

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Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
National Aeronautics and Space Administration (NASA)			
(Continued)			
Space Telescope Science Institute	43.001	HST-GO-12330.01-A	\$ 30,701
Space Telescope Science Institute	43.001	HST-GO-12481.001-A	102,027
Space Telescope Science Institute	43.001	HST-GO-12490.03-A	3,366
Space Telescope Science Institute	43.001	HST-GO-12498.01-A	61,255
Space Telescope Science Institute	43.001	HST-GO-12524.04-A	8,489
Space Telescope Science Institute	43.001	HST-GO-12534.001-A	47,085
Space Telescope Science Institute	43.001	HST-GO-12659.01-A	402
Space Telescope Science Institute	43.001	HST-GO-12927.02-A	(5,045)
Space Telescope Science Institute	43.001	HST-GO-12949.01-A	33,420
Space Telescope Science Institute	43.001	HST-GO-13006.01-A	24,852
Space Telescope Science Institute	43.001	HST-GO-13007.01-A	58,984
Space Telescope Science Institute	43.001	HST-GO-13025.01-A	4,914
Space Telescope Science Institute	43.001	HST-HF-51296.01-A	96,903
Space Telescope Science Institute	43.001	HST-HF-51313.01-A	95,777
Space Telescope Science Institute	43.001	HST-GO-13294.001-A	715
Space Telescope Science Institute	43.001	HST-GO-13389.08-A	14,368
Space Telescope Science Institute	43.001	HST-GO-13431-001-A	303
Space Telescope Science Institute	43.001	HST-GO-13501.01-A	7,116
Space Telescope Science Institute	43.001	HST-GO-13621.002-A	1,089
Space Telescope Science Institute	43.001	HST-HF2-51334.001-A	115,946
Space Telescope Science Institute	43.001	STI-506645 / T047844	349,629
TAO of Systems Engineering, Inc.	43.001	TAO2014	40,000
United Negro College Fund	43.001	UNCF.KATHLEEN	25,500
Universities Space Research Association	43.001	02212-01	34,635
Universities Space Research Association	43.001	08521-017	180,415

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, 2014

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant/Contract or Pass-Through Number	Federal Expenditures
Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
National Aeronautics and Space Administration (NASA)			
(Continued)			
Universities Space Research Association	43.001	SOF-0084	\$ 20,479
Universities Space Research Association	43.001	USRA.000123	2,077
Universities Space Research Association	43.001	USRA.3CR1303	2,000
University of Arizona	43.001	30981	(12)
University of California Berkeley	43.001	SA2715-26309	126,852
University of California San Diego	43.001	32377315	56,475
University of California Irvine	43.001	2010-2483	57,857
University of Colorado Boulder	43.001	1551484	1,732
University of Houston	43.001	R-13-0027	54,263
University of Southern California	43.001	38485892	122,926
University of Wisconsin-Milwaukee	43.001	474K961	<u>23,758</u>
Total National Aeronautics and Space Administration Pass-Through			<u>5,383,375</u>
National Science Foundation			
Arizona State University	47.041	12-729	355,764
Carnegie Mellon University	47.079	1121550-259731	303,883
Consortium for Ocean Leadership	47.050	SAF-13-05	29,887
Consortium for Ocean Leadership	47.050	T337A89	13,388
Consortium for Ocean Leadership	47.050	T351A89	89,742
Cornell University	47.049	63433-10071	3,525
Emory University	47.049	T259306	122,543

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, 2014

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant/Contract or Pass-Through Number	Federal Expenditures
Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
National Science Foundation (Continued)			
Harvard University	47.078	5064956-131340	\$ 252,924
Incorporated Research Institute for Seismology	47.050	38-GSN	82
Incorporated Research Institute for Seismology	47.050	90-CalTech-ECBB	65,353
Large Synoptic Survey Telescope Corporation	47.049	C44040L	234,120
Louisiana State University	47.080	62973	146,840
National Bureau of Economic Research, Inc.	47.075	343586010799817700	42,489
National Radio Astronomy Observatory	47.UNKNOWN	339998	5,874
National Radio Astronomy Observatory	47.UNKNOWN	340516	31,660
National Radio Astronomy Observatory	47.UNKNOWN	341271	6,595
National Radio Astronomy Observatory	47.UNKNOWN	341472	19,746
New Jersey Institute	47.049	NJIT.EXPANOPS	6,926
Princeton University	47.049	00002009	670,178
Protabit LLC	47.041	1332185	130,421
Protabit LLC	47.041	1346523	61,019
Protabit LLC	47.041	Do not use	(49,164)
Stanford University	47.082	24472250-44193-B	148
Stanford University	47.082	25315690-46990-A	(202)
Stanford University	47.049	60078899-105579-C	180,480
University of Arizona	47.041	Y502628	54,437
University of California Berkeley	47.041	00007090	75,741
University of California San Francisco	47.041	7726sc	42,200
University of Connecticut	47.041	7150	20,369
University of Maryland	47.049	Z416701	34,466
University of Michigan	47.049	3002828221	31,526
University of Minnesota	47.050	A003176705	29,648
University of Minnesota	47.049	A003778901	9,281

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, 2014

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant/Contract or Pass-Through Number	Federal Expenditures
Research and Development Cluster (Continued)			
Pass-Through Funds (Continued)			
National Science Foundation (Continued)			
University of Southern California	47.050	51822192	\$ 7,956
University of Southern California	47.041	H31068	65,134
University of Southern California	47.050	Y86197	5,187
University of Wisconsin-Milwaukee	47.049	123405532	119,081
Virtual Astronomical Observatory, Inc.	47.049	2010-08-1	238,801
W.M. Keck Observatory	47.049	10339	32,724
W.M. Keck Observatory	47.049	11523	2,134,903
Washington University	47.041	120239 G003227	100,038
West Virginia	47.079	09-547-CIT	<u>34,997</u>
Total National Science Foundation - Pass-Through Funds			<u>5,760,710</u>
Total Research and Development - Pass-Through Funds			<u>33,344,102</u>
Total Research and Development Cluster			<u>237,235,562</u>
Department of Homeland Security			
City of Los Angeles	97.067	C-123187	<u>1,840,711</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, 2014

Federal Grantor/Pass-Through Grantor/Program Title	Federal CFDA Number	Grant/Contract or Pass-Through Number	Federal Expenditures
Student Financial Aid Cluster			
Direct Funds			
Department of Education			
Federal Work Study Program	84.033		\$ 317,262
Federal Supplemental Educational Opportunity Grant	84.007		431,853
Federal Pell Grant Program	84.063		<u>430,475</u>
Total Student Financial Aid Cluster			<u>1,179,590</u>
Total Expenditures of Federal Awards			<u><u>\$ 240,255,863</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, 2014

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, 2014, except those related to JPL. Because the Schedule presents only a selected portion of the operations of the Institute, and is prepared on the cash basis of accounting, 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. ONR has approved predetermined rates for FY2008, FY2011, FY2012, and FY2013 and fixed with carry forward rates for FY2009, FY2010, FY2014 and FY2015. 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, 2014

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. All amendments and updates through Revision 9 have been approved by ONR. Revision 10 was rescinded by the Institute. Revision 11 to the Disclosure Statement has been submitted by the Institute, reviewed by DCAA, and unofficially approved by ONR in April 2014; however, ONR has not yet provided the Institute with an official approval letter for this revision.

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, 2014, the Institute advanced loans totaling \$929,245 for the Federal Perkins Loan Program (CFDA Number 84.038). The outstanding balance at September 30, 2014 was \$5,049,104. 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 \$56,731 of administrative cost allowance to the Federal Perkins Loan Program for the year ended September 30, 2014. The amount of Federal Perkins Loan principal cancelled (CFDA Number 84.037) during the year ended September 30, 2014 was \$3,118.

3. Federal Direct Loan Program

During the year ended September 30, 2014, the Institute processed \$576,335 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 \$559,664. There are no outstanding balances under these loan programs.

4. Transfers

During the year ended September 30, 2014, the Institute transferred \$137,596 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, 2014, there were no FWS carry-forwards from the year ended September 30, 2013. The Institute carried back \$404 from the year ended September 30, 2014 that was spent in the year ended 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 charged \$36,362 of administrative cost allowance to the Federal Work Study Program for the year ended September 30, 2014.

California Institute of Technology
Notes to Schedule of Expenditures of Federal Awards
For the Year Ended September 30, 2014

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	\$ 1,233,759
Army Research Office	1,151,193
Defense Advanced Research Projects Agency	3,283,667
US Navy	434,155
	<u>6,102,774</u>
Department of Energy	
Department of Energy	<u>1,789,193</u>
Department of Health and Human Services	
National Institutes of Health	<u>12,717,861</u>
Environmental Protection Agency	
Environmental Protection Agency	<u>16,546</u>
National Aeronautics & Space Administration	
National Aeronautics & Space Administration	<u>2,751,557</u>
National Science Foundation	
National Science Foundation	<u>9,196,073</u>
United States Geological Survey	
United States Geological Survey	<u>2,550</u>
Total Amount Provided to Subrecipients	<u>\$ 32,576,554</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.