

# Statistical Data

## Audit Data

### Audit Reports Issued with Recommendations for Better Use of Funds

		Dollar Value
A.	For which no management decision has been made by the commencement of the reporting period	\$1,153,497
B.	Recommendations that were issued during the reporting period	\$88,184,480
C.	Adjustments related to prior recommendations	\$0
Subtotal of A+B+C		\$89,337,977
D.	For which a management decision was made during the reporting period	\$1,153,497
	i) Dollar value of management decisions that were consistent with OIG recommendations	\$0
	ii) Dollar value of recommendations that were not agreed to by management	\$1,153,497
E.	For which no management decision had been made by the end of the reporting period	\$88,184,480
For which no management decision was made within 6 months of issuance		\$0

### Audit Reports Issued with Questioned Costs

		Number of Reports	Questioned Costs	Unsupported Costs
A.	For which no management decision has been made by the commencement of the reporting period	33	\$62,769,734	\$2,553,659
B.	That were issued during the reporting period	17	\$2,053,924	\$1,540,132
C.	Adjustment related to prior recommendations			
Subtotal of A+B+C			\$64,823,658	\$4,093,791
D.	For which a management decision was made during the reporting period	7	\$614,602	\$35,400
	i) dollar value of disallowed costs	N/A	\$52,880	N/A
	ii) dollar value of costs not disallowed	N/A	\$561,722	N/A
E.	For which no management decision had been made by the end of the reporting period	43	\$64,209,056	\$4,058,391
For which no management decision was made within 6 months of issuance		26	\$62,155,132	\$2,518,259

### Audit Reports Involving Cost-Sharing Shortfalls

		Number of Reports	Cost-Sharing Promised	At Risk of Cost Sharing Shortfall (Ongoing Project)	Actual Cost Sharing Shortfalls (Completed Project)
A.	Reports with monetary findings for which no management decision has been made by the beginning of the reporting period:	2		\$136,263	\$510,718
B.	Reports with monetary findings that were issued during the reporting period:	1	\$0	\$0	\$225,884
C.	Adjustments related to prior recommendations	0	\$0	\$0	\$0
Total of reports with cost sharing findings (A+B+C)		3		\$136,263	\$736,602
D.	For which a management decision was made during the reporting period:	0	\$0	\$0	\$0
	1. Dollar value of cost-sharing shortfall that grantee agreed to provide	0	\$0	\$0	\$0
	2. Dollar value of cost-sharing shortfall that management waived	0	\$0	\$0	\$0
E.	Reports with monetary findings for which no management decision has been made by the end of the reporting period	3		\$136,263	\$736,602

### Status of Recommendations that Involve Internal NSF Management Operations

Open Recommendations (as of 09/30/2010)	
Recommendations Open at the Beginning of the Reporting Period	52
New Recommendations Made During Reporting Period	0
Total Recommendations to be Addressed	52
Management Resolution of Recommendations <sup>1</sup>	
Awaiting Resolution	3
Resolved Consistent With OIG Recommendations	49
Management Decision That No Action is Required	0
Final Action on OIG Recommendations <sup>2</sup>	
Final Action Completed	10
<b>Recommendations Open at End of Period</b>	<b>42</b>

### Aging of Open Recommendations

Awaiting Management Resolution:	
0 through 6 months	0
7 through 12 months	1
More than 12 months	2
Awaiting Final Action After Resolution	
0 through 6 months	0
7 through 12 months	24
More than 12 months	15

<sup>1</sup> "Management Resolution" occurs when the OIG and NSF management agree on the corrective action plan that will be implemented in response to the audit recommendations.

<sup>2</sup> "Final Action" occurs when management has completed all actions it agreed to in the corrective action plan.

## List of Reports

NSF and CPA Performed Reviews					
Report Number	Subject	Questioned Costs	Unsupported Costs	Better Use of Funds	Cost Sharing At-Risk
10-1-010	Audit of COL's Government Owned Equipment	\$0	\$0	\$0	\$0
10-1-011	Audit of COL's Accounting System	\$0	\$0	\$0	\$0
10-1-012	COL OOI Proposed Budget	\$0	\$0	\$88,184,480	\$0
10-1-013	AUI Internal Controls Long & Short Term Planning	\$0	\$0	\$0	\$0
10-1-014	JOI 20 Month Incurred Cost	\$392,309	\$324,500	\$0	\$0
10-1-015	COL 4 Month Incurred Cost	\$195,937	\$80,000	\$0	\$0
10-1-016	IRIS Accounting System	\$0	\$0	\$0	\$0
10-6-004	Alert Memo IODP IMI Contract Administration	\$0	\$0	\$0	\$0
10-6-006	ARRA-ARRV Construction Planning Survey	\$0	\$0	\$0	\$0
10-6-007	ASC Alert Memo Antarctic Support Contract	\$0	\$0	\$0	\$0
10-6-008	ARRA Alert Memo Additional NSF Outreach & Guidance	\$0	\$0	\$0	\$0
10-6-008-A	California Institute of Technology	\$0	\$0	\$0	\$0
10-6-008-B	California State University - Fresno	\$0	\$0	\$0	\$0
10-6-008-C	George Mason University	\$0	\$0	\$0	\$0
10-6-008-D	University of Colorado - Boulder	\$0	\$0	\$0	\$0
10-6-008-E	University of Kentucky	\$0	\$0	\$0	\$0
	<b>Total:</b>	<b>\$588,246</b>	<b>\$404,500</b>	<b>\$88,184,480</b>	<b>\$0</b>

## NSF-Cognizant Reports

Report Number	Subject	Questioned Costs	Unsupported Costs	Cost Sharing At-Risk
10-4-082	12-07 REVISED DOSSEC Drilling, Observation & Sampling of the Earth's Continental Crust, Inc. & Subsidiary – UT	\$0	\$0	\$0
10-4-086	12-06 REVISED DOSSEC Drilling, Observation & Sampling of the Earth's Continental Crust, Ind. & Subsidiary – UT	\$0	\$0	\$0
10-4-105	6-09 SoundVision Productions - CA	\$0	\$0	\$0
10-4-106	6-09 QEMN Quality Education for Minorities Network – DC	\$0	\$0	\$0
10-4-107	9-09 UCAR University Corporation for Atmospheric Research – CO	\$0	\$0	\$0
10-4-108	9-09 Fermi Research Alliance LLC – IL	\$0	\$0	\$0
10-4-109	12-08 REVISED Center for Severe Weather Research – CO	\$0	\$0	\$0
10-4-110	9-09 NEON National Ecological Observatory Network, Inc. – CO	\$0	\$0	\$0
10-4-111	9-09 Northern California Public Broadcasting, Inc. – CA	\$0	\$0	\$0
10-4-112	6-09 REJECTED Michigan State University – MI	\$0	\$0	\$0
10-4-113	2-07 REVISED Astronomical Society of the Pacific – CA	\$0	\$0	\$0
10-4-114	12-09 ICSI International Computer Science Institute – CA	\$0	\$0	\$0
10-4-115	2-09 REJECTED Astronomical Society of the Pacific – CA	\$0	\$0	\$0
10-4-116	9-09 AUI Associated Universities, Inc. – DC	\$0	\$0	\$0
10-4-117	6-09 Carnegie Institution of Washington – DC	\$0	\$0	\$0
10-4-118	9-09 Concord Consortium, Incorporated – MA	\$0	\$0	\$0
10-4-119	6-09 The Children's Museum (Boston) – MA	\$0	\$0	\$0
10-4-120	6-09 American Museum of Natural History – NY	\$0	\$0	\$0
10-4-121	9-09 Museum of Science and Industry, Inc. – FL	\$0	\$0	\$0
10-4-122	6-09 Museum of Science – MA	\$0	\$0	\$0
10-4-123	12-09 American Physical Society – MD	\$0	\$0	\$0
10-4-124	6-09 Liberty Science Center, Inc. – NJ	\$0	\$0	\$0
10-4-125	6-09 MPC Corporation – PA	\$0	\$0	\$0

10-4-126	6-09 New York Botanical Garden – NY	\$0	\$0	\$0
10-4-127	6-09 WNET.ORG / Educational Broadcasting Corporation – NY	\$0	\$0	\$0
10-4-128	6-09 WNYC Radio – NY	\$0	\$0	\$0
10-4-129	6-09 The Queens Borough Public Library – NY	\$0	\$0	\$0
10-4-130	CORD, Inc. – TX	\$0	\$0	\$0
10-4-131	12-09 Hopa Mountain Foundation – MT	\$0	\$0	\$0
10-4-132	9-09 Chabot Space and Science Center – CA	\$0	\$0	\$0
10-4-133	12-09 Missouri Botanical Garden – MO	\$0	\$0	\$0
10-4-134	9-09 Botanical Society of America, Inc. – MO	\$0	\$0	\$0
10-4-135	9-09 NEES Consortium, Inc. – CA	\$0	\$0	\$0
10-4-136	12-09 Academy of Natural Sciences of Philadelphia – PA	\$0	\$0	\$0
10-4-137	9-09 TMT Observatory Corporation – CA	\$0	\$0	\$0
10-4-138	12-09 BIOS Bermuda Institute of Ocean Sciences FKA Bermuda Biological – NY	\$0	\$0	\$0
10-4-139	9-09 COL Consortium for Ocean Leadership – DC	\$0	\$0	\$0
10-4-140	8-09 Spokane School District No 81 – WA	\$0	\$0	\$0
10-4-141	9-06 AURA Association of Universities for Research in Astronomy, Inc. – DC	\$0	\$0	\$0
10-4-142	9-07 AURA Association of Universities for Research in Astronomy, Inc. – DC	\$0	\$0	\$0
10-4-143	9-09 IMI IODP Management International, Inc. – DC	\$0	\$0	\$0
10-4-144	12-09 American Astronomical Society – DC	\$0	\$0	\$0
10-4-145	12-09 Association for Institutional Research, Inc. – FL	\$0	\$0	\$0
10-4-146	12-09 Monterey Bay Aquarium Research Institute – CA	\$0	\$0	\$0
10-4-147	12-09 TERC Technical Education Research Centers, Inc. – MA	\$0	\$0	\$0
10-4-148	12-09 AAAS American Association for the Advancement of Science – DC	\$0	\$0	\$0
10-4-149	6-09 REVISED Michigan State University	\$0	\$0	\$0
10-4-150	12-09 Field Museum of Natural History – IL	\$0	\$0	\$0
10-4-151	9-09 AURA Association of Universities for Research in Astronomy, Inc. – DC	\$0	\$0	\$0
10-4-152	9-09 California Institute of Technology	\$0	\$0	\$0

10-4-153	12-09 Marine Biological Laboratory – MA	\$0	\$0	\$0
10-4-154	9-09 WIYN Consortium, Inc. – AZ	\$0	\$0	\$0
10-4-155	12-09 The Samuel Roberts Noble Foundation, Inc. – OK	\$0	\$0	\$0
10-4-156	12-09 Boyce Thompson Institute for Plant Research, Inc. – NY	\$0	\$0	\$0
10-4-157	3-09 Decision Science Research Institute, Inc. – OR	\$0	\$0	\$0
10-4-158	12-09 AGU American Geophysical Union – DC	\$0	\$0	\$0
10-4-164	2-08 REVISED Astronomical Society of the Pacific – CA	\$0	\$0	\$0
10-4-165	12-08 Barrow Arctic Science Consortium – AK	\$22,314	\$22,314	\$0
10-4-166	9-09 LSST, Inc. – AZ	\$0	\$0	\$0
10-4-168	6-09 REVISED IUP Research Institute – PA	\$0	\$0	\$0
10-4-169	12-09 Franklin Institute – PA	\$0	\$0	\$0
	<b>Total:</b>	<b>\$22,314</b>	<b>\$22,314</b>	<b>\$0</b>



### Other Federal Audits

Report Number	Subject	Questioned Costs	Unsupported Costs	Cost Sharing At-Risk
10-5-082	6-09 Sisseton-Wahpeton College – SD	\$132	\$0	\$0
10-5-084	6-09 State of Florida	\$3,710	\$3,710	\$0
10-5-086	6-09 Harvard University – MA	\$20,905	\$0	\$0
10-5-089	6-08 Howard University – DC	\$549,532	\$287,766	\$0
10-5-093	6-09 Polytechnic Institute of New York University – NY	\$20,905	\$0	\$0
10-5-097	6-09 Wildlife Trust, Inc. & Wildlife Preservation Trust International, Inc. – NY	\$114	\$114	\$0
10-5-098	6-09 University of Richmond and Its Affiliates – VA	\$5,760	\$5,760	\$0
10-5-117	6-09 Central Michigan University – MI	\$619,489	\$619,489	\$0
10-5-122	6-09 Trustees of Amherst College – MA	\$78	\$0	\$0
10-5-123	6-09 Chicago State University – IL	\$32,443	\$32,443	\$0
10-5-126	6-09 Saint Louis University – MO	\$18,324	\$0	\$0
10-5-130	6-09 Stevens Institute of Technology – NJ	\$17,342	\$17,342	\$0
10-5-132	6-09 Howard University – DC	\$144,209	\$136,273	\$0
10-5-142	6-09 State of Arizona	\$10,421	\$10,421	\$0
	<b>Total:</b>	<b>\$1,443,364</b>	<b>\$1,113,318</b>	<b>\$0</b>

## Audit Reports with Outstanding Management Decisions

This section identifies audit reports involving questioned costs, funds put to better use, and cost sharing at risk where management had not made a final decision on the corrective action necessary for report resolution with six months of the report's issue date. At the end of the reporting period there were twenty-six reports remaining that met this condition. The status of recommendations that involve internal NSF management is described on page 34.

Report Number	Subject	Questioned Costs	Unsupported Costs	Better Use of Funds	Cost Sharing At-Risk
05-1-005	RPSC Costs Claimed FY2000 to 2002	\$33,425,115	\$0	\$0	\$0
06-1-023	RPSC 2003/2004 Raytheon Polar Services	\$22,112,521	\$0	\$0	\$0
07-1-003	Triumph Tech, Inc.	\$80,740	\$1,192	\$0	\$0
07-1-015	Supplemental schedule to #06-1-023 RPSC	\$560,376	\$0	\$0	\$0
07-1-019	Abt Associates	\$22,716	\$0	\$0	\$0
09-1-010	Carnegie Institution of Washington	\$25,718	\$25,718	\$0	\$0
09-1-011	Wisconsin Ice Core Drilling Services	\$2,475,308	\$27,308	\$0	\$0
09-1-014	University of Michigan	\$1,604,713	\$1,418,889	\$0	\$0
09-4-088	12-07 AACCC American Association of Community Colleges	\$12,734	\$0	\$0	\$0
09-5-048	8-07 College of the Mainland – TX	\$110,629	\$0	\$0	\$0
09-5-052	6-07 Howard University – DC	\$1,125,491	\$662,940	\$0	\$0
09-5-176	9-07 Fort Berthold Community College – ND	\$75	\$75	\$0	\$0
10-1-001	SUNY at Stony Brook Effort Reporting	\$23,656	\$0	\$0	\$0
10-1-003	University of Nevada-Reno Effort Reporting	\$54,154	\$0	\$0	\$0
10-1-008	University of Delaware Effort Reporting	\$34,299	\$0	\$0	\$0
10-4-004	12-08 Carnegie Institute – PA	\$24,000	\$0	\$0	\$0
10-4-012	8-08 WGBH Educational Foundation – MA	\$791	\$776	\$0	\$0
10-4-027	12-08 American Association of Community Colleges – DC	\$41,400	\$0	\$0	\$0
10-4-045	12-08 American Institute of Biological Sciences, Inc. – DC	\$267,638	\$267,638	\$0	\$0
10-4-094	6-09 Keck Graduate Institute of Applied Life Sciences – CA	\$11,641	\$0	\$0	\$0

10-4-100	8-09 WGBH Education Foundation – MA	\$1,881	\$0	\$0	\$0
10-5-005	6-08 Northeastern University – MA	\$6,125	\$6,125	\$0	\$0
10-5-015	9-08 Oglala Lakota College – SD	\$4,104	\$4,104	\$0	\$0
10-5-016	6-08 State of Arizona	\$71,858	\$46,045	\$0	\$0
10-5-055	9-08 Fort Berthold Community College – ND	\$1,356	\$1,356	\$0	\$0
10-5-060	6-09 Cal State L.A. University Auxiliary Services, Inc. – CA	\$56,093	\$56,093	\$0	\$0
	Total:	\$62,155,132	\$2,518,259	\$0	\$0

**INVESTIGATIONS DATA**  
**(April 1, 2010 – September 30, 2010)**

**Civil/Criminal Investigative Activities**

Referrals to Prosecutors	4
Criminal Convictions/Pleas	0
Civil Settlements	4
Indictments/Information	0
Investigative Recoveries	\$2,891,973.18

**Administrative Investigative Activities**

Referrals to NSF Management for Action	19
Research Misconduct Findings	5
Debarments	3
Administrative Actions	70
Certifications and Assurances Received <sup>1</sup>	28

**Investigative Case Statistics**

	<u>Preliminary</u>	<u>Civil/Criminal</u>	<u>Administrative</u>
Active at Beginning of Period	44	83	75
Opened	128	35	50
Closed	139	29	43
Active at End of Period	33	89	82

**Freedom of Information Act and Privacy Act Requests**

Our office responds to requests for information contained in our files under the freedom of Information Act (“FOIA,” 5 U.S.C. paragraph 552) and the Privacy Act (5 U.S.C. paragraph 552a). During this reporting period:

Requests Received	42
Requests Processed	39
Appeals Received	0

Response time ranged between 2 days and 20 days, with the median around 15 days and the average around 14 days.

<sup>1</sup> NSF accompanies some actions with a certification and/or assurance requirement. For example, for a specified period, the subject may be required to confidentially submit to OIG a personal certification and/or institutional assurance that any newly submitted NSF proposal does not contain anything that violates NSF regulations.