

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	\$226,238,105
B.	Recommendations that were issued during the reporting period	\$78,657,394
C.	Adjustments related to prior recommendations	\$0
Subtotal of A+B+C		\$304,895,499
D.	For which a management decision was made during the reporting period	\$0
	1. Dollar value of management decisions that were consistent with OIG recommendations	\$0
	2. Dollar value of recommendations that were not agreed to by management	\$0
E.	For which no management decision had been made by the end of the reporting period	\$304,895,499
For which no management decision was mde within 6 months of issuance		\$226,238,105

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	20	\$25,955,332	\$3,251,908
B.	That were issued during the reporting period	20	\$10,734,340	\$1,161,138
C.	Adjustment related to prior recommendations		\$0	\$0
Subtotal of A+B+C			\$36,689,672	\$4,413,046
D.	For which a management decision was made during the reporting period	11	\$3,919,940	\$876,326
	1. dollar value of disallowed costs	N/A	\$1,842,743	N/A
	2. dollar value of costs not disallowed	N/A	\$2,077,197	N/A
E.	For which no management decision had been made by the end of the reporting period	29	\$32,769,732	\$3,536,720
For which no management decision was made within 6 months of issuance		10	\$22,062,349	\$2,378,690

Status of Recommendations that Involve Internal NSF Management Operations

Open Recommendations (as of 09/30/2012)	
Recommendations Open at the Beginning of the Reporting Period	48
New Recommendations Made During Reporting Period	5
Total Recommendations to be Addressed	53
Management Resolution of Recommendations*	
Awaiting Resolution	8
Resolved Consistent With OIG Recommendations	45
Management Decision That No Action is Required	0
Final Action on OIG Recommendations**	
Final Action Completed	9
Recommendations Open at End of Period	44

* "Management Resolution" occurs when the OIG and NSF management agree on the corrective action plan that will be implemented in response to the audit recommendation.

** "Final Action" occurs when management has completed all actions it agreed to in the corrective action plan.

Aging of Open Recommendations

Awaiting Management Resolution	
0 through 6 months	5
7 through 12 months	3
More than 12 months	0
Awaiting Final Action After Resolution	
0 through 6 months	0
7 through 12 months	24
More than 12 months	12

List of Reports

OIG and CPA-Performed Reviews²⁷

Report Number	Subject	Questioned Costs	Unsupported Costs	Better Use of Funds
12-1-004	Institute for Defense Analysis (IDA)	\$26,957	\$3,108	\$0
12-1-005	University of California-Santa Barbara	\$6,325,483	\$0	\$0
12-1-006	Drilling, Observation and Sampling of the Earth's Continental Crust, Inc. (DOSECC)	\$263,754	\$247,650	\$0
12-1-007	University Corporation for Atmospheric Research (UCAR)	\$29,384	\$0	\$0
12-1-008	National Ecological Observatory Network Inc. (NEON) Proposal Audit	\$0	\$0	\$78,657,394
12-1-009	Associated Universities, Inc. (AUI) Internal Controls-Program Income	\$0	\$0	\$0
12-2-010	Audit of NSF's Management of Contingency in the EarthScope Awards	\$0	\$0	\$0
12-3-002	ARRA: Lessons Learned Review	\$0	\$0	\$0
12-6-001	Alert Memo: NSF's Management of Cooperative Agreements	\$0	\$0	\$0
12-6-002	QCR of Lautze & Lautze (Chabot Space & Science Center)	\$0	\$0	\$0
12-7-003	IQCR of #09-6-003 Alert Memo Source Selection	\$0	\$0	\$0
12-7-006	IQCR of #11-2-009 Conflict of Interest	\$0	\$0	\$0
	Total:	\$6,645,578	\$250,758	\$78,657,394

²⁷ The Office issued 12 reports this semiannual period.

NSF-Cognizant Reports

Report Number	Subject	Questioned Costs	Unsupported Costs
12-4-051	9-11Museum of Science, Inc. dba Miami Science Museum & Museum of Science - FL	\$0	\$0
12-4-052	6-11 QEMN Quality Education for Minorities Network - DC	\$0	\$0
12-4-053	6-11 Association for Women in Science - VA	\$0	\$0
12-4-054	6-11 Computing Research Association, Inc.- DC	\$0	\$0
12-4-055	6-11 American Museum of Natural History -NY	\$0	\$0
12-4-056	9-11 Virtual Astronomical Observatory LLC - DC	\$0	\$0
12-4-058	6-11 New York Hall of Science - NY	\$0	\$0
12-4- 059	6-11 Museum of Science - MA	\$0	\$0
12-4-060	6-11 Kalispell School District - MT	\$0	\$0
12-4-061	8-11 WGBH Educational Foundation - MA	\$0	\$0
12-4-062	12-11 American Statistical Association - DC	\$0	\$0
12-4-063	6-11 New York Botanical Garden - NY	\$0	\$0
12-4- 064	6-11 Ecological Society of America - DC	\$0	\$0
12-4-065	9-10 REVISED AURA Association of Universities for Research in Astronomy - DC	\$0	\$0
12-4- 066	12-10 REJECTED ScienceFriday, Inc. - CT	\$0	\$0
12-4- 067	12-11 American Physical Society - MD	\$0	\$0
12-4-068	9-11 Fermi Research Alliance - IL	\$0	\$0
12-4-069	12-11 Horizon Research, Inc. - NC	\$0	\$0
12-4- 070	7-11 MSRI Mathematical Sciences Research Institute - CA	\$0	\$0
12-4-071	12-11 Missouri Botanical Garden - MO	\$0	\$0
12-4-072	6-11 MPC Corporation - PA	\$0	\$0
12-4-073	8-11 San Jose Children's Discovery Museum - CA	\$0	\$0
12-4-074	12-11 Chicago Zoological Society - IL	\$0	\$0
12-4-075	12-11 BIOS Bermuda Institute of Ocean Sciences - NY	\$0	\$0
12-4-076	9-11 COL Consortium for Ocean Leadership - DC	\$0	\$0
12-4- 077	0-11 IODP Management International, Inc. - DC	\$1,650,961	\$0
12-4-078	9-11 California Institute of Technology - CA	\$0	\$0
12-4-079	12-11 Botanical Research Institute of Texas, Inc. - TX	\$0	\$0
12-4-080	12-11 DOSECC Drilling, Observation & Sampling of the Earth's Continental Crust - UT	\$0	\$0
12-4-081	12-11 Hopa Mountain Foundation - MT	\$0	\$0
12-4-082	12-11 National Geographic Society - DC	\$0	\$0
12-4-083	12-11 Portland VA Research Foundation - OR	\$0	\$0
12-4-084	9-11 Teachers Development Group - OR	\$0	\$0
12-4- 085	12-11 Denver Museum of Science and Nature - CO	\$0	\$0
12-4-086	12-11 Santa Fe Institute - NM	\$0	\$0

12-4-087	12-11 Science Foundation Arizona - AZ	\$0	\$0
12-4-088	6-11 SoundVision Productions - CA	\$0	\$0
12-4-089	6-10 Jackson Public School District – MS	\$0	\$0
12-4-090	12-11 American Mathematical Society - RI	\$0	\$0
12-4-091	12-11 Institute for Broadening Participation - ME	\$0	\$0
12-4-092	12-11 New England Wild Flower Society, Inc. - MA	\$0	\$0
12-4-093	12-11 Association for Institutional Research – FL	\$0	\$0
12-9-094	12-11 Carnegie Institute – PA	\$0	\$0
12-4-095	12-11 Field Museum of Natural History - IL	\$0	\$0
12-4-096	12-11 Institute of Global Environment & Society, Inc. -MD	\$0	\$0
12-4-097	12-11 ICSI International Computer Science Institute – CA	\$0	\$0
12-4-098	6-11 New Jersey Academy for Aquatic Sciences – NJ	\$0	\$0
12-4-099	12-11 TERC Technical Education Research Centers, Inc. - MA	\$0	\$0
12-4-100	9-11 The Algebra Project – MA	\$0	\$0
12-4-101	12-11 Samuel Roberts Noble Foundation – OK	\$0	\$0
12-4-102	6-10 Tupelo Public School District – MS	\$0	\$0
12-4-103	12-09 WTEC World Technology Evaluation Center, Inc. - PA	\$0	\$0
12-4-104	12-10 WTEC World Technology Evaluation Center, Inc. - PA	\$0	\$0
12-4-105	12-11 American Educational Research Association – DC	\$0	\$0
12-4-106	12-11 Biological Sciences Curriculum Study – CO	\$0	\$0
12-4-108	12-11 Marine Biological Laboratory - MA	\$0	\$0
12-4-109	6-11 The Filmmakers Collaborative, Inc. – MA	\$0	\$0
12-4-110	12-11 Youth Radio – CA	\$0	\$0
12-4-112	9-11 Northwest Association for Biomedical Research – WA	\$0	\$0
12-4-113	12-11 Pisgah Astronomical Research Institute – NC	\$0	\$0
12-4-114	12-11 AAPT American Association of Physics Teachers – MD	\$0	\$0
12-4-115	12-11 UNAVCO, Inc. – CO	\$1,349,296	\$0
12-4-116	12-11 CUREE Consortium of Universities for Research in Earthquake Engineering – CA	\$0	\$0
12-4-117	12-11 Mathematical Association of America – DC	\$0	\$0
12-4-118	12-11 AIM American Institute of Mathematics – CA	\$0	\$0
12-4-119	12-11 Academy of Natural Sciences of Philadelphia – PA	\$0	\$0
12-4-120	6-11 REVISED Science Museum of Minnesota – MN	\$0	\$0
12-4-121	6-10 REVISED WNET.org/Educational Broadcasting Corporation - NY	\$525,655	\$525,655
12-4-122	3-12 ASTC Association of Science-Technology Centers – DC	\$0	\$0
12-4-123	12-11 Detroit Area Pre-College Engineering Program – MI	\$0	\$0
12-4-124	12-11 SCOR Scientific Committee on Oceanic Research – DE	\$0	\$0
12-4-128	12-11 WHOI Woods Hole Oceanographic Institution - MA	\$0	\$0
	Total:	\$3,525,912	\$525,655

Other Federal Reports

Report Number	Subject	Questioned Costs	Unsupported Costs
12-5-072	5-11 Chapman University - CA	\$73,147	\$0
12-5-089	6-11 Universidad Interamericana de Puerto Rico, Inc. - PR	\$35,016	\$0
12-5-096	6-11 University of Medicine & Dentistry of New Jersey - NJ	\$2,034	\$0
12-5-102	6-11 University of Illinois - IL	\$13	\$0
12-5-103	8-11 State of Texas - TX	\$44,102	\$0
12-5-107	6-11 Columbia University - NY	\$76	\$76
12-5-110	6-11 Miles College - AL	\$38,416	\$38,416
12-5-116	6-11 State of Connecticut – CT	\$32,125	\$32,125
12-5-122	6-11 WNET.org - NY	\$24,061	\$11,418
12-5-123	6-11 Georgetown University – DC	\$2,551	\$2,551
12-5-132	6-11 Dillard University - LA	\$275,480	\$275,480
12-5-137	12-11 American Meteorological Society – MA	\$10,486	\$0
12-5-143	9-11 Fort Berthold Community College – ND	\$25,343	\$24,659
	Total:	\$562,850	\$384,725

Audit Reports With Outstanding Management Decisions

This section identifies audit reports involving questioned 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 13 reports remaining that met this condition. The status of recommendations that involve internal NSF management is described on page 48.

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
09-1-014	University of Michigan	\$1,604,713	\$1,418,889	\$0
09-5-048	8-07 College of the Mainland – TX	\$110,629	\$0	\$0
10-1-012	COL OOI Proposed Budget	\$0	\$0	\$88,118,848
11-1-001	REVISED ATST Price Proposal	\$0	\$0	\$62,338,903
11-1-011	NCCU Internal Control Review for North Carolina Central University	\$351,340	\$268,628	\$0
11-1-021	NEON National Ecological Observatory Network	\$0	\$0	\$75,780,354
12-1-001	ICSI International Computer Science Institute	\$451,189	\$444,551	\$0
12-1-003	University of Notre Dame - IN	\$244,430	\$244,430	\$0
12-5-033	6-11 Howard University - DC	\$1,268	\$1,000	\$0
	Total:	\$22,062,349	\$2,378,690	\$226,238,105

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

Investigations Data

Civil/Criminal Investigative Activities

Referrals to Prosecutors	6
Criminal Convictions/Pleas	8
Arrests	0
Civil Settlements	0
Indictments/Information	0
Investigative Recoveries	\$1,188,265.97

Administrative Investigative Activities

Referrals to NSF Management for Action	26
Research Misconduct Findings	11
Debarments	4
Administrative Actions	82
Certifications and Assurances Received²⁸	14

Investigative Case Statistics

	Preliminary	Civil/Criminal	Administrative
Active at Beginning of Period	55	99	103
Opened	76	53	44
Closed	98	19	44
Active at End of Period	33	133	103

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	22
• Requests Processed	22
• Appeals Received	1
• Appeals Upheld	1

Response time ranged between 5 days and 81 days, with the median around 18 days and the average around 20 days.

²⁸ 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.

Recovery Act Retaliation Complaint Investigations

Section 1553 of the American Recovery and Reinvestment Act of 2009 requires OIGs to include in their semiannual reports to Congress the retaliation complaint investigations that they decided not to conduct or continue during the reporting period. Section 1553 also requires OIGs to provide a list of those investigations for which the inspector general received an extension. OIG did not discontinue or decline to conduct any Recovery Act whistleblower retaliation complaint investigations during this reporting period. Regarding extensions, OIG received one extension in a pending investigation involving a Georgia institution.

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