

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	\$150,523,383
B.	Recommendations that were issued during the reporting period	\$75,780,354
C.	Adjustments related to prior recommendations	\$0
Subtotal of A+B+C		\$226,303,737
D.	For which a management decision was made during the reporting period	\$65,632
	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	\$65,632
E.	For which no management decision had been made by the end of the reporting period	\$226,238,105
For which no management decision was made within 6 months of issuance		\$150,457,751

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*	39	\$45,789,446	\$5,996,712
B.	That were issued during the reporting period	22	\$1,546,659	\$1,327,436
C.	Adjustment related to prior recommendations	2	-\$56,895**	-\$53,882**
Subtotal of A+B+C			\$47,279,210	\$7,270,266
D.	For which a management decision was made during the reporting period	24	\$17,031,706***	\$1,241,171
	dollar value of disallowed costs	N/A	\$11,003,474	N/A
	dollar value of costs not disallowed	N/A	\$6,028,232	N/A
E.	For which no management decision had been made by the end of the reporting period	37	\$30,247,504	\$6,029,095
For which no management decision was made within 6 months of issuance		17	\$28,704,598	\$4,701,659

*The 39 reports include four that were on hold at the request of OIG. These reports are:

Report No.	Questioned Costs	Unsupported Costs
09-5-048	\$110,629	\$0
10-4-012	\$791	\$776
10-4-100	\$1,881	\$0
11-5-102	\$40,000	\$40,000

**There are prior period adjustments on two A-133 audit reports: Report No. 09-5-052 is reduced by \$17,415 for both questioned costs and unsupported costs; Report No. 10-5-016 is reduced by \$39,480 for questioned costs and \$36,467 for unsupported costs.

***This total includes the amount that is included in the Investigative Tables on page 41 and described in the Investigative case write-ups on page 7.

Status of Recommendations that Involve Internal NSF Management Operations

Open Recommendations (as of 03/31/11)	
Recommendations Open at the Beginning of the Reporting Period	50
New Recommendations Made During Reporting Period	4
Total Recommendations to be Addressed	54
Management Resolution of Recommendations ¹	
Awaiting Resolution	12
Resolved Consistent With OIG Recommendations	42
Management Decision That No Action is Required	0
Final Action on OIG Recommendations ²	
Final Action Completed	2
Recommendations Open at End of Period	52

Aging of Open Recommendations

Awaiting Management Resolution:	
0 through 6 months	4
7 through 12 months	8
More than 12 months	0
Awaiting Final Action After Resolution	
0 through 6 months	0
7 through 12 months	15
More than 12 months	25

¹ "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.

² "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
11-1-017	ARRA Capability UAA – University of Alaska	\$78,093	\$0	\$0
11-1-018	EDJ Associates	\$0	\$0	\$0
11-1-020	Cold Spring Harbor Laboratory	\$0	\$0	\$0
11-1-021	NEON National Ecological Observatory Network	\$0	\$0	\$75,780,354
11-1-023	Field Museum of Natural History – IL	\$123,663	\$123,663	\$0
11-1-024	AUI Review of Accounting System	\$0	\$0	\$0
11-2-008	NSF’s Priority Performance Goal Process	\$0	\$0	\$0
11-2-009	COI Senator Grassley Request Conflict of Interest	\$0	\$0	\$0
11-6-001	QCR of 12-07 DOSECC Drilling Observation & Sampling of Earth’s Continental Crust	\$0	\$0	\$0
11-6-003	ARRA QCR of Raetz & Hawkin’s 2010 A-133 Audit of VMI Research Laboratories	\$0	\$0	\$0
11-6-006	ASC Antarctic Support Contract	\$0	\$0	\$0
	Total:	\$201,756	\$123,663	\$75,780,354

The Office issued 11 reports this semiannual period.

NSF-Cognizant Reports

Report Number	Subject	Questioned Costs	Unsupported Costs
11-4-069	9-10 Fermi Research Alliance LLC	\$0	\$0
11-4-070	12-09 Institute of Learning Innovation – MD	\$12,624	\$0
11-4-071	9-10 Museum of Science and Industry, Inc.	\$0	\$0
11-4-072	9-10 REJECTED Museum of Science, Inc. d/b/a Miami Science Museum – FL	\$0	\$0
11-4-074	NEES Consortium, Inc. – CA	\$0	\$0
11-4-075	9-10 Northern California Public Broadcasting – CA	\$0	\$0
11-4-077	6-10 QEMN Quality Education for Minorities – DC	\$0	\$0
11-4-080	6-10 Computing Research Association, Inc. – DC	\$0	\$0
11-4-082	9-10 Virtual Astronomical Observatory LLC – DC	\$0	\$0
11-4-083	12-07 World Technology Evaluation Center, Inc. – PA	\$244,982	\$155,765
11-4-084	6-10 Michigan State University	\$0	\$0
11-4-086	6-10 Institute for Advanced Study – NJ	\$0	\$0
11-4-087	8-10 Association of American Geographers – DC	\$0	\$0
11-4-088	6-10 CORD, Inc. – TX	\$0	\$0
11-4-089	12-10 REJECTED EERI Earthquake Engineering Research Institute – CA	\$0	\$0
11-4-090	9-10 New England Wild Flower Society, Inc. – MA	\$0	\$0
11-4-091	9-10 The Algebra Project – MA	\$0	\$0
11-4-092	12-10 American Physical Society – MD	\$0	\$0
11-4-093	6-10 Museum of Science – MA	\$0	\$0
11-4-094	8-10 San Jose Children’s Discovery Museum – CA	\$0	\$0
11-4-095	12-10 SCOR Scientific Committee on Ocean Research – DE	\$0	\$0
11-4-096	6-10 Ecological Society of America – DC	\$0	\$0
11-4-097	6-10 New York Botanical Garden – NY	\$0	\$0
11-4-098	6-10 Island Institute – ME	\$0	\$0
11-4-099	9-10 LSST, Inc. – AZ	\$0	\$0
11-4-100	9-10 Concord Consortium, Inc. – MA	\$0	\$0
11-4-101	12-10 American Statistical Association – VA	\$0	\$0
11-4-102	12-10 Hopa Mountain Foundation – MT	\$0	\$0
11-4-103	12-10 Missouri Botanical Garden – MO	\$0	\$0
11-4-104	6-10 WNET.ORG / Educational Broadcasting Corporation – NY	\$0	\$0
11-4-105	9-10 California Institute of Technology – CA	\$0	\$0
11-4-106	9-10 REVISED Museum of Science, Inc. d/b/a Miami Science Museum – FL	\$0	\$0
11-4-107	12-10 Seattle Aquarium Society – WA	\$0	\$0

11-4-108	12-10 REVISED EERI Earthquake Engineering Research Institute – CA	\$0	\$0
11-4-109	6-10 MPC Corporation – PA	\$0	\$0
11-4-110	12-10 Association for Institutional Research, Inc. – FL	\$0	\$0
11-4-111	9-10 Chabot Space & Science Center – CA	\$0	\$0
11-4-112	6-10 Soundvision Productions – CA	\$0	\$0
11-4-113	12-10 Samuel Roberts Noble Foundation – OK	\$0	\$0
11-4-114	12-10 Santa Fe Institute – NM	\$0	\$0
11-4-115	9-10 COL Consortium for Ocean Leadership	\$0	\$0
11-4-116	6-10 New York Hall of Science – NY	\$0	\$0
11-4-117	12-10 American Geophysical Union – DC	\$0	\$0
11-4-118	12-10 ICSI International Computer Science Institute – CA	\$0	\$0
11-4-119	12-10 AAAS American Association for the Advancement of Science – DC	\$0	\$0
11-4-120	12-10 American Sociological Association – DC	\$0	\$0
11-4-121	12-10 Marine Biological Laboratory – MA	\$0	\$0
11-4-122	12-10 Mobile Area Education Foundation, Inc. – AL	\$0	\$0
11-4-123	12-10 TERC Technical Education Research Centers, Inc. – MA	\$0	\$0
11-4-124	12-10 BIOS Bermuda Institute of Ocean Sciences, Inc. – NY	\$0	\$0
11-4-125	12-10 Field Museum of Natural History – IL	\$0	\$0
11-4-126	9-10 Northwest Association for Biomedical Research – WA	\$0	\$0
11-4-127	9-10 TMT Observatory Corporation – CA	\$0	\$0
11-4-128	9-10 AURA Association of Universities for Research in Astronomy, Inc. – DC	\$0	\$0
11-4-129	12-10 Association of Public and Land-Grant Universities – DC	\$0	\$0
11-4-130	12-10 American Mathematical Society – RI	\$0	\$0
11-4-131	12-10 Horizon Research, Inc. – NC	\$0	\$0
11-4-132	12-10 Academy of Natural Sciences of Philadelphia – PA	\$0	\$0
11-4-133	12-10 The Franklin Institute – PA	\$0	\$0
11-4-134	6-10 REVISED VMI Research Laboratories – VA	\$0	\$0
11-4-135	9-10 IMI IODP Management International – DC	\$0	\$0
11-4-136	12-10 Industrial Research Institute, Inc. – VA	\$654,171	\$654,171
11-4-137	12-10 American Educational Research Association – DC	\$0	\$0
11-4-138	12-10 Denver Museum of Nature and Science – CO	\$0	\$0
11-4-139	12-10 Institute for Broadening Participation – ME	\$0	\$0
11-4-140	12-10 Botanical Research Institute of Texas, Inc.	\$0	\$0

11-4-141	3-11 Association of Science-Technology Centers – DC	\$0	\$0
11-4-142	12-10 Center for Severe Weather Research – CO	\$0	\$0
11-4-143	12-10 Consortium of Universities for Research in Earthquake Engineering – CA	\$0	\$0
11-4-144	7-10 Mathematical Sciences Research Institute – CA	\$0	\$0
11-4-145	12-10 Mathematical Association of America – DC	\$0	\$0
11-4-146	12-10 UNAVCO, Inc. – CO	\$0	\$0
11-4-147	12-10 Institute for Learning Innovation – MD	\$0	\$0
	Total:	\$911,777	\$809,936

Other Federal Reports

Report Number	Subject	Questioned Costs	Unsupported Costs
11-5-106	6-10 Bentley University – MA	\$119,873	\$119,873
11-5-111	6-10 Polytechnic Institute of New York University – NY	\$3,683	\$0
11-5-118	6-10 Jarvis Christian College – TX	\$3,851	\$3,851
11-5-131	6-10 Bates College – ME	\$70	\$0
11-5-144	6-10 Hampshire College – MA	\$89,567	\$89,567
11-5-145	6-10 Miles College – AL	\$30,059	\$0
11-5-154	6-10 University of Illinois	\$57,350	\$57,350
11-5-157	6-10 Saint Louis University – MO	\$2,573	\$0
11-5-160	6-10 Fisk University – TN	\$2,042	\$0
11-5-161	6-10 University of Maine System	\$29,868	\$29,868
11-5-164	9-09 Fort Berthold Community College – ND	\$9,918	\$9,386
11-5-167	8-10 Stanford University – CA	\$45	\$45
11-5-171	9-10 Stone Child College – MT	\$12,400	\$12,400
11-5-174	9-10 Smithsonian Institution – DC	\$330	\$0
11-5-179	6-10 College of the Menominee Nation – WI	\$12,034	\$12,034
11-5-182	5-10 Navajo Technical College – NM	\$58,279	\$58,279
11-5-185	5-11 Skidmore College – NY	\$1,184	\$1,184
	Total:	\$433,126	\$393,837

Audit Reports With Outstanding Management Decisions

This section identifies audit reports involving questioned costs, unsupported costs, and funds put to better use, 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 19 reports remaining that met this condition. The status of recommendations that involve internal NSF management is described on page 35.

Report Number	Subject	Questioned Costs	Unsupported Costs	Better Use of Funds
05-1-005	RPSC Costs Claimed FY2000 to 2002	\$12,334,824	\$0	\$0
06-1-023	RPSC 2003/2004 Raytheon Polar Services	\$6,860,500	\$0	\$0
07-1-003	Triumph Tech, Inc.	\$80,740	\$1,192	\$0
07-1-019	ABt Associates	\$22,716	\$0	\$0
09-1-011	Wisconsin Ice Core Drilling Services	\$2,475,308	\$27,308	\$0
09-1-014	University of Michigan	\$1,604,713	\$1,418,889	\$0
09-5-048	8-07 College of the Mainland – TX *	\$110,629	\$0	\$0
10-1-001	SUNY at Stony Brook Effort Reporting	\$23,656	\$0	\$0
10-1-008	University of Delaware Effort Reporting	\$34,299	\$0	\$0
10-1-012	COL OOI Proposed Budget	\$0	\$0	\$88,184,480
10-1-014	JOI 20 Month Incurred Cost	\$392,309	\$324,500	\$0
10-1-015	COL 4 Month Incurred Cost	\$195,937	\$80,000	\$0
10-5-132	6-09 Howard University – DC	\$144,209	\$136,273	\$0
11-1-001	REVISED ATST Price Proposal	\$0	\$0	\$62,338,903
11-1-009	Ohio State University Research Foundation	\$1,736,068	\$490,129	\$0
11-1-012	Trustees of Boston University	\$412,400	\$47,486	\$0
11-1-011	NCCU Internal Control Review	\$351,340	\$268,628	\$0
11-1-013	Louisiana Board of Regents	\$1,884,950	\$1,867,254	\$0
11-5-102	8-10 State of Texas *	\$40,000	\$40,000	\$0
	Total:	\$28,704,598	\$4,701,659	\$150,457,751

*This report was on hold at the request of OIG.

**INVESTIGATIONS DATA
(April 1, 2011 – September 30, 2011)**

Civil/Criminal Investigative Activities

Referrals to Prosecutors	5
Criminal Convictions/Pleas	6
Arrests	3
Civil Settlements	2
Indictments/Information	1
Investigative Recoveries	\$2,088,854.56
Investigative Recoveries ¹	\$10,814,595.00

Administrative Investigative Activities

Referrals to NSF Management for Action	25
Research Misconduct Findings	7
Debarments	6
Administrative Actions	46
Certifications and Assurances Received ²	32

Investigative Case Statistics

	<u>Preliminary</u>	<u>Civil/Criminal</u>	<u>Administrative</u>
Active at Beginning of Period	46	83	82
Opened	98	26	43
Closed	83	18	32
Active at End of Period	61	91	93

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. § 552) and the Privacy Act (5 U.S.C. § 552a). During this reporting period:

- Requests Received 53
- Requests Processed 56
- Appeals Received 1
- Appeals Upheld 1

Response time ranged between 3 days and 20 days, with the median around 15 days and the average around 14 days.

¹ See write-up on page 7.

² 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.

