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Form 990

## Return of Organization Exempt From Income Tax

2009

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except black lung benefit trust or private foundation)

Open to Public Inspection

Department of the Treasury  
Internal Revenue Service

► The organization may have to use a copy of this return to satisfy state reporting requirements

## A For the 2009 calendar year, or tax year beginning 07-01-2009 and ending 06-30-2010

B Check if applicable	C Name of organization CARNEGIE INSTITUTION OF WASHINGTON		D Employer identification number 53-0196523
<input type="checkbox"/> Address change	Doing Business As		E Telephone number (202) 387-6400
<input type="checkbox"/> Name change	Number and street (or P O box if mail is not delivered to street address) 1530 P St NW	Room/suite	G Gross receipts \$ 273,802,811
<input type="checkbox"/> Initial return			
<input type="checkbox"/> Terminated			
<input type="checkbox"/> Amended return			
<input type="checkbox"/> Application pending			

F Name and address of principal officer Gary Kowalczyk 1530 P Street NW Washington, DC 20005	H(a) Is this a group return for affiliates? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
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I Tax-exempt status <input checked="" type="checkbox"/> 501(c) ( 3 ) ► (insert no) <input type="checkbox"/> 4947(a)(1) or <input type="checkbox"/> 527	H(b) Are all affiliates included? <input type="checkbox"/> Yes <input type="checkbox"/> No If "No," attach a list (see instructions)
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J Website: ► WWW.CIW.EDU	H(c) Group exemption number ►
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K Form of organization <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Trust <input type="checkbox"/> Association <input type="checkbox"/> Other ►	L Year of formation 1904	M State of legal domicile DC
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## Part I Summary

1 Briefly describe the organization's mission or most significant activities The conduct of scientific discovery, research and education in the fields of plant biology, developmental biology, earth and planetary sciences, astronomy, and global ecology	
2 Check this box ► if the organization discontinued its operations or disposed of more than 25% of its net assets	
3 Number of voting members of the governing body (Part VI, line 1a) . . . . .	3 20
4 Number of independent voting members of the governing body (Part VI, line 1b) . . . . .	4 20
5 Total number of employees (Part V, line 2a) . . . . .	5 554
6 Total number of volunteers (estimate if necessary) . . . . .	6 0
7a Total gross unrelated business revenue from Part VIII, column (C), line 12 . . . . .	7a 243,738
b Net unrelated business taxable income from Form 990-T, line 34 . . . . .	7b 103,704

8 Contributions and grants (Part VIII, line 1h) . . . . .	Prior Year 39,825,696	Current Year 46,571,176
9 Program service revenue (Part VIII, line 2g) . . . . .	6,909,802	12,086,437
10 Investment income (Part VIII, column (A), lines 3, 4, and 7d) . . . . .	14,471,912	35,162,861
11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	32,199,708	-1,476,369
12 Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12) . . . . .	93,407,118	92,344,105

13 Grants and similar amounts paid (Part IX, column (A), lines 1-3) . . . . .	4,058,900	4,944,047
14 Benefits paid to or for members (Part IX, column (A), line 4) . . . . .	0	0
15 Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)	39,163,449	42,007,750
16a Professional fundraising fees (Part IX, column (A), line 11e) . . . . .	0	0
b Total fundraising expenses (Part IX, column (D), line 25) ► 925,297		
17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24f) . . . . .	38,365,047	44,177,056
18 Total expenses Add lines 13-17 (must equal Part IX, column (A), line 25)	81,587,396	91,128,853
19 Revenue less expenses Subtract line 18 from line 12 . . . . .	11,819,722	1,215,252

20 Total assets (Part X, line 16) . . . . .	Beginning of Current Year 817,410,006	End of Year 904,176,713
21 Total liabilities (Part X, line 26) . . . . .	130,424,514	166,728,974
22 Net assets or fund balances Subtract line 21 from line 20 . . . . .	686,985,492	737,447,739

Sign Here	Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge		
	2011-05-16 Signature of officer Gary Kowalczyk Director of Admin & Finance Type or print name and title		

Paid Preparer's Use Only	Preparer's signature ►	Date	Check if self-employed ► <input type="checkbox"/>	Preparer's identifying number (see instructions)
	Firm's name (or yours if self-employed), address, and ZIP + 4 ►			EIN ►
				Phone no ►

May the IRS discuss this return with the preparer shown above? (see instructions) . . . . .  Yes  No

**Part III Statement of Program Service Accomplishments****1** Briefly describe the organization's mission

The mission of the Carnegie Institution of Washington, as set forth in its articles of incorporation under an Act of Congress in 1904, is "to encourage, in the broadest and most liberal manner, investigation, research, and discovery, and the application of knowledge to the improvement of mankind."

**2** Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ?  Yes  No

If "Yes," describe these new services on Schedule O

**3** Did the organization cease conducting, or make significant changes in how it conducts, any program services?  Yes  No

If "Yes," describe these changes on Schedule O

**4** Describe the exempt purpose achievements for each of the organization's three largest program services by expenses  
Section 501(c)(3) and 501(c)(4) organizations and section 4947(a)(1) trusts are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported

<b>4a</b>	(Code ) (Expenses \$ 73,190,715 including grants of \$ 0 ) (Revenue \$ 0 )
<p>Carnegie investigators are leaders in the fields of plant biology, developmental biology, earth and planetary sciences, astronomy and global ecology. Using molecular genetics and related methods, Carnegie biologists study the genes responsible for plant responses to light and the genetic controls over various growth and developmental processes including those that enable plants to survive disease and environmental stress. In addition, the department is a world leader in bioinformatics. It developed and now manages an online-integrated database, one of the most widely used biological databases in the world, that supplies all aspects of biological information on the most widely used model plant, <i>Arabidopsis</i>. Researchers in developmental biology address fundamental questions in animal development and genetics at the cellular and molecular levels. Some researchers investigate the genetic programming behind cellular processes as cells develop, while others explore the genes that control growth and obesity, stimulate stem cells to become specialized body parts, and perform many other functions. Other researchers examine the physics and chemistry of Earth's deep interior and planets. Carnegie is a world-renowned center for petrology - study of rocks. It is also a world leader in high-pressure and high-temperature physics making significant contributions to both Earth and material sciences. Carnegie scientists are part of an interdisciplinary effort to investigate how life evolved on this planet and determine its potential for existing elsewhere. With various partners, Carnegie has launched a new multi-disciplinary, international initiative dedicated to achieving a transformational understanding of Earth's deep carbon cycle, including its poorly constrained reservoirs and fluxes, unknown role of deep biology, and unexplored influences of the deep carbon cycle on critical societal concerns related to energy, environment, and climate. Carnegie astronomers, unlike most in their field, design and build their own instruments to capture the secrets of space. They are tracing the evolution of the universe from the spark of the Big Bang through star and galaxy formation, exploring the structure of the universe, and probing the mysteries of dark matter, dark energy, and the ever-accelerating rate at which the universe is expanding. Carnegie operated telescopes in Las Campanas Chile, at which a large part of the research is conducted, and is part of a consortium that has undertaken to design, construct and operate a telescope known as the Giant Magellan Telescope that, when complete, will be among the world's largest ground-based optical/infrared facilities. Carnegie research also includes interdisciplinary teams of astronomers and astrophysicists, geophysicists and geochemists, cosmochemists and planetary scientists. These teams are discovering planets outside our solar system, determining the age and structure of the universe, and studying the causes of earthquakes and volcanoes. Using innovative approaches to research on global ecology, Carnegie scientists are picking apart the complicated interactions of Earth's land, atmosphere, and oceans to understand how global systems operate. With a wide range of powerful tools—from satellites to the instruments of molecular biology—these scientists explore issues such as the global carbon cycle, the role of land and oceanic ecosystems, and much more. These ecologists also play an active role in the public arena, from serving on international panels investigating climate change to promoting satellite imagery for the discovery of environmental "hotspots".</p>	
<b>4b</b>	(Code ) (Expenses \$ 8,431,824 including grants of \$ 4,944,047 ) (Revenue \$ 0 )
<p>Education Carnegie, a non-degree granting entity, is an advanced study organization at which highly qualified graduate scientists are offered postgraduate and postdoctoral training for careers in education and research. Carnegie's postdoctoral scientific education is mostly conducted in the laboratory or in the field. The postdoctoral curriculum is heavily weighted toward training candidates to be capable researchers and teachers of research. The faculty consists of the professional staff of Carnegie, all of whom pursue their own research. Carnegie also offers certain training opportunities for predoctoral students who may pursue formal degrees at degree-granting institutions. Carnegie programs also train public elementary school teachers how to incorporate interactive science instruction into all aspects of the curriculum, helps improve the instruction of mathematics education of public school children by training individuals with mathematics or related degrees to become classroom instructors, introduces and trains high school students to career education pathways in the field of biotechnology, and makes information available concerning Carnegie's scientific research findings to students and the general public.</p>	
<b>4c</b>	(Code ) (Expenses \$ 0 including grants of \$ 0 ) (Revenue \$ 0 )
<p>none</p>	
<b>4d</b>	Other program services (Describe in Schedule O ) (Expenses \$ 0 including grants of \$ 0 ) (Revenue \$ 0 )
<b>4e</b>	<b>Total program service expenses</b> \$ 81,622,539

**Part IV Checklist of Required Schedules**

- 1 Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? If "Yes," complete Schedule A
- 2 Is the organization required to complete Schedule B, Schedule of Contributors?
- 3 Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? If "Yes," complete Schedule C, Part I
- 4 **Section 501(c)(3) organizations.** Did the organization engage in lobbying activities? If "Yes," complete Schedule C, Part II
- 5 **Section 501(c)(4), 501(c)(5), and 501(c)(6) organizations.** Is the organization subject to the section 6033(e) notice and reporting requirement and proxy tax? If "Yes," complete Schedule C, Part III
- 6 Did the organization maintain any donor advised funds or any similar funds or accounts where donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? If "Yes," complete Schedule D, Part I
- 7 Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas or historic structures? If "Yes," complete Schedule D, Part II
- 8 Did the organization maintain collections of works of art, historical treasures, or other similar assets? If "Yes," complete Schedule D, Part III
- 9 Did the organization report an amount in Part X, line 21, serve as a custodian for amounts not listed in Part X, or provide credit counseling, debt management, credit repair, or debt negotiation services? If "Yes," complete Schedule D, Part IV
- 10 Did the organization, directly or through a related organization, hold assets in term, permanent, or quasi-endowments? If "Yes," complete Schedule D, Part V
- 11 Is the organization's answer to any of the following questions "Yes"? If so, complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable.
- Did the organization report an amount for land, buildings, and equipment in Part X, line 10? If "Yes," complete Schedule D, Part VI.
  - Did the organization report an amount for investments—other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part VII.
  - Did the organization report an amount for investments—program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part VIII.
  - Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part IX.
  - Did the organization report an amount for other liabilities in Part X, line 25? If "Yes," complete Schedule D, Part X.
  - Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48? If "Yes," complete Schedule D, Part X.
- 12 Did the organization obtain separate, independent audited financial statements for the tax year? If "Yes," complete Schedule D, Parts XI, XII, and XIII
- 12a Was the organization included in consolidated, independent audited financial statements for the tax year?  Yes  No
- If "Yes," completing Schedule D, Parts XI, XII, and XIII is optional  12a  No
- 13 Is the organization a school described in section 170(b)(1)(A)(ii)? If "Yes," complete Schedule E
- 14a Did the organization maintain an office, employees, or agents outside of the United States?
- b Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, and program service activities outside the United States? If "Yes," complete Schedule F, Part I
- 15 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or assistance to any organization or entity located outside the U.S.? If "Yes," complete Schedule F, Part II
- 16 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or assistance to individuals located outside the U.S.? If "Yes," complete Schedule F, Part III
- 17 Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? If "Yes," complete Schedule G, Part I
- 18 Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? If "Yes," complete Schedule G, Part II
- 19 Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? If "Yes," complete Schedule G, Part III
- 20 Did the organization operate one or more hospitals? If "Yes," complete Schedule H

	Yes	No
1	Yes	
2	Yes	
3		No
4		No
5		
6		No
7		No
8		No
9		No
10	Yes	
11	Yes	
12	Yes	
13	Yes	
14a	Yes	
14b	Yes	
15		No
16	Yes	
17		No
18		No
19		No
20		No

**Part IV Checklist of Required Schedules (continued)**

21	Did the organization report more than \$5,000 of grants and other assistance to governments and organizations in the United States on Part IX, column (A), line 1? If "Yes," complete Schedule I, Parts I and II	21	Yes	
22	Did the organization report more than \$5,000 of grants and other assistance to individuals in the United States on Part IX, column (A), line 2? If "Yes," complete Schedule I, Parts I and III	22	Yes	
23	Did the organization answer "Yes" to Part VII, Section A, questions 3, 4, or 5, about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? If "Yes," complete Schedule J	23	Yes	
24a	Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? If "Yes," answer questions 24b-24d and complete Schedule K. If "No," go to line 25	24a	Yes	
a	Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?	24b	No	
c	Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds?	24c	No	
d	Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?	24d	No	
25a	<b>Section 501(c)(3) and 501(c)(4) organizations.</b> Did the organization engage in an excess benefit transaction with a disqualified person during the year? If "Yes," complete Schedule L, Part I	25a	No	
b	Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? If "Yes," complete Schedule L, Part I	25b	No	
26	Was a loan to or by a current or former officer, director, trustee, key employee, highly compensated employee, or disqualified person outstanding as of the end of the organization's tax year? If "Yes," complete Schedule L, Part II	26	No	
27	Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor, or a grant selection committee member, or to a person related to such an individual? If "Yes," complete Schedule L, Part III	27	No	
28	Was the organization a party to a business transaction with one of the following parties? (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions)	28a	No	
a	A current or former officer, director, trustee, or key employee? If "Yes," complete Schedule L, Part IV	28b	No	
b	A family member of a current or former officer, director, trustee, or key employee? If "Yes," complete Schedule L, Part IV	28c	Yes	
c	An entity of which a current or former officer, director, trustee, or key employee of the organization (or a family member) was an officer, director, trustee, or owner? If "Yes," complete Schedule L, Part IV	29	Yes	
29	Did the organization receive more than \$25,000 in non-cash contributions? If "Yes," complete Schedule M	30	No	
30	Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? If "Yes," complete Schedule M	31	No	
31	Did the organization liquidate, terminate, or dissolve and cease operations? If "Yes," complete Schedule N, Part I	32	No	
32	Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? If "Yes," complete Schedule N, Part II	33	No	
33	Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301 7701-2 and 301 7701-3? If "Yes," complete Schedule R, Part I	34	No	
34	Was the organization related to any tax-exempt or taxable entity? If "Yes," complete Schedule R, Parts II, III, IV, and V, line 1	35	No	
35	Is any related organization a controlled entity within the meaning of section 512(b)(13)? If "Yes," complete Schedule R, Part V, line 2	36	No	
36	<b>Section 501(c)(3) organizations.</b> Did the organization make any transfers to an exempt non-charitable related organization? If "Yes," complete Schedule R, Part V, line 2	37	No	
37	Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? If "Yes," complete Schedule R, Part VI	38	Yes	
38	Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11 and 19? <b>Note.</b> All Form 990 filers are required to complete Schedule O			

**Part V Statements Regarding Other IRS Filings and Tax Compliance**

		Yes	No
<b>1a</b>	Enter the number reported in Box 3 of Form 1096, <i>Annual Summary and Transmittal of U.S. Information Returns</i> . Enter -0- if not applicable	<b>1a</b> 228	
<b>1b</b>	Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable	<b>1b</b> 0	
<b>1c</b>	Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?	<b>1c</b> Yes	
<b>2a</b>	Enter the number of employees reported on Form W-3, <i>Transmittal of Wage and Tax Statements</i> filed for the calendar year ending with or within the year covered by this return	<b>2a</b> 554	
<b>2b</b>	If at least one is reported on line 2a, did the organization file all required federal employment tax returns? <b>Note:</b> If the sum of lines 1a and 2a is greater than 250, you may be required to e-file this return (see instructions)	<b>2b</b> Yes	
<b>3a</b>	Did the organization have unrelated business gross income of \$1,000 or more during the year covered by this return?	<b>3a</b> Yes	
<b>3b</b>	If "Yes," has it filed a Form 990-T for this year? If "No," provide an explanation in Schedule O	<b>3b</b> Yes	
<b>4a</b>	At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?	<b>4a</b> Yes	
<b>4b</b>	If "Yes," enter the name of the foreign country <b>CI</b> See the instructions for exceptions and filing requirements for Form TD F 90-22 1, Report of Foreign Bank and Financial Accounts	<b>4b</b>	
<b>5a</b>	Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?	<b>5a</b> No	
<b>5b</b>	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?	<b>5b</b> No	
<b>5c</b>	If "Yes" to line 5a or 5b, did the organization file Form 8886-T, Disclosure by Tax-Exempt Entity Regarding Prohibited Tax Shelter Transaction?	<b>5c</b>	
<b>6a</b>	Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible?	<b>6a</b> No	
<b>6b</b>	If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?	<b>6b</b>	
<b>7</b>	<b>Organizations that may receive deductible contributions under section 170(c).</b>	<b>7a</b> No	
<b>7b</b>		<b>7b</b>	
<b>7c</b>		<b>7c</b> No	
<b>7d</b>	Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor?	<b>7d</b>	
<b>7e</b>	If "Yes," did the organization notify the donor of the value of the goods or services provided?	<b>7e</b> No	
<b>7f</b>	Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?	<b>7f</b> No	
<b>7g</b>	If "Yes," indicate the number of Forms 8282 filed during the year	<b>7g</b>	
<b>7h</b>	Did the organization, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	<b>7h</b>	
<b>7i</b>	If "Yes," did the organization pay premiums, directly or indirectly, on a personal benefit contract?	<b>7i</b>	
<b>7j</b>	For all contributions of qualified intellectual property, did the organization file Form 8899 as required?	<b>7j</b>	
<b>7k</b>	For contributions of cars, boats, airplanes, and other vehicles, did the organization file a Form 1098-C as required?	<b>7k</b>	
<b>8</b>	<b>Sponsoring organizations maintaining donor advised funds and section 509(a)(3) supporting organizations.</b> Did the supporting organization, or a donor advised fund maintained by a sponsoring organization, have excess business holdings at any time during the year?	<b>8</b>	
<b>9</b>	<b>Sponsoring organizations maintaining donor advised funds.</b>	<b>9a</b>	
<b>9b</b>	Did the organization make any taxable distributions under section 4966?	<b>9b</b>	
<b>10</b>	<b>Section 501(c)(7) organizations.</b> Enter	<b>10a</b>	
<b>10b</b>	Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities	<b>10b</b>	
<b>11</b>	<b>Section 501(c)(12) organizations.</b> Enter	<b>11a</b>	
<b>11b</b>	Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them)	<b>11b</b>	
<b>12a</b>	<b>Section 4947(a)(1) non-exempt charitable trusts.</b> Is the organization filing Form 990 in lieu of Form 1041?	<b>12a</b>	
<b>12b</b>	If "Yes," enter the amount of tax-exempt interest received or accrued during the year	<b>12b</b>	

**Part VI Governance, Management, and Disclosure** For each "Yes" response to lines 2 through 7b below, and for a "No" response to lines 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.

### Section A. Governing Body and Management

		Yes	No
<b>1a</b> Enter the number of voting members of the governing body . . .	<b>1a</b>	20	
<b>b</b> Enter the number of voting members that are independent . . .	<b>1b</b>	20	
<b>2</b> Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee? . . . . .	<b>2</b>		No
<b>3</b> Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors or trustees, or key employees to a management company or other person? . . . . .	<b>3</b>		No
<b>4</b> Did the organization make any significant changes to its organizational documents since the prior Form 990 was filed? . . . . .	<b>4</b>		No
<b>5</b> Did the organization become aware during the year of a material diversion of the organization's assets? . . . . .	<b>5</b>		No
<b>6</b> Does the organization have members or stockholders? . . . . .	<b>6</b>		No
<b>7a</b> Does the organization have members, stockholders, or other persons who may elect one or more members of the governing body? . . . . .	<b>7a</b>		No
<b>b</b> Are any decisions of the governing body subject to approval by members, stockholders, or other persons? . . . . .	<b>7b</b>		No
<b>8</b> Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following			
<b>a</b> The governing body? . . . . .	<b>8a</b>	Yes	
<b>b</b> Each committee with authority to act on behalf of the governing body? . . . . .	<b>8b</b>	Yes	
<b>9</b> Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses in Schedule O . . . . .	<b>9</b>		No

### Section B. Policies (This Section B requests information about policies not required by the Internal Revenue Code.)

		Yes	No
<b>10a</b> Does the organization have local chapters, branches, or affiliates? . . . . .	<b>10a</b>		No
<b>b</b> If "Yes," does the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with those of the organization? . . . . .	<b>10b</b>		
<b>11</b> Has the organization provided a copy of this Form 990 to all members of its governing body before filing the form? . . . . .	<b>11</b>	Yes	
<b>11A</b> Describe in Schedule O the process, if any, used by the organization to review the Form 990 . . . . .			
<b>12a</b> Does the organization have a written conflict of interest policy? If "No," go to line 13 . . . . .	<b>12a</b>	Yes	
<b>b</b> Are officers, directors or trustees, and key employees required to disclose annually interests that could give rise to conflicts? . . . . .	<b>12b</b>	Yes	
<b>c</b> Does the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this is done . . . . .	<b>12c</b>	Yes	
<b>13</b> Does the organization have a written whistleblower policy? . . . . .	<b>13</b>	Yes	
<b>14</b> Does the organization have a written document retention and destruction policy? . . . . .	<b>14</b>	Yes	
<b>15</b> Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?			
<b>a</b> The organization's CEO, Executive Director, or top management official . . . . .	<b>15a</b>	Yes	
<b>b</b> Other officers or key employees of the organization . . . . .	<b>15b</b>	Yes	
If "Yes" to line a or b, describe the process in Schedule O (See instructions )			
<b>16a</b> Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year? . . . . .	<b>16a</b>		No
<b>b</b> If "Yes," has the organization adopted a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and taken steps to safeguard the organization's exempt status with respect to such arrangements? . . . . .	<b>16b</b>		

### Section C. Disclosure

<b>17</b> List the States with which a copy of this Form 990 is required to be filed ► CA , DC , MD
<b>18</b> Section 6104 requires an organization to make its Form 1023 (or 1024 if applicable), 990, and 990-T (501(c) (3)s only) available for public inspection. Indicate how you make these available. Check all that apply
<input checked="" type="checkbox"/> Own website <input type="checkbox"/> Another's website <input checked="" type="checkbox"/> Upon request
<b>19</b> Describe in Schedule O whether (and if so, how), the organization makes its governing documents, conflict of interest policy, and financial statements available to the public. See Additional Data Table
<b>20</b> State the name, physical address, and telephone number of the person who possesses the books and records of the organization ► Gary Kowalczyk 1530 P St NW Washington, DC 200051910 (202) 387-6400

## **Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors**

**Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees**

**1a** Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year. Use Schedule J-2 if additional space is needed.

- tax year. Use Schedule 5-2 if additional space is needed
  - List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation, and **current** key employees Enter -0- in columns (D), (E), and (F) if no compensation was paid
  - List all of the organization's **current** key employees See instructions for definition of "key employee "
  - List the organization's five **current** highest compensated employees (other than an officer, director, trustee or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations
  - List all of the organization's **former** officers, key employees, or highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations
  - List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations

List persons in the following order: individual trustees or directors, institutional trustees, officers, key employees, highest compensated employees, and former such persons.

Check this box if the organization did not compensate any current or former officer, director, trustee or key employee.

<b>1b Total</b>	3,535,590	0	696,486
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- 2** Total number of individuals (including but not limited to those listed above) who received more than \$100,000 in reportable compensation from the organization **►70**

	<b>Yes</b>	<b>No</b>
<b>3</b> Did the organization list any <b>former</b> officer, director or trustee, key employee, or highest compensated employee on line 1a? If "Yes," complete Schedule J for such individual	<b>3</b> Yes	
<b>4</b> For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? If "Yes," complete Schedule J for such individual	<b>4</b> Yes	
<b>5</b> Did any person listed on line 1a receive or accrue compensation from any unrelated organization for services rendered to the organization? If "Yes," complete Schedule J for such person	<b>5</b>	No

## Section B. Independent Contractors

- 1** Complete this table for your five highest compensated independent contractors that received more than \$100,000 of compensation from the organization

<b>(A)</b> Name and business address	<b>(B)</b> Description of services	<b>(C)</b> Compensation
Morgan Lewis Bockius LLP 1111 Pennsylvania Ave NW Washington, DC 20004	Legal	1,008,851
KPMG LLP 2001 M St NW Washington, DC 20036	Accounting	278,200
Paragon Engineering 2277 Joy Lane Westcliffe, CO 81252	Engineering Services	195,523
Greg Burley PO Box 72084 Sasamat Station Vancouver, BC V6R 4P2 CA	Consulting	140,060
Alta Systems 50 CHUMASERO DRIVE Ste4K SAN FRANCISCO, CA 94312	IT Services	128,798
<b>2</b> Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 in compensation from the organization <b>►7</b>		

**Part VIII Statement of Revenue**

		(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512, 513, or 514	
Contributions, gifts, grants and other similar amounts	<b>1a</b> Federated campaigns . . . . .	<b>1a</b> 0				
	<b>b</b> Membership dues . . . . .	<b>1b</b> 0				
	<b>c</b> Fundraising events . . . . .	<b>1c</b> 0				
	<b>d</b> Related organizations . . . . .	<b>1d</b> 0				
	<b>e</b> Government grants (contributions)	<b>1e</b> 31,430,536				
	<b>f</b> All other contributions, gifts, grants, and similar amounts not included above	<b>1f</b> 15,140,640				
	<b>g</b> Noncash contributions included in 99,086					
	<b>h</b> <b>Total.</b> Add lines 1a-1f . . . . .		46,571,176			
Program Service Revenue		Business Code				
	<b>2a</b> Magellan Telescope program	541,700	2,971,999	2,971,999	0 0	
	<b>b</b> Giant Magellan Telescope program	541,700	8,428,133	8,428,133	0 0	
	<b>c</b> Australian Astronomy program	541,700	120,566	120,566	0 0	
	<b>d</b> Univ of Toronto Astronomy program	541,700	120,000	120,000	0 0	
	<b>e</b> AAS Secretary Office	541,700	61,721	61,721	0 0	
	<b>f</b> All other program service revenue		384,018	384,018	0 0	
	<b>g</b> <b>Total.</b> Add lines 2a-2f . . . . .		12,086,437			
Other Revenue	<b>3</b> Investment income (including dividends, interest and other similar amounts) . . . . .		7,767,788	0 209,362	7,558,426	
	<b>4</b> Income from investment of tax-exempt bond proceeds . . . . .		0	0 0	0	
	<b>5</b> Royalties . . . . .		1,014,670	0 0	1,014,670	
		(i) Real	(ii) Personal			
	<b>6a</b> Gross Rents	1,778,327	0			
	<b>b</b> Less rental expenses	1,594,022	0			
	<b>c</b> Rental income or (loss)	184,305	0			
	<b>d</b> Net rental income or (loss) . . . . .		184,305	184,305	0 0	0
	(i) Securities	(ii) Other				
<b>7a</b> Gross amount from sales of assets other than inventory	207,259,757	0				
<b>b</b> Less cost or other basis and sales expenses	179,864,684	0				
<b>c</b> Gain or (loss)	27,395,073	0				
<b>d</b> Net gain or (loss) . . . . .		27,395,073	0 34,376	27,360,697		
<b>8a</b> Gross income from fundraising events (not including \$ 0 of contributions reported on line 1c) See Part IV, line 18 . . . . .						
<b>b</b> Less direct expenses . . . . .	<b>b</b> 0					
<b>c</b> Net income or (loss) from fundraising events . . . . .		0	0	0	0	
<b>9a</b> Gross income from gaming activities See Part IV, line 19 . . . . .						
<b>b</b> Less direct expenses . . . . .	<b>b</b> 0					
<b>c</b> Net income or (loss) from gaming activities . . . . .		0	0	0	0	
<b>10a</b> Gross sales of inventory, less returns and allowances . . . . .						
<b>b</b> Less cost of goods sold . . . . .	<b>b</b> 0					
<b>c</b> Net income or (loss) from sales of inventory . . . . .		0	0	0	0	
Miscellaneous Revenue	Business Code					
<b>11a</b> Loss on swap transactions	900,099	-3,129,950	-3,129,950	0 0	0	
<b>b</b> Capital gains on mutual funds	900,099	28,650	28,650	0 0	0	
<b>c</b>						
<b>d</b> All other revenue . . . . .		425,956	425,956	0 0	0	
<b>e</b> <b>Total.</b> Add lines 11a-11d . . . . .		-2,675,344				
<b>12</b> <b>Total revenue.</b> See Instructions . . . . .		92,344,105	9,595,398	243,738	35,933,793	

**Part IX Statement of Functional Expenses****Section 501(c)(3) and 501(c)(4) organizations must complete all columns.****All other organizations must complete column (A) but are not required to complete columns (B), (C), and (D).**

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1 Grants and other assistance to governments and organizations in the U S See Part IV, line 21	1,131,203	1,131,203		
2 Grants and other assistance to individuals in the U S See Part IV, line 22	3,453,456	3,453,456		
3 Grants and other assistance to governments, organizations, and individuals outside the U S See Part IV, lines 15 and 16	359,388	359,388		
4 Benefits paid to or for members				
5 Compensation of current officers, directors, trustees, and key employees . . . . .	2,401,431	983,329	1,119,879	298,223
6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B) . . . . .				
7 Other salaries and wages	29,598,974	27,717,758	1,518,881	362,335
8 Pension plan contributions (include section 401(k) and section 403(b) employer contributions) . . . . .	3,774,664	3,595,617	157,161	21,886
9 Other employee benefits . . . . .	4,218,533	3,533,418	675,048	10,067
10 Payroll taxes . . . . .	2,014,148	1,816,278	171,558	26,312
11 Fees for services (non-employees)				
a Management . . . . .				
b Legal . . . . .	959,526	278	959,248	0
c Accounting . . . . .	240,900	0	240,900	0
d Lobbying . . . . .				
e Professional fundraising See Part IV, line 17 . . . . .				
f Investment management fees . . . . .				
g Other . . . . .	1,280,052	1,193,776	66,426	19,850
12 Advertising and promotion . . . . .				
13 Office expenses . . . . .	1,016,069	801,852	172,033	42,184
14 Information technology . . . . .	1,262,119	1,088,674	170,397	3,048
15 Royalties . . . . .	0			
16 Occupancy . . . . .	3,559,246	3,538,842	10,352	10,052
17 Travel . . . . .	2,188,725	2,136,666	30,251	21,808
18 Payments of travel or entertainment expenses for any federal, state, or local public officials . . . . .				
19 Conferences, conventions, and meetings . . . . .	556,460	409,012	72,393	75,055
20 Interest . . . . .	1,877,955	0	1,877,955	0
21 Payments to affiliates . . . . .				
22 Depreciation, depletion, and amortization . . . . .	8,565,907	8,310,357	246,044	9,506
23 Insurance . . . . .	562,672	226,616	335,701	355
24 Other expenses Itemize expenses not covered above (Expenses grouped together and labeled miscellaneous may not exceed 5% of total expenses shown on line 25 below )				
a Contracts & subawards	15,954,504	15,908,372	41,084	5,048
b Research/education expense	4,341,735	4,309,388	17,633	14,714
c Exchange rate (gain)/loss	-408,885	-214,627	-194,258	0
d Bond administration expense	1,283,294	0	1,283,294	0
e Other repair & maintenance expense	213,456	216,933	-5,149	1,672
f All other expenses	723,321	1,105,953	-385,814	3,182
25 Total functional expenses. Add lines 1 through 24f	91,128,853	81,622,539	8,581,017	925,297
26 Joint costs. Check here <input checked="" type="checkbox"/> if following SOP 98-2 Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation				

**Part X Balance Sheet**

		<b>(A)</b> Beginning of year	<b>(B)</b> End of year
Assets	1 Cash—non-interest-bearing . . . . .	0	0
	2 Savings and temporary cash investments . . . . .	3,587,818	32,386,055
	3 Pledges and grants receivable, net . . . . .	10,432,411	13,775,336
	4 Accounts receivable, net . . . . .	803,563	528,226
	5 Receivables from current and former officers, directors, trustees, key employees, and highest compensated employees Complete Part II of Schedule L . . . . .	0	0
	6 Receivables from other disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B) Complete Part II of Schedule L . . . . .	0	0
	7 Notes and loans receivable, net . . . . .	741,173	726,200
	8 Inventories for sale or use . . . . .	0	0
	9 Prepaid expenses and deferred charges . . . . .	1,510,527	4,335,291
	10a Land, buildings, and equipment cost or other basis Complete Part VI of Schedule D	10a	241,958,885
	b Less accumulated depreciation . . . . .	10b	85,220,332
		157,980,529	10c
		156,738,553	
	11 Investments—publicly traded securities . . . . .	276,988,698	319,045,426
	12 Investments—other securities See Part IV, line 11 . . . . .	365,365,287	376,641,626
	13 Investments—program-related See Part IV, line 11 . . . . .	13	
	14 Intangible assets . . . . .	0	14
	15 Other assets See Part IV, line 11 . . . . .	15	
	16 <b>Total assets.</b> Add lines 1 through 15 (must equal line 34) . . . . .	817,410,006	904,176,713
Liabilities	17 Accounts payable and accrued expenses . . . . .	9,317,842	52,461,005
	18 Grants payable . . . . .	0	18
	19 Deferred revenue . . . . .	40,746,194	19
	20 Tax-exempt bond liabilities . . . . .	65,800,000	20
	21 Escrow or custodial account liability Complete Part IV of Schedule D . . . . .	0	21
	22 Payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons Complete Part II of Schedule L . . . . .	0	22
	23 Secured mortgages and notes payable to unrelated third parties . . . . .	0	23
	24 Unsecured notes and loans payable to unrelated third parties . . . . .	0	24
	25 Other liabilities Complete Part X of Schedule D . . . . .	14,560,478	25
	26 <b>Total liabilities.</b> Add lines 17 through 25 . . . . .	130,424,514	166,728,974
Net Assets or Fund Balances	<b>Organizations that follow SFAS 117, check here <input checked="" type="checkbox"/> and complete lines 27 through 29, and lines 33 and 34.</b>		
	27 Unrestricted net assets . . . . .	206,347,417	27
	28 Temporarily restricted net assets . . . . .	425,774,379	28
	29 Permanently restricted net assets . . . . .	54,863,696	29
	<b>Organizations that do not follow SFAS 117, check here <input type="checkbox"/> and complete lines 30 through 34.</b>		
	30 Capital stock or trust principal, or current funds . . . . .	30	
	31 Paid-in or capital surplus, or land, building or equipment fund . . . . .	31	
	32 Retained earnings, endowment, accumulated income, or other funds . . . . .	32	
	33 Total net assets or fund balances . . . . .	686,985,492	33
	34 Total liabilities and net assets/fund balances . . . . .	817,410,006	34
			904,176,713

**Part XI Financial Statements and Reporting**

- 1** Accounting method used to prepare the Form 990       Cash  Accrual  Other \_\_\_\_\_  
 If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O
- 2a** Were the organization's financial statements compiled or reviewed by an independent accountant? . . . . .
- b** Were the organization's financial statements audited by an independent accountant? . . . . .
- c** If "Yes," to 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant?  
 If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O . . . . .
- d** If "Yes" to line 2a or 2b, check a box below to indicate whether the financial statements for the year were issued on a consolidated basis, separate basis, or both  
 Separate basis       Consolidated basis       Both consolidated and separated basis
- 3a** As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133? . . . . .
- b** If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits . . . . .

	<b>Yes</b>	<b>No</b>
<b>2a</b>		No
<b>2b</b>	Yes	
<b>2c</b>	Yes	
<b>3a</b>	Yes	
<b>3b</b>	Yes	

2009

Open to Public  
Inspection**SCHEDULE A**  
(Form 990 or 990EZ)**Public Charity Status and Public Support**

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

► Attach to Form 990 or Form 990-EZ. ► See separate instructions.

Department of the Treasury  
Internal Revenue ServiceName of the organization  
CARNEGIE INSTITUTION OF WASHINGTON

Employer identification number

53-0196523

**Part I Reason for Public Charity Status** (All organizations must complete this part.) See instructions

The organization is not a private foundation because it is (For lines 1 through 11, check only one box)

- 1  A church, convention of churches, or association of churches **section 170(b)(1)(A)(i)**.
- 2  A school described in **section 170(b)(1)(A)(ii)**. (Attach Schedule E)
- 3  A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii)**.
- 4  A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii)**. Enter the hospital's name, city, and state
- 5  An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv)**. (Complete Part II)
- 6  A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v)**.
- 7  An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi)** (Complete Part II)
- 8  A community trust described in **section 170(b)(1)(A)(vi)** (Complete Part II)
- 9  An organization that normally receives (1) more than 33 1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions—subject to certain exceptions, and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See **section 509(a)(2)**. (Complete Part III)
- 10  An organization organized and operated exclusively to test for public safety. See **section 509(a)(4)**.
- 11  An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2). See **section 509(a)(3)**. Check the box that describes the type of supporting organization and complete lines 11e through 11h
- e  By checking this box, I certify that the organization is not controlled directly or indirectly by one or more disqualified persons other than foundation managers and other than one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2)
- f  If the organization received a written determination from the IRS that it is a Type I, Type II or Type III supporting organization, check this box
- g  Since August 17, 2006, has the organization accepted any gift or contribution from any of the following persons?
- (i) a person who directly or indirectly controls, either alone or together with persons described in (ii) and (iii) below, the governing body of the supported organization?
- (ii) a family member of a person described in (i) above?
- (iii) a 35% controlled entity of a person described in (i) or (ii) above?
- h Provide the following information about the supported organization(s)

	Yes	No
11g(i)		
11g(ii)		
11g(iii)		

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1- 9 above or IRC section (see instructions))	(iv) Is the organization in col (i) listed in your governing document?		(v) Did you notify the organization in col (i) of your support?		(vi) Is the organization in col (i) organized in the U S ?		(vii) Amount of support?
			Yes	No	Yes	No	Yes	No	
<b>Total</b>									

**Part II Support Schedule for Organizations Described in IRC 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)**  
 (Complete only if you checked the box on line 5, 7, or 8 of Part I.)

**Section A. Public Support**

Calendar year (or fiscal year beginning in)	(a) 2005	(b) 2006	(c) 2007	(d) 2008	(e) 2009	(f) Total
1 Gifts, grants, contributions, and membership fees received (Do not include any "unusual grants")						
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
3 The value of services or facilities furnished by a governmental unit to the organization without charge						
4 <b>Total.</b> Add lines 1 through 3						
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f)						
6 <b>Public Support.</b> Subtract line 5 from line 4						

**Section B. Total Support**

Calendar year (or fiscal year beginning in)	(a) 2005	(b) 2006	(c) 2007	(d) 2008	(e) 2009	(f) Total
7 Amounts from line 4						
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources						
9 Net income from unrelated business activities, whether or not the business is regularly carried on						
10 Other income (Explain in Part IV) Do not include gain or loss from the sale of capital assets						
11 <b>Total support</b> (Add lines 7 through 10)						
12 Gross receipts from related activities, etc (See instructions)					12	
13 <b>First Five Years</b> If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a 501(c)(3) organization, check this box and <b>stop here</b>						►

**Section C. Computation of Public Support Percentage**

14 Public Support Percentage for 2009 (line 6 column (f) divided by line 11 column (f))	14	
15 Public Support Percentage for 2008 Schedule A, Part II, line 14	15	
16a <b>33 1/3% support test—2009.</b> If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and <b>stop here</b> . The organization qualifies as a publicly supported organization		►
b <b>33 1/3% support test—2008.</b> If the organization did not check the box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and <b>stop here</b> . The organization qualifies as a publicly supported organization		►
17a <b>10%-facts-and-circumstances test—2009.</b> If the organization did not check a box on line 13, 16a, or 16b and line 14 is 10% or more, and if the organization meets the "facts and circumstances" test, check this box and <b>stop here</b> . Explain in Part IV how the organization meets the "facts and circumstances" test. The organization qualifies as a publicly supported organization		►
b <b>10%-facts-and-circumstances test—2008.</b> If the organization did not check a box on line 13, 16a, 16b, or 17a and line 15 is 10% or more, and if the organization meets the "facts and circumstances" test, check this box and <b>stop here</b> . Explain in Part IV how the organization meets the "facts and circumstances" test. The organization qualifies as a publicly supported organization		►
18 <b>Private Foundation</b> If the organization did not check a box on line 13, 16a, 16b, 17a or 17b, check this box and see instructions		►

**Part III Support Schedule for Organizations Described in IRC 509(a)(2)**  
 (Complete only if you checked the box on line 9 of Part I.)

**Section A. Public Support**

Calendar year (or fiscal year beginning in)	(a) 2005	(b) 2006	(c) 2007	(d) 2008	(e) 2009	(f) Total
1 Gifts, grants, contributions, and membership fees received (Do not include any "unusual grants")						
2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose						
3 Gross receipts from activities that are not an unrelated trade or business under section 513						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
5 The value of services or facilities furnished by a governmental unit to the organization without charge						
<b>6 Total.</b> Add lines 1 through 5						
<b>7a</b> Amounts included on lines 1, 2, and 3 received from disqualified persons						
<b>b</b> Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year						
<b>c</b> Add lines 7a and 7b						
<b>8 Public Support</b> (Subtract line 7c from line 6 )						

**Section B. Total Support**

Calendar year (or fiscal year beginning in)	(a) 2005	(b) 2006	(c) 2007	(d) 2008	(e) 2009	(f) Total
<b>9</b> Amounts from line 6						
<b>10a</b> Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources						
<b>b</b> Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975						
<b>c</b> Add lines 10a and 10b						
<b>11</b> Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on						
<b>12</b> Other income Do not include gain or loss from the sale of capital assets (Explain in Part IV )						
<b>13 Total support</b> (Add lines 9, 10c, 11 and 12 )						
<b>14 First Five Years</b> If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a 501(c)(3) organization, check this box and <b>stop here</b>						

**Section C. Computation of Public Support Percentage**

15 Public Support Percentage for 2009 (line 8 column (f) divided by line 13 column (f))	15
16 Public support percentage from 2008 Schedule A, Part III, line 15	16

**Section D. Computation of Investment Income Percentage**

17 Investment income percentage for 2009 (line 10c column (f) divided by line 13 column (f))	17
18 Investment income percentage from 2008 Schedule A, Part III, line 17	18
19a <b>33 1/3% support tests—2009.</b> If the organization did not check the box on line 14, and line 15 is more than 33 1/3% and line 17 is not more than 33 1/3%, check this box and <b>stop here</b> . The organization qualifies as a publicly supported organization	
<b>b</b> <b>33 1/3% support tests—2008.</b> If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3% and line 18 is not more than 33 1/3%, check this box and <b>stop here</b> . The organization qualifies as a publicly supported organization	
20 <b>Private Foundation</b> If the organization did not check a box on line 14, 19a or 19b, check this box and see instructions	

**Part IV** **Supplemental Information.** Supplemental Information. Complete this part to provide the explanation required by Part II, line 10; Part II, line 17a or 17b; or Part III, line 12. Provide any other additional information. See instructions

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2009

Open to Public  
Inspection**SCHEDULE D**  
(Form 990)**Supplemental Financial Statements**

► Complete if the organization answered "Yes," to Form 990,  
Part IV, line 6, 7, 8, 9, 10, 11, or 12.  
► Attach to Form 990. ► See separate instructions.

Department of the Treasury  
Internal Revenue Service**Name of the organization**

CARNEGIE INSTITUTION OF WASHINGTON

**Employer identification number**

53-0196523

**Part I Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts.** Complete if the organization answered "Yes" to Form 990, Part IV, line 6.

	(a) Donor advised funds	(b) Funds and other accounts
1 Total number at end of year		
2 Aggregate contributions to (during year)		
3 Aggregate grants from (during year)		
4 Aggregate value at end of year		

- 5 Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control?  Yes  No
- 6 Did the organization inform all grantees, donors, and donor advisors in writing that grant funds may be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit?  Yes  No

**Part II Conservation Easements.** Complete if the organization answered "Yes" to Form 990, Part IV, line 7.

- 1 Purpose(s) of conservation easements held by the organization (check all that apply)
- Preservation of land for public use (e.g., recreation or pleasure)  Preservation of an historically importantly land area
- Protection of natural habitat  Preservation of a certified historic structure
- Preservation of open space

- 2 Complete lines 2a-2d if the organization held a qualified conservation contribution in the form of a conservation easement on the last day of the tax year

	Held at the End of the Year
2a	
2b	
2c	
2d	

- 3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the taxable year ► \_\_\_\_\_

- 4 Number of states where property subject to conservation easement is located ► \_\_\_\_\_

- 5 Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds?  Yes  No

- 6 Staff and volunteer hours devoted to monitoring, inspecting and enforcing conservation easements during the year ► \_\_\_\_\_

- 7 Amount of expenses incurred in monitoring, inspecting, and enforcing conservation easements during the year ► \$ \_\_\_\_\_

- 8 Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4)(B)(i) and 170(h)(4)(B)(ii)?  Yes  No

- 9 In Part XIV, describe how the organization reports conservation easements in its revenue and expense statement, and balance sheet, and include, if applicable, the text of the footnote to the organization's financial statements that describes the organization's accounting for conservation easements

**Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.** Complete if the organization answered "Yes" to Form 990, Part IV, line 8.

- 1a If the organization elected, as permitted under SFAS 116, not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education or research in furtherance of public service, provide, in Part XIV, the text of the footnote to its financial statements that describes these items

- b If the organization elected, as permitted under SFAS 116, to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items

(i) Revenues included in Form 990, Part VIII, line 1 ► \$ \_\_\_\_\_

(ii) Assets included in Form 990, Part X ► \$ \_\_\_\_\_

- 2 If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under SFAS 116 relating to these items

a Revenues included in Form 990, Part VIII, line 1 ► \$ \_\_\_\_\_

b Assets included in Form 990, Part X ► \$ \_\_\_\_\_

**Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets (continued)**

3 Using the organization's accession and other records, check any of the following that are a significant use of its collection items (check all that apply)

- a**  Public exhibition  
**b**  Scholarly research  
**c**  Preservation for future generations

- d**  Loan or exchange programs  
**e**  Other

4 Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIV

5 During the year, did the organization solicit or receive donations of art, historical treasures or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection?  Yes  No

**Part IV Escrow and Custodial Arrangements.** Complete if the organization answered "Yes" to Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21.

**1a** Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X?  Yes  No

**b** If "Yes," explain the arrangement in Part XIV and complete the following table

	<b>Amount</b>
<b>1c</b>	
<b>1d</b>	
<b>1e</b>	
<b>1f</b>	

**2a** Did the organization include an amount on Form 990, Part X, line 21?  Yes  No

**b** If "Yes," explain the arrangement in Part XIV

**Part V Endowment Funds.** Complete if the organization answered "Yes" to Form 990, Part IV, line 10.

	<b>(a) Current Year</b>	<b>(b) Prior Year</b>	<b>(c) Two Years Back</b>	<b>(d) Three Years Back</b>	<b>(e) Four Years Back</b>
<b>1a</b> Beginning of year balance . . . . .	531,558,841	739,270,786			
<b>b</b> Contributions . . . . .	32,060	321,305			
<b>c</b> Investment earnings or losses . . . . .	70,665,868	-181,429,437			
<b>d</b> Grants or scholarships . . . . .	2,011,688	1,732,944			
<b>e</b> Other expenditures for facilities and programs . . . . .	24,852,386	22,719,906			
<b>f</b> Administrative expenses . . . . .	2,810,788	2,150,963			
<b>g</b> End of year balance . . . . .	572,581,907	531,558,841			

2 Provide the estimated percentage of the year end balance held as

**a** Board designated or quasi-endowment ► **13 %**

**b** Permanent endowment ► **10 %**

**c** Term endowment ► **77 %**

**3a** Are there endowment funds not in the possession of the organization that are held and administered for the organization by

	<b>Yes</b>	<b>No</b>
<b>3a(i)</b>	Yes	
<b>3a(ii)</b>		No

**b** If "Yes" to 3a(ii), are the related organizations listed as required on Schedule R? . . . . .

**4** Describe in Part XIV the intended uses of the organization's endowment funds

**Part VI Investments—Land, Buildings, and Equipment.** See Form 990, Part X, line 10.

	<b>Description of investment</b>	<b>(a) Cost or other basis (investment)</b>	<b>(b) Cost or other basis (other)</b>	<b>(c) Accumulated depreciation</b>	<b>(d) Book value</b>
<b>1a</b> Land . . . . .	0	817,117			817,117
<b>b</b> Buildings . . . . .	0	89,055,291	23,427,128		65,628,163
<b>c</b> Leasehold improvements . . . . .	0	0	0		0
<b>d</b> Equipment . . . . .	0	144,246,897	61,793,204		82,453,693
<b>e</b> Other . . . . .	0	7,839,580	0		7,839,580
<b>Total.</b> Add lines 1a-1e (Column (d) should equal Form 990, Part X, column (B), line 10(c).) . . . . .					156,738,553

**Part VII Investments—Other Securities.** See Form 990, Part X, line 12

**Part VIII Investments—Program Related.** See Form 990, Part X, line 13

**Part IX Other Assets** See Form 990, Part X, line 15

**Total.** (Column (b) should equal Form 990, Part X, col.(B) line 15.)

**Part X Other Liabilities.** See Form 990, Part X, line 25

**Total. (Column (b) should equal Form 990, Part X, col (B) line 25 )** **15,246,053**

**Part XI Reconciliation of Change in Net Assets from Form 990 to Financial Statements**

1	Total revenue (Form 990, Part VIII, column (A), line 12)	1	92,344,105
2	Total expenses (Form 990, Part IX, column (A), line 25)	2	91,128,853
3	Excess or (deficit) for the year Subtract line 2 from line 1	3	1,215,252
4	Net unrealized gains (losses) on investments	4	50,985,553
5	Donated services and use of facilities	5	-885,068
6	Investment expenses	6	0
7	Prior period adjustments	7	0
8	Other (Describe in Part XIV)	8	0
9	Total adjustments (net) Add lines 4 - 8	9	50,100,485
10	Excess or (deficit) for the year per financial statements Combine lines 3 and 9	10	51,315,737

**Part XII Reconciliation of Revenue per Audited Financial Statements With Revenue per Return**

1	Total revenue, gains, and other support per audited financial statements	1	143,185,122
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12		
a	Net unrealized gains on investments	2a	50,985,553
b	Donated services and use of facilities	2b	-885,068
c	Recoveries of prior year grants	2c	0
d	Other (Describe in Part XIV)	2d	0
e	Add lines 2a through 2d	2e	50,100,485
3	Subtract line 2e from line 1	3	93,084,637
4	Amounts included on Form 990, Part VIII, line 12, but not on line 1		
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a	853,490
b	Other (Describe in Part XIV)	4b	-1,594,022
c	Add lines 4a and 4b	4c	-740,532
5	Total Revenue Add lines 3 and 4c. (This should equal Form 990, Part I, line 12 )	5	92,344,105

**Part XIII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return**

1	Total expenses and losses per audited financial statements	1	92,722,875
2	Amounts included on line 1 but not on Form 990, Part IX, line 25		
a	Donated services and use of facilities	2a	0
b	Prior year adjustments	2b	0
c	Other losses	2c	0
d	Other (Describe in Part XIV)	2d	1,594,022
e	Add lines 2a through 2d	2e	1,594,022
3	Subtract line 2e from line 1	3	91,128,853
4	Amounts included on Form 990, Part IX, line 25, but not on line 1:		
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a	0
b	Other (Describe in Part XIV)	4b	0
c	Add lines 4a and 4b	4c	0
5	Total expenses Add lines 3 and 4c. (This should equal Form 990, Part I, line 18 )	5	91,128,853

**Part XIV Supplemental Information**

Complete this part to provide the descriptions required for Part II, lines 3, 5, and 9, Part III, lines 1a and 4, Part IV, lines 1b and 2b, Part V, line 4, Part X, Part XI, line 8, Part XII, lines 2d and 4b, and Part XIII, lines 2d and 4b. Also complete this part to provide any additional information

Identifier	Return Reference	Explanation
SchD_P05_S00_L04	Schedule D, Part V, Line 4	The organization's endowment funds are intended to support its overall mission of supporting scientific discovery "in the broadest and most liberal manner"
SchD_P06_S00_L01e	Schedule D, Part VI, Line 1e	Art - \$70,805 Construction in Progress - \$7,768,775
SchD_P10_S00_L00	Schedule D, Part X	On July 1, 2007, Carnegie adopted the provisions of FASB Interpretation No. 48, Accounting for Uncertainty in Income Taxes (FIN48) FIN48 required that a tax position be recognized or derecognized based on a 'more-likely-than-not' threshold. This applies to positions taken or expected to be taken in a tax return. The implementation of FIN48 had no impact on the statement of financial position or statement of activities. Carnegie does not believe its financial statements include (or reflect) any uncertain tax positions
SchD_P12_S00_L04b	Schedule D, Part XII, Line 4b	Rental expenses
SchD_P13_S00_L02d	Schedule D, Part XIII, Line 2d	rent expense

**SCHEDULE E**  
(Form 990 or 990-EZ)**Schools****2009**Open to Public  
Inspection►Complete if the organization answered "Yes" to Form 990, Part IV, line 13,  
or Form 990-EZ, Part VI, line 48.

► Attach to Form 990 or Form 990-EZ.

Department of the Treasury  
Internal Revenue Service

Name of the organization

CARNEGIE INSTITUTION OF WASHINGTON

Employer identification number

53-0196523

**1** Does the organization have a racially nondiscriminatory policy toward students by statement in its charter, bylaws, other governing instrument, or in a resolution of its governing body?

	YES	NO
<b>1</b>	Yes	

**2** Does the organization include a statement of its racially nondiscriminatory policy toward students in all its brochures, catalogues, and other written communications with the public dealing with student admissions, programs, and scholarships?

<b>2</b>	Yes	
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**3** Has the organization publicized its racially nondiscriminatory policy through newspaper or broadcast media during the period of solicitation for students, or during the registration period if it has no solicitation program, in a way that makes the policy known to all parts of the general community it serves? If "Yes," please describe. If "No," please explain

Our non-discrimination policy is available on our website, www.ciw.edu, under Policies and Procedures

<b>3</b>	Yes	
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**4** Does the organization maintain the following?

- a** Records indicating the racial composition of the student body, faculty, and administrative staff?
- b** Records documenting that scholarships and other financial assistance are awarded on a racially nondiscriminatory basis?
- c** Copies of all catalogues, brochures, announcements, and other written communications to the public dealing with student admissions, programs, and scholarships?
- d** Copies of all material used by the organization or on its behalf to solicit contributions?

If you answered "No" to any of the above, please explain. If you need more space, use Schedule O (Form 990)

<b>4a</b>	Yes	
<b>4b</b>	Yes	
<b>4c</b>	Yes	
<b>4d</b>	Yes	

**5** Does the organization discriminate by race in any way with respect to

- a** Students' rights or privileges?

<b>5a</b>	No	
-----------	----	--

- b** Admissions policies?

<b>5b</b>	No	
-----------	----	--

- c** Employment of faculty or administrative staff?

<b>5c</b>	No	
-----------	----	--

- d** Scholarships or other financial assistance?

<b>5d</b>	No	
-----------	----	--

- e** Educational policies?

<b>5e</b>	No	
-----------	----	--

- f** Use of facilities?

<b>5f</b>	No	
-----------	----	--

- g** Athletic programs?

<b>5g</b>	No	
-----------	----	--

- h** Other extracurricular activities?

If you answered "Yes" to any of the above, please explain. If you need more space, use Schedule O (Form 990)

<b>5h</b>	No	
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**6a** Does the organization receive any financial aid or assistance from a governmental agency?

<b>6a</b>	Yes	
<b>6b</b>	No	

- b** Has the organization's right to such aid ever been revoked or suspended?

If you answered "Yes" to either line 6a or line 6b, explain on Schedule O (Form 990).

**7** Does the organization certify that it has complied with the applicable requirements of sections 401 through 405 of Rev. Proc. 75-50, 1975-2 C B 587, covering racial nondiscrimination? If "No," explain on Schedule O (Form 990)

<b>7</b>	Yes	
----------	-----	--

Department of the Treasury  
Internal Revenue Service

## **Statement of Activities Outside the United States**

- Complete if the organization answered "Yes" to Form 990, Part IV, line 14b, 15, or 16.
- Attach to Form 990. ► See separate instructions.

**Employer identification number**

53-0196523

**Part I General Information on Activities Outside the United States.** Complete if the organization answered "Yes" to Form 990, Part IV, line 14b.

**1 For grantmakers.** Does the organization maintain records to substantiate the amount of the grants or assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance?  Yes  No

**2 For grantmakers.** Describe in Part IV the organization's procedures for monitoring the use of grant funds outside the United States

**3 Activities per Region (Use Schedule F-1 (Form 990) if additional space is needed )**

**Part II Grants and Other Assistance to Organizations or Entities Outside the United States.** Complete if the organization answered "Yes" to Form 990, Part IV, line 15, for any recipient who received more than \$5,000. Check this box if no one recipient received more than \$5,000. . . . .  Use Schedule F-1 (Form 990) if additional space is needed.

2 Enter total number of recipient organizations listed above that are recognized as charities by the foreign country, recognized as tax-exempt by the IRS, or for which the grantee or counsel has provided a section 501(c)(3) equivalency letter . . . . . ► \_\_\_\_\_

3 Enter total number of other organizations or entities . . . . . ► \_\_\_\_\_

**Part III Grants and Other Assistance to Individuals Outside the United States.** Complete if the organization answered "Yes" to Form 990, Part IV, line 16. Use Schedule F-1 (Form 990) if additional space is needed.

**Part IV Supplemental Information**

Complete this part to provide the information required in Part I, line 2, and any additional information

Identifier	ReturnReference	Explanation
SchF_P01_S00_L02	Schedule F, Part I, Line 2	<p>As a research institution, Carnegie provides fellows with the opportunity to pursue independent research and the training to acquire the additional skills and expertise needed to become a successful scientist. Carnegie monitors the fellowship experience to achieve both objectives. Fellows pursue their research programs relatively independently but have full access to Carnegie facilities and staff members and typically perform their experiments and scientific work on-site and in collaboration with other Carnegie scientists. Fellows in the physical sciences typically collaborate with a senior staff member on research projects. This provides an ongoing vehicle for monitoring and supporting the work of the fellow. Carnegie's various administrative and research policies apply to fellows. In Carnegie's structure, department directors are responsible for assuring that fellows follow these procedures and carry out the research supported through externally or internally-funded fellowships. The fellows listed below are stationed at the Carnegie facility in Las Campanas, Chile.</p>

## Additional Data

**Software ID:**  
**Software Version:**  
**EIN:** 53-0196523  
**Name:** CARNEGIE INSTITUTION OF WASHINGTON

### Form 990 Schedule F Part I - Activities Outside The United States

(a) Region	(b) Number of offices in the region	(c) Number of employees or agents in region	(d) Activities conducted in region (by type) (i.e., fundraising, program services, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for region
South America	2	65	Program Services	Telescope operations for research	5,041,860
South America	0	2	Grantmaking	2 Fellowships at the Observatories in Chile	776,908
Europe (including Iceland and Greenland)			Program Services	AMASE Research Expedition	280,338
South America	0	0	Program Services	Telescope observation runs	156,409
East Asia and the Pacific	0	0	Program Services	Planetary search fieldwork and Strainmeter installation	120,749
Europe (including Iceland and Greenland)	0	0	Program Services	Dept of Terrestrial Magnetism workshops, meetings & conferences	117,350
South America	0	0	Program Services	Scientific observation runs	103,305
Central America and the Caribbean	0	0	Program Services	Carnegie Airborne Observatory research	78,649
Europe (including Iceland and Greenland)	0	0	Program Services	Meetings/conferences attended	59,239
South America	0	0	Program Services	Telescope engineering & maintenance	41,708
East Asia and the Pacific			Program Services	Deep Carbon Observatory meetings	46,995
East Asia and the Pacific	0	0	Program Services	Collaboration & conferences with area scientists	39,779
Europe (including Iceland and Greenland)	0	0	Program Services	Equipment research, Strainmeter installation	33,296
South America	0	0	Program Services	Carnegie Airborne Observatory research	24,689
South America	0	0	Program Services	Meetings attended	23,585
East Asia and the Pacific			Program Services	AIRAPT Conference	22,545
East Asia and the Pacific	0	0	Program Services	Geophysical meetings and conferences	20,420
Sub-Saharan Africa	0	0	Program Services	Carnegie Airborne Observatory research	10,673
Central America and the Caribbean	0	0	Program Services	Strainmeter installation	9,962
South America	0	0	Program Services	IAU General Assembly, AstroBio 2010 Conference	9,876
Europe (including Iceland and Greenland)			Program Services	Deep Carbon Observatory meetings	9,811
North America (including Canada and Mexico, but not the United States)	0	0	Program Services	Superior Province fieldwork	8,917
Middle East and North Africa	0	0	Program Services	Tel Aviv University lecture	7,260
North America (including Canada and Mexico, but not the United States)	0	0	Program Services	Canadian Astronomical Society meeting	3,635
Russia and the newly independent States			Program Services	Deep Carbon Observatory meetings	2,527
North America (including Canada and Mexico, but not the United States)			Program Services	Deep Carbon Observatory meetings	934

**Schedule I  
(Form 990)**

## **Grants and Other Assistance to Organizations, Governments and Individuals in the United States**

**Complete if the organization answered "Yes," to Form 990, Part IV, line 21 or 22.**

► Attach to Form 990

2009

**Open to Public  
Inspection**

Department of the Treasury  
Internal Revenue Service

Name of the organization  
**CARNEGIE INSTITUTION OF WASHINGTON**

**Employer identification number**

## **Part I General Information on Grants and Assistance**

- 1 Does the organization maintain records to substantiate the amount of the grants or assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? . . . . .  Yes  No

2 Describe in Part IV the organization's procedures for monitoring the use of grant funds in the United States

**Part II Grants and Other Assistance to Governments and Organizations in the United States.** Complete if the organization answered "Yes" to Form 990, Part IV, line 21 for any recipient that received more than \$5,000. Check this box if no one recipient received more than \$5,000. Use Part IV and Schedule I-1 (Form 990) if additional space is needed.

<b>(a) Name and address of organization or government</b>	<b>(b) EIN</b>	<b>(c) IRC Code section if applicable</b>	<b>(d) Amount of cash grant</b>	<b>(e) Amount of non-cash assistance</b>	<b>(f) Method of valuation (book, FMV, appraisal, other)</b>	<b>(g) Description of non-cash assistance</b>	<b>(h) Purpose of grant or assistance</b>
See Additional Data Table							

**Part III Grants and Other Assistance to Individuals in the United States.** Complete if the organization answered "Yes" to Form 990, Part IV, line 22. Use Schedule I-1 (Form 990) if additional space is needed.

(a) Type of grant or assistance	(b) Number of recipients	(c) Amount of cash grant	(d) Amount of non-cash assistance	(e) Method of valuation (book, FMV, appraisal, other)	(f) Description of non-cash assistance
Fellowship	68	3,453,456			
See Additional Data Table					

**Part IV Supplemental Information.** Complete this part to provide the information required in Part I, line 2, and any other additional information.

Identifier	Return Reference	Explanation
SchI_P01_S00_L02	Schedule I, Part I, Line 2	As a research institution, Carnegie provides fellows with the opportunity to pursue independent research and the training to acquire the additional skills and expertise needed to become a successful scientist. Carnegie monitors the fellowship experience to achieve both objectives. Fellows pursue their research program relatively independently but have full access to Carnegie facilities and staff members and typically perform their experiments and scientific work on-site and in collaboration with other Carnegie scientists. Fellows in the biological sciences apply to Carnegie mainly to learn the research techniques and research areas of a particular Carnegie staff scientist, that is, to work in that principal investigator's (PI) lab. Labs routinely engage a number of different people, including a PI, technicians, postdoctoral scientists, and researchers. The PI monitors the work of the fellow on an ongoing basis, critiques the fellows' research, makes suggestions for avenues to explore, and provides ongoing mentoring. Fellows in the physical sciences typically collaborate with a senior staff member on research projects. This provides an ongoing vehicle for monitoring and supporting the work of the fellow. Fellows are asked to present and defend their research to other scientists both at Carnegie and at other institutions. This process helps to monitor a fellows' scientific progress and permits adjustments as necessary. Carnegie's various administrative and research policies apply to fellows. In Carnegie's structure, department directors are responsible for assuring that fellows follow these procedures and carry out the research supported through externally or internally-funded fellowships.

**Software ID:** 09000073  
**Software Version:** v1.00  
**EIN:** 53-0196523  
**Name:** CARNEGIE INSTITUTION OF WASHINGTON

**Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States**

(a) Name and address of organization or government	(b) EIN	(c) IRC Code section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
THE REGENTS OF THE UNIVERSITY OF CALIFORNIA 10920 WILSHIRE BLVD STE 107 LOS ANGELES, CA 900246503	95-6006143	501(c)3	176,590	0			Participant support, academic partnership to train young scientists
STANFORD UNIVERSITY PO BOX 44253 SAN FRANCISCO, CA 941444253	94-1156365	501(c)3	163,846	0			Participant support, academic partnership to train young scientists
CALIFORNIA INSTITUTE OF TECHNOLOGY 1200 E CALIFORNIA BLVD PASADENA, CA 91125	95-1643307	501(c)3	143,031	0			Participant support, academic partnership to train young scientists
UNIVERSITY OF ILLINOIS 1901 SOUTH FIRST ST A CHAMPAIGN, IL 618207406	37-6000511	501(c)3	105,867	0			Participant support, academic partnership to train young scientists
ARIZONA STATE UNIVERSITY PO BOX 873503 TEMPE, AZ 852873503	86-0196696	501(c)3	97,022	0			Participant support, academic partnership to train young scientists
UNIVERSITY OF ALABAMA AT BIRMINGHAM UNIVERSITY STATION BIRMINGHAM, AL 35294	63-6005396	501(c)3	81,462	0			Participant support, academic partnership to train young scientists
NORTWESTERN UNIVERSITY 633 CLARK ST RM G547 EVANSTON, IL 602081112	36-2167817	501(c)3	75,425	0			Participant support, academic partnership to train young scientists
PRINCETON UNIVERSITY OFFICE OF RESEARCH AND PROJECT ADM 4 NEW SOUTH BLDG PO BOX 36 PRINCETON, NJ 08544	21-0634501	501(c)3	68,427	0			Participant support, academic partnership to train young scientists
WASHINGTON UNIVERSITY IN ST LOUIS 700 ROSEDALE AVE ST LOUIS, MO 631121408	43-0653611	501(c)3	46,207	0			Participant support, academic partnership to train young scientists
THE UNIVERSITY OF ARIZONA PO BOX 3520 TUCSON, AZ 857223520	74-2652689	501(c)3	42,289	0			Participant support, academic partnership to train young scientists

**Form 990, Schedule I, Part II, Grants and Other Assistance to Governments and Organizations in the United States**

<b>(a)</b> Name and address of organization or government	<b>(b)</b> EIN	<b>(c)</b> IRC Code section if applicable	<b>(d)</b> Amount of cash grant	<b>(e)</b> Amount of non-cash assistance	<b>(f)</b> Method of valuation (book, FMV, appraisal, other)	<b>(g)</b> Description of non-cash assistance	<b>(h)</b> Purpose of grant or assistance
UNIVERSITY OF CHICAGO 5801 S ELLIS AVE CHICAGO, IL 60637	36-2177139	501(c)3	40,011	0			Participant support, academic partnership to train young scientists
YALE UNIVERSITY PO Box 208239 NEW HAVEN, CT 065208239	06-0646973	501(c)3	37,558	0			Participant support, academic partnership to train young scientists
FLORIDA INTERNATIONAL UNIVERSITY 11200 SW 8th Street MIAMI, FL 33199	65-0177616	501(c)3	22,799	0			Participant support, academic partnership to train young scientists
OHIO STATE UNIVERSITY OFFICE OF SPONSORED RESEARCH 1960 KENNY RD COLUMBUS, OH 432101003	31-6025986	501(c)3	17,612	0			Participant support, academic partnership to train young scientists
UNIVERSITY OF TEXAS AT AUSTIN 601 Colorado Street AUSTIN, TX 787012982	74-6000203	501(c)3	13,057	0			Participant support, academic partnership to train young scientists

**Schedule J**  
(Form 990)**Compensation Information**

OMB No 1545-0047

**2009****Open to Public  
Inspection**Department of the Treasury  
Internal Revenue Service

For certain Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees  
**► Complete if the organization answered "Yes" to Form 990, Part IV, question 23.**  
**► Attach to Form 990. ► See separate instructions.**

**Name of the organization**

CARNEGIE INSTITUTION OF WASHINGTON

**Employer identification number**

53-0196523

**Part I Questions Regarding Compensation**

Yes No

**1a** Check the appropriate box(es) if the organization provided any of the following to or for a person listed in Form 990, Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items

- |  |  |
|--|--|
| <input type="checkbox"/> First-class or charter travel             | <input type="checkbox"/> Housing allowance or residence for personal use |
| <input type="checkbox"/> Travel for companions                     | <input type="checkbox"/> Payments for business use of personal residence |
| <input type="checkbox"/> Tax indemnification and gross-up payments | <input type="checkbox"/> Health or social club dues or initiation fees   |
| <input type="checkbox"/> Discretionary spending account            | <input type="checkbox"/> Personal services (e.g., maid, chauffeur, chef) |

**b** If any of the boxes in line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all the expenses described above? If "No," complete Part III to explain

**2** Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all officers, directors, trustees, and the CEO/Executive Director, regarding the items checked in line 1a?

**3** Indicate which, if any, of the following the organization uses to establish the compensation of the organization's CEO/Executive Director. Check all that apply

- |  |   |
|--|---|
| <input type="checkbox"/> Compensation committee              | <input type="checkbox"/> Written employment contract                                |
| <input type="checkbox"/> Independent compensation consultant | <input checked="" type="checkbox"/> Compensation survey or study                    |
| <input type="checkbox"/> Form 990 of other organizations     | <input checked="" type="checkbox"/> Approval by the board or compensation committee |

**4** During the year, did any person listed in Form 990, Part VII, Section A, line 1a with respect to the filing organization or a related organization

**a** Receive a severance payment or change-of-control payment?

**b** Participate in, or receive payment from, a supplemental nonqualified retirement plan?

**c** Participate in, or receive payment from, an equity-based compensation arrangement?

If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III

**Only 501(c)(3) and 501(c)(4) organizations only must complete lines 5-9.**

**5** For persons listed in Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of

**a** The organization?

**b** Any related organization?

If "Yes," to line 5a or 5b, describe in Part III

**6** For persons listed in Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of

**a** The organization?

**b** Any related organization?

If "Yes," to line 6a or 6b, describe in Part III

**7** For persons listed in Form 990, Part VII, Section A, line 1a, did the organization provide any non-fixed payments not described in lines 5 and 6? If "Yes," describe in Part III

**8** Were any amounts reported in Form 990, Part VII, paid or accrued pursuant to a contract that was subject to the initial contract exception described in Regs. section 53.4958-4(a)(3)? If "Yes," describe in Part III

**9** If "Yes" to line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)?

**Part II Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees.** Use Schedule J-1 if additional space needed.

For each individual whose compensation must be reported in Schedule J, report compensation from the organization on row (i) and from related organizations, described in the instructions on row (ii). Do not list any individuals that are not listed on Form 990, Part VII

**Note.** The sum of columns (B)(i)-(iii) must equal the applicable column (D) or column (E) amounts on Form 990, Part VII, line 1a.

**Part III Supplemental Information**

Complete this part to provide the information, explanation, or descriptions required for Part I, lines 1a, 1b, 4c, 5a, 5b, 6a, 6b, 7, and 8. Also complete this part for any additional information

Identifier	Return Reference	Explanation
SchJ_P02_S00_L00	Schedule J, Part II	See Statement 6

**Software ID:** 09000073  
**Software Version:** v1.00  
**EIN:** 53-0196523  
**Name:** CARNEGIE INSTITUTION OF WASHINGTON

**Form 990, Schedule J, Part II - Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees**

(A) Name	(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation reported in prior Form 990 or Form 990-EZ
	(i) Base Compensation	(ii) Bonus & incentive compensation	(iii) Other compensation				
Richard Meserve	(i) 455,059 (ii) 0	0 0	0 0	0 0	57,187 0	512,246 0	0 0
Gary Kowalczyk	(i) 198,896 (ii) 0	0 0	0 0	0 0	37,722 0	236,618 0	0 0
Lisa Klow	(i) 51,557 (ii) 0	0 0	0 0	0 0	16,719 0	68,276 0	0 0
Russel Hemley	(i) 235,990 (ii) 0	0 0	0 0	0 0	51,881 0	287,871 0	0 0
Sean Solomon	(i) 225,271 (ii) 0	0 0	0 0	0 0	53,454 0	278,725 0	0 0
Wendy Freedman	(i) 229,632 (ii) 0	0 0	0 0	0 0	38,325 0	267,957 0	0 0
Wolf Frommer	(i) 214,403 (ii) 0	0 0	0 0	0 0	44,682 0	259,085 0	0 0
Christopher Field	(i) 226,284 (ii) 0	0 0	0 0	0 0	51,490 0	277,774 0	0 0
Ken Caldeira	(i) 244,037 (ii) 0	0 0	0 0	0 0	41,110 0	285,147 0	0 0
Ho Kwang Mao	(i) 221,423 (ii) 0	0 0	0 0	0 0	49,917 0	271,340 0	0 0
Erik Hauri	(i) 180,168 (ii) 0	0 0	0 0	0 0	28,226 0	208,394 0	0 0
Ronald Cohen	(i) 176,939 (ii) 0	0 0	0 0	0 0	30,594 0	207,533 0	0 0
Patrick McCarthy	(i) 177,335 (ii) 0	0 0	0 0	0 0	35,178 0	212,513 0	0 0
Joseph Gall	(i) 179,877 (ii) 0	0 0	0 0	0 0	40,573 0	220,450 0	0 0
Steve Shectman	(i) 178,761 (ii) 0	0 0	0 0	0 0	37,788 0	216,549 0	0 0
Mark Phillips	(i) 167,502 (ii) 0	0 0	0 0	0 0	44,222 0	211,724 0	0 0
Seung Rhee	(i) 154,874 (ii) 0	0 0	0 0	0 0	21,588 0	176,462 0	0 0

**Schedule K  
(Form 990)**

OMB No 1545-0047

**Supplemental Information on Tax Exempt Bonds****2009**

► Complete if the organization answered "Yes" to Form 990, Part IV, line 24a. Provide descriptions, explanations, and any additional information in Schedule O (Form 990).

► Attach to Form 990. ► See separate instructions.

**Open to Public  
Inspection**Department of the Treasury  
Internal Revenue ServiceName of the organization  
CARNEGIE INSTITUTION OF WASHINGTONEmployer identification number  
53-0196523**Part I Bond Issues**

	(a) Issuer Name	(b) Issuer EIN	(c) CUSIP #	(d) Date Issued	(e) Issue Price	(f) Description of Purpose	(g) Defeased		(h) On Behalf of Issuer	
							Yes	No	Yes	No
A	Maryland Health & Higher Educational Facilities Authority (MHHEFA) on behalf of Carnegie Institution of Washington	52-0936091	574217JB2	02-04-2010	30,580,000	Refund prior MHHEFA bonds issued to construct & equip new facility for Carnegie's Dept of Embryology	X			X
B	California Educational Facilities Authority (CEFA) on behalf of Carnegie Institution of Washington	52-1705592	130178VS2	03-24-2010	34,525,000	Refund prior CEFA bonds issued to finance telescope proj and renovate facilities at Dept of OBS		X		X

**Part II Proceeds**

		A		B		C		D		E	
		30,505,440	36,365,183								
1	Total proceeds of issue										
2	Gross proceeds in reserve funds										
3	Proceeds in refunding or defeasance escrows										
4	Other unspent proceeds	9,882	16,846								
5	Issuance costs from proceeds	553,594	565,183								
6	Working capital expenditures from proceeds										
7	Capital expenditures from proceeds	30,000,000	35,800,000								
8	Year of substantial completion	2005	2003								
9	Were the bonds issued as part of a current refunding issue?	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No
10	Were the bonds issued as part of an advance refunding issue?		X		X						
11	Has the final allocation of proceeds been made?	X		X							
12	Does the organization maintain adequate books and records to support the final allocation of proceeds?	X		X							

**Part III Private Business Use**

	A		B		C		D		E	
	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No
1	Was the organization a partner in a partnership, or a member of an LLC, which owned property financed by tax-exempt bonds?		X		X					
2	Are there any lease arrangements with respect to the financed property which may result in private business use?		X		X					

**Part III Private Business Use (Continued)**

	A		B		C		D		E	
	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No
3a Are there any management or service contracts with respect to the financed property which may result in private business use?		X		X						
3b Are there any research agreements with respect to the financed property which may result in private business use?		X		X						
3c Does the organization routinely engage bond counsel or other outside counsel to review any management or service contracts or research agreements relating to the financed property?	X		X							
4 Enter the percentage of financed property used in a private business use by entities other than a section 501(c)(3) organization or a state or local government ►		0 %		0 %						
5 Enter the percentage of financed property used in a private business use as a result of unrelated trade or business activity carried on by your organization, another section 501(c)(3) organization, or a state or local government ►		0 %		0 %						
6 Total of lines 4 and 5		0 %		0 %						
7 Has the organization adopted management practices and procedures to ensure the post-issuance compliance of its tax-exempt bond liabilities?	X		X							

**Part IV Arbitrage**

	A		B		C		D		E	
	Yes	No								
1 Has a Form 8038-T, Arbitrage Rebate, Yield Reduction and Penalty in Lieu of Arbitrage Rebate, been filed with respect to the bond issue?		X		X						
2 Is the bond issue a variable rate issue?		X		X						
3a Has the organization or the governmental issuer identified a hedge with respect to the bond issue on its books and records?		X		X						
<b>b</b> Name of provider										
<b>c</b> Term of hedge										
4a Were gross proceeds invested in a GIC?		X		X						
<b>b</b> Name of provider										
<b>c</b> Term of GIC										
<b>d</b> Was the regulatory safe harbor for establishing the fair market value of the GIC satisfied?										
5 Were any gross proceeds invested beyond an available temporary period?		X		X						
6 Did the bond issue qualify for an exception to rebate?	X		X							

## Schedule L

## Transactions with Interested Persons

► Complete if the organization answered "Yes" on Form 990, Part IV, lines 25a, 25b, 26, 27, 28a, 28b, or 28c, or Form 990-EZ, Part V lines 38a or 40b.

► Attach to Form 990 or Form 990-EZ. ► See separate instructions.

OMB No 1545-0047

2009

**Open to Public  
Inspection**

Department of the Treasury  
Internal Revenue Service

**Name of the organization**  
CARNEGIE INSTITUTION OF WASHINGTON

**Employer identification number**

53-019652

**Part I Excess Benefit Transactions (section 501(c)(3) and section 501 (c)(4) organizations only)**

Complete if the organization answered "Yes" on Form 990, Part IV, line 25a or 25b, or Form 990-EZ, Part V, line 40b.

1	(a) Name of disqualified person	(b) Description of transaction	(c) Corrected:	
			Yes	No

2 Enter the amount of tax imposed on the organization managers or disqualified persons during the year under section 4958 . . . . .  \$ \_\_\_\_\_

3 Enter the amount of tax, if any, on line 2, above, reimbursed by the organization . . . . . \$

**Part II      Loans to and/or From Interested Persons.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 26, or Form 990-EZ, Part V, line 38a.

## Total

### **Part III Grants or Assistance Benefitting Interested Persons.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 27.

Part IV Business Transactions Involving Interested Persons.

Complete if the organization answered "Yes" on Form 990, Part IV, line 28a, 28b, or 28c.

Complete if the organization answered 'Yes' on Form 990, Part IV, line 2(a), 2(b), or 2(c).				
(a) Name of interested person	(b) Relationship between interested person and the organization	(c) Amount of transaction	(d) Description of transaction	(e) Sharing of organization's revenues?
				Yes
Merit Energy Company	Trustee, William Gayden	1,865,314	Contributions to Merit Investment Fund G	No

SCHEDULE M  
(Form 990)

## NonCash Contributions

OMB No 1545-0047

2009

Open to Public  
InspectionDepartment of the Treasury  
Internal Revenue Service►Complete if the organization answered "Yes" on Form  
990, Part IV, lines 29 or 30.  
► Attach to Form 990.Name of the organization  
CARNEGIE INSTITUTION OF WASHINGTON

Employer identification number

53-0196523

## Part I Types of Property

	(a) Check if applicable	(b) Number of Contributions	(c) Revenues reported on Form 990, Part VIII, line 1g	(d) Method of determining revenues
1 Art—Works of art . . . . .				
2 Art—Historical treasures . . . . .				
3 Art—Fractional interests . . . . .				
4 Books and publications . . . . .				
5 Clothing and household goods . . . . .				
6 Cars and other vehicles . . . . .				
7 Boats and planes . . . . .				
8 Intellectual property . . . . .				
9 Securities—Publicly traded . . . . .	X	5	77,934	FMV
10 Securities—Closely held stock . . . . .	X	1	21,152	FMV
11 Securities—Partnership, LLC, or trust interests . . . . .				
12 Securities—Miscellaneous . . . . .				
13 Qualified conservation contribution—Historic structures . . . . .				
14 Qualified conservation contribution—Other . . . . .				
15 Real estate—Residential . . . . .				
16 Real estate—Commercial . . . . .				
17 Real estate—Other . . . . .				
18 Collectibles . . . . .				
19 Food inventory . . . . .				
20 Drugs and medical supplies . . . . .				
21 Taxidermy . . . . .				
22 Historical artifacts . . . . .				
23 Scientific specimens . . . . .				
24 Archeological artifacts . . . . .				
25 Other ►( _____ )				
26 Other ►( _____ )				
27 Other ►( _____ )				
28 Other ►( _____ )				
29 Number of Forms 8283 received by the organization during the tax year for contributions for which the organization completed Form 8283, Part IV, Donee Acknowledgement . . . . .			29	

	Yes	No
30a During the year, did the organization receive by contribution any property reported in Part I, lines 1-28 that it must hold for at least three years from the date of the initial contribution, and which is not required to be used for exempt purposes for the entire holding period? . . . . .	30a	No
b If "Yes," describe the arrangement in Part II		
31 Does the organization have a gift acceptance policy that requires the review of any non-standard contributions?	31	Yes
32a Does the organization hire or use third parties or related organizations to solicit, process, or sell non-cash contributions? . . . . .	32a	Yes
b If "Yes," describe in Part II		
33 If the organization did not report revenues in column (c) for a type of property for which column (a) is checked, describe in Part II		

**Part II**

**Supplemental Information.** Complete this part to provide the information required by Part I, lines 30b, 32b, and 33. Also complete this part for any additional information.

<b>Identifier</b>	<b>Return Reference</b>	<b>Explanation</b>
SchM_P01_S00_L32b	Schedule M, Part I, Line 32b	The organization uses its custodial bank, State Street, to process and sell stock contributions received from donors

**Additional Data**

**Software ID:**  
**Software Version:**  
**EIN:** 53-0196523  
**Name:** CARNEGIE INSTITUTION OF WASHINGTON

efile GRAPHIC print - DO NOT PROCESS	As Filed Data -	DLN: 93493136018451
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OMB No 1545-0047

**2009****Open to Public  
Inspection****SCHEDULE O**  
(Form 990)**Supplemental Information to Form 990**

Complete to provide information for responses to specific questions on  
**Form 990 or to provide any additional information.**  
**► Attach to Form 990.**

Department of the Treasury  
Internal Revenue Service

**Employer identification number**

53-0196523

Identifier	Return Reference	Explanation
F990_P06_S0B_L11	Form 990, Part VI, Section B, Line 11	The entire Board received a copy of the proposed filing by electronic means before it was submitted to the IRS. Any individual Board member who wished to make a comment concerning the filing provided comments to the Chair of the Audit Committee and the President prior to the filing. The Audit Committee reviewed the proposed filing in two steps. First, prior to the filing, the Committee received the form for detailed review and discussed the submission at a meeting of the Audit Committee. The Committee was asked, in particular, to review key governance and policy responses to assure the information accurately describes the Board's governance and fiduciary responsibilities. Any comments from the Committee were provided to the President so that any necessary revisions could be made. Second, within six months after the filing, the Audit Committee will provide the full board with any recommendations for future changes to the Form 990 submission and/or the Institution's policies or procedures.

Identifier	Return Reference	Explanation
F990_P06_S0B_L12c	Form 990, Part VI, Section B, Line 12c	Each year the Board of Trustees and key officers receive a conflict of interest package to complete that includes the Institution's policy, an updated list of organizations through which the Institution invests, and other information. Individuals receiving the package are required to respond by completing a signed, dated form. All conflicts of interest forms are collected by the Assistant Secretary to the Board and provided to the Director, Administration and Finance. The Director, Administration and Finance, consults with the Institution's outside counsel concerning any issues and required follow-up resulting from the review. Required actions are fact specific.

Identifier	Return Reference	Explanation
F990_P06_S0B_L15	Form 990, Part VI, Section B, Line 15	The Employee Affairs Committee of the Board of Trustees annually conducts a review of the compensation of the President and the Director, Administration and Finance. The review includes comparability data prepared by the Manager of Human Resources and Insurance. The results of the review are documented in the minutes of the meeting of the Committee. Both were reviewed in 2010.

Identifier	Return Reference	Explanation
F990_P06_S0C_L19	Form 990, Part VI, Section C, Line 19	The governing documents, audited financial statements, and employee conflict of interest policy are available on our website <a href="http://www.cw.edu">www.cw.edu</a> . The trustee conflict of interest policy is available upon written request.

Identifier	Return Reference	Explanation
SchK_P02_S00_L07	Schedule K, Part II, Line 7	MARYLAND HEALTH AND HIGHER EDUCATION FACILITIES AUTHORITY (MHHEFA), on behalf of Carnegie This issue was used to refund prior MHHEFA bonds of \$30 million issued in October, 2002, the proceeds of which were used to construct and equip a new facility for Carnegie's Department of Embryology on the Johns Hopkins Homewood Campus in Baltimore, Maryland. Construction began in April 2003 and the facility was occupied in September 2005. The 2010 series was issued at a discount of \$74,561 and amounts borrowed in excess of \$30 million were used to cover issuance costs. CALIFORNIA EDUCATIONAL FACILITIES AUTHORITY (CEFA), on behalf of Carnegie This issue was used to refund \$17.5 million of 1993 Series B California Educational Facilities Authority Revenue tax-exempt bonds and \$18.3 million of 2006 Series A CEFA Refunding Revenue tax-exempt bonds which refunded all outstanding 1993 Series A California Educational Facilities Authority Revenue tax-exempt bonds. 1993 Series A & B bonds were used to finance the Magellan telescope project and the renovation of the facilities of the Observatories at Pasadena. The telescope project was completed in 2003. The 2010 Series was issued at a premium of \$1,840,183 and amounts in excess of \$35.8 million were used to cover issuance costs.

**Additional Data**

**Software ID:**  
**Software Version:**  
**EIN:** 53-0196523  
**Name:** CARNEGIE INSTITUTION OF WASHINGTON

**Form 990, Part VII - Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors**

(A) Name and Title	(B) Average hours per week	(C) Position (check all that apply)					(D) Reportable compensation from the organization (W- 2/1099-MISC)	(E) Reportable compensation from related organizations (W- 2/1099- MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Or director	Individual trustee	Institutional Trustee	Officer	Key employee	Highest compensated employee		
Remi Barbier Trustee	1	X						0	0
Samuel W Bodman Trustee	1	X						0	0
John C Botts Trustee	1	X						0	0
John F Crawford Trustee	1	X						0	0
W Gary Ernst Trustee	1	X						0	0
Sandra M Faber Trustee	1	X						0	0
Bruce W Ferguson Trustee	1	X						0	0
Stephen P A Fodor Trustee	1	X						0	0
William Gayden Trustee	1	X						0	0
Michael Gellert Trustee	1	X						0	0
Robert G Goelet Trustee	1	X						0	0
William R Hearst III Trustee	1	X						0	0
Suzanne Nora Johnson Trustee	1	X						0	0
MaryClaire King Trustee	1	X						0	0
Rush D Holt Jr Trustee	1	X						0	0
Deborah Rose Trustee	1	X						0	0
Maxine F Singer Trustee	1	X						0	0
Christopher T S Stone Trustee	1	X						0	0
William I M Turner Jr Trustee	1	X						0	0
Mary Lou Zoback Trustee	1	X						0	0
Richard Meserve President	50			X				455,059	0
Gary Kowalczyk Director of Administration/Finance	50			X				198,896	0
Lisa Klow Assistant Secretary to the Board	40			X				51,557	0
Russel Hemley Department Director	50				X			235,990	0
Wendy Freedman Department Director	50				X			229,632	0

**Form 990, Part VII - Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors**

(A) Name and Title	(B) Average hours per week	(C) Position (check all that apply)					(D) Reportable compensation from the organization (W- 2/1099-MISC)	(E) Reportable compensation from related organizations (W- 2/1099- MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Or director	Individual trustee	Institutional Trustee	Office	Key employee	Highest compensated employee	Former	
Sean Solomon Department Director	50				X			225,271	0 53,454
Wolf Frommer Department Director	50				X			214,403	0 44,682
Allan C Spradling Department Director	50				X			0	0 0
Christopher Field Department Director	50				X			226,284	0 51,490
Ken Caldeira Staff	50					X		244,037	0 41,110
Ho Kwang Mao Staff	50					X		221,423	0 49,917
Erik Hauri Staff	50					X		180,168	0 28,226
Ronald Cohen Staff	50					X		176,939	0 30,594
Patrick McCarthy Staff	50					X		177,335	0 35,178
Joseph Gall Staff	50						X	179,877	0 40,573
Mark Phillips Staff	50						X	167,502	0 44,222
Wesley Huntress Department Director	50						X	0	0 4,968
Steve Shectman Staff	50						X	178,761	0 37,788
Seung Rhee Staff	50						X	154,874	0 21,588
Sharon D Bassin Assistant Secretary to the Board	40						X	15,048	0 4,297
John Lively Director of Administration/Finance	50						X	0	0 4,968
Christopher Somerville Department Director	50						X	2,534	0 1,597

**Form 990, Part VIII - Statement of Revenue - 2a - 2g Program Service Revenue -**

	<b>Business Code</b>	<b>(A) Total Revenue</b>	<b>(B) Related or Exempt Function Revenue</b>	<b>(C) Unrelated Business Revenue</b>	<b>(D) Revenue Excluded from Tax under IRC 512, 513, or 514</b>
Magellan Telescope program	541,700	2,971,999	2,971,999	0	0
Giant Magellan Telescope program	541,700	8,428,133	8,428,133	0	0
Australian Astronomy program	541,700	120,566	120,566	0	0
Univ of Toronto Astronomy program	541,700	120,000	120,000	0	0
AAS Secretary Office	541,700	61,721	61,721	0	0

**Form 990, Part IX - Statement of Functional Expenses - 24a - 24e Other Expenses**

<i><b>Do not include amounts reported on line 6b, 8b, 9b, and 10b of Part VIII.</b></i>	<b>(A) Total expenses</b>	<b>(B) Program service expenses</b>	<b>(C) Management and general expenses</b>	<b>(D) Fundraising expenses</b>
Contracts & subawards	15,954,504	15,908,372	41,084	5,048
Research/education expense	4,341,735	4,309,388	17,633	14,714
Exchange rate (gain)/loss	-408,885	-214,627	-194,258	0
Bond administration expense	1,283,294	0	1,283,294	0
Other repair & maintenance expense	213,456	216,933	-5,149	1,672