

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	\$88,184,480
B.	Recommendations that were issued during the reporting period	\$62,338,903
C.	Adjustments related to prior recommendations	\$0
Subtotal of A+B+C		\$150,523,383
D.	For which a management decision was made during the reporting period	\$0
	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	\$0
E.	For which no management decision had been made by the end of the reporting period	\$150,523,383
For which no management decision was made within 6 months of issuance		\$88,184,480

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	43	\$42,777,448*	\$4,058,391
B.	That were issued during the reporting period	17	\$5,017,806	\$3,011,092
C.	Adjustment related to prior recommendations	1	\$(560,376)**	\$0
Subtotal of A+B+C			\$47,234,878	\$7,069,483
D.	For which a management decision was made during the reporting period	20	\$1,445,432	\$1,072,771
	i) dollar value of disallowed costs	N/A	\$718,572	N/A
	ii) dollar value of costs not disallowed	N/A	\$726,860	N/A
E.	For which no management decision had been made by the end of the reporting period	39	\$45,789,446	\$5,996,712
	For which no management decision was made within 6 months of issuance	24	\$40,849,403	\$3,063,378

* We are reducing the questioned costs in A above because questioned costs were previously partially resolved in two reports. Specifically, in prior periods: 1) \$12,490,377 of the \$33,425,115 questioned costs were resolved on OIG Report No. 05-1-005, and all \$12,490,377 of those costs were not disallowed; and 2) \$8,941,231 of the \$22,112,521 of questioned costs on OIG Report No. 06-1-023 were resolved, and of those costs, \$8,802,474 were not disallowed and \$138,757 were disallowed.

** As of September 8, 2010, \$560,376, the total amount of questioned costs on OIG Report No. 07-1-015, were resolved and all those costs were disallowed.

Status of Recommendations that Involve Internal NSF Management Operations

Open Recommendations (as of 03/31/2011)	
Recommendations Open at the Beginning of the Reporting Period	42
New Recommendations Made During Reporting Period	23
Total Recommendations to be Addressed	65
Management Resolution of Recommendations¹	
Awaiting Resolution	17
Resolved Consistent With OIG Recommendations	48
Management Decision That No Action is Required	0
Final Action on OIG Recommendations²	
Final Action Completed	15
Recommendations Open at End of Period	50

Aging of Open Recommendations

Awaiting Management Resolution:	
0 through 6 months	16
7 through 12 months	0
More than 12 months	1
Awaiting Final Action After Resolution	
0 through 6 months	7
7 through 12 months	2
More than 12 months	24

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 recommendation.

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

List of Reports

NSF and CPA-Performed Reviews

Report Number	Subject	Questioned Costs	Unsupported Costs	Better Use of Funds
11-1-001	REVISED ATST Price Proposal	\$0	\$0	\$62,388,903
11-1-002	William Marsh Rice University	\$0	\$0	\$0
11-1-003	ARRA Data- University of Alaska Anchorage	\$0	\$0	\$0
11-1-004	ARRA New Jersey Institute of Technology	\$0	\$0	\$0
11-1-005	ARRA West Virginia University Research Corporation	\$0	\$0	\$0
11-1-006	ARRA IGES Institute of Global Environment & Society, Inc.	\$0	\$0	\$0
11-1-007	ARRA American Museum of Natural History	\$3,072	\$0	\$0
11-1-008	ARRA California Academy of Sciences	\$0	\$0	\$0
11-1-009	Ohio State University Research Foundation	\$1,736,068	\$490,129	\$0
11-1-010	AURA Accounting System	\$0	\$0	\$0
11-1-011	NCCU Internal Control Review for North Carolina Central University	\$351,340	\$268,628	\$0
11-1-012	Trustees of Boston University	\$412,400	\$47,486	\$0
11-1-013	Louisiana Board of Regents	\$1,884,950	\$1,867,254	\$0
11-1-014	IRIS Incurred Cost	\$0	\$0	\$0
11-1-015	ARRA University of Washington	\$0	\$0	\$0
11-1-016	AUI Internal Control	\$0	\$0	\$0
11-2-001	NSF's FY2010 Financial Statement Audit	\$0	\$0	\$0
11-2-002	NSF FY2010 Special Purpose Financial Statement	\$0	\$0	\$0
11-2-003	FISMA 2010 Independent Evaluation Report	\$0	\$0	\$0
11-2-004	FY2010 FISMA Independent Evaluation Report	\$0	\$0	\$0
11-2-005	NSF's FY2010 Management Letter	\$0	\$0	\$0
11-2-006	Workforce Management (Congressional Request)	\$0	\$0	\$0
11-2-007	AUP IODP International Ocean Drilling Program	\$0	\$0	\$0
11-6-004	ARRA Capability California State University – Fresno	\$0	\$0	\$0
	Total:	\$4,387,830	\$2,673,497	\$62,338,903

The office issued 24 audit reports during this semiannual period.

NSF-Cognizant Reports

Report Number	Subject	Questioned Costs	Unsupported Costs
11-4-001	6-09 Island Institute - ME	\$0	\$0
11-4-002	12-09 Association of Public and Land-Grant Universities - DC	\$0	\$0
11-4-003	12-09 American Association of Physics Teachers - MD	\$0	\$0
11-4-004	12-09 Astrophysical Research Consortium - WA	\$0	\$0
11-4-005	12-09 Institute for Broadening Participation - ME	\$0	\$0
11-4-006	12-09 AIM American Institute of Mathematics - CA	\$0	\$0
11-4-007	12-09 Rocky Mountain Biological Laboratory - CO	\$0	\$0
11-4-008	12-09 UNAVCO, Inc. - CO	\$0	\$0
11-4-009	12-09 American Society of Human Genetics - MD	\$0	\$0
11-4-010	3-10 Association of Science-Technology Centers Inc. - DC	\$0	\$0
11-4-011	Santa Fe Institute - NM	\$0	\$0
11-4-012	6-10 VMI Research Laboratories - VA	\$0	\$0
11-4-013	12-09 Woods Hole Oceanographic Institution - MA	\$77,758	\$77,758
11-4-014	12-09 Space Science Institute - CO	\$0	\$0
11-4-015	12-09 CUAHSI Consortium of Universities for the Advancement of Hydrologic Sciences - DC	\$0	\$0
11-4-016	12-09 American Mathematical Society - RI	\$0	\$0
11-4-017	12-09 Stroud Water Research Center, Inc. - PA	\$0	\$0
11-4-018	12-09 American Association of Community Colleges - DC	\$0	\$0
11-4-019	12-09 Triangle Coalition for Science and Technology Education - VA	\$0	\$0
11-4-020	12-09 SCOR Scientific Committee on Oceanic Research - DE	\$0	\$0
11-4-021	12-09 St. Louis Science Center - MO	\$0	\$0
11-4-022	12-09 USMFS George E. Brown US-Mexico Foundation for Science	\$0	\$0
11-4-023	12-09 Barrow Arctic Science Consortium - AK	\$0	\$0
11-4-024	12-09 Center for Severe Weather Research - CO	\$0	\$0
11-4-025	12-09 Consortium of Universities for Research in Earthquake Engineering - CA	\$0	\$0
11-4-026	12-09 Donald Danforth Plant Science Center - MO	\$0	\$0
11-4-027	12-09 EdLab Group FKA Puget Sound Center Foundation - WA	\$0	\$0
11-4-028	12-09 OPeNDAP Open Source Project for Network Data Access Protocol - RI	\$0	\$0
11-4-029	5-10 Oregon Museum of Science & Industry	\$0	\$0
11-4-030	12-08 Inland Northwest Community Access Network - WA	\$0	\$0
11-4-031	12-09 Inland Northwest Community Access Network - WA	\$0	\$0

11-4-032	12-09 The Shodor Education foundation, Inc. NC	\$0	\$0
11-4-033	2-09 REVISED Astronomical Society of the Pacific - CA	\$0	\$0
11-4-034	6-10 GSU Research & Service Foundation, Inc.	\$0	\$0
11-4-035	6-10 Woods Hole Research Center - MA	\$0	\$0
11-4-036	12-09 American Educational Research Association - DC	\$0	\$0
11-4-037	6-10 Illinois State Museum Society - IL	\$0	\$0
11-4-038	8-09 Merck Institute for Science Education - NJ	\$0	\$0
11-4-039	12-09 Mathematical Association of America - DC	\$0	\$0
11-4-040	2-10 Astronomical Society of the Pacific - CA	\$0	\$0
11-4-041	6-10 Cary Institute of Ecosystem Studies, Inc. - NY	\$0	\$0
11-4-042	6-10 Exploratorium - CA	\$0	\$0
11-4-043	6-10 Public Radio International Inc. - MN	\$0	\$0
11-4-044	6-10 Oakland Museum of California Foundation	\$0	\$0
11-4-045	6-10 Viewpoints Research Institute, Inc. - CA	\$0	\$0
11-4-046	6-10 Yellowstone Park Foundation, Inc. - MT	\$0	\$0
11-4-047	9-10 ARCUS Arctic Research Consortium of the US - AK	\$0	\$0
11-4-048	6-10 BLOS Bigelow Laboratory for Ocean Sciences - ME	\$0	\$0
11-4-049	6-10 Science Museum of Minnesota	\$0	\$0
11-4-050	6-10 William Marsh Rice University - TX	\$0	\$0
11-4-051	3-10 Berkeley Geochronology Center - CA	\$0	\$0
11-4-052	6-10 Allegheny Intermediate Unit 3 -PA	\$0	\$0
11-4-053	6-10 Pacific Science Center Foundation - CA	\$0	\$0
11-4-054	6-10 Southern Oregon Public Television	\$0	\$0
11-4-055	6-10 California Academy of Sciences	\$0	\$0
11-4-056	6-10 University Enterprises, Inc. - CA	\$0	\$0
11-4-057	6-10 Santa Barbara Community College District - CA	\$0	\$0
11-4-059	6-10 Shepherd University Research Corporation - WV	\$0	\$0
11-4-060	6-10 National Alliance for Partnerships in Equity Education Foundation, Inc. - PA	\$0	\$0
11-4-061	6-10 Maine Mathematics and Science Alliance	\$0	\$0
11-4-062	6-10 IRIS Incorporated Research Institutions for Seismology - DC	\$0	\$0
11-4-063	8-10 WGBH Educational Foundation - MA	\$0	\$0
11-4-064	6-10 Carnegie Institution of Washington - DC	\$0	\$0
11-4-065	8-10 Twin Cities Public Television, Inc. - MN	\$0	\$0
11-4-066	9-10 UCAR University Corporation for Atmospheric Research - CO	\$0	\$0
11-4-067	9-10 AUI Associated Universities, Inc. - DC	\$0	\$0

11-4-068	6-10 Oregon Public Broadcasting	\$0	\$0
11-4-073	9-10 NEON National Ecological Observatory Network, Inc. - CO	\$0	\$0
11-4-076	6-10 Paleontological Research Institution - NY	\$0	\$0
11-4-078	6-10 Adler Planetarium - IL	\$0	\$0
11-4-079	6-10 American Museum of Natural History - NY	\$0	\$0
11-4-081	6-1- New Mexico Consortium - NM	\$0	\$0
	Total:	\$77,758	\$77,758

Other Federal Audits

Report Number	Subject	Questioned Costs	Unsupported Costs
11-5-011	6-09 Woods Hole Research Center - MA	\$5	\$0
11-5-029	5-10 Augsburg College - MN	\$79,988	\$79,988
11-5-048	6-10 Research Foundation of SUNY - NY	\$4,760	\$4,760
11-5-056	6-10 University of Central Oklahoma	\$2,000	\$0
11-5-061	6-10 Howard University - DC	\$8,885	\$8,885
11-5-068	6-10 University of Massachusetts	\$593	\$593
11-5-070	5-10 Willamette University - OR	\$387,369	\$97,017
11-5-072	6-10 Agnes Scott College - GA	\$26,840	\$26,840
11-5-090	6-10 The Colorado College – CO	\$1,754	\$1,754
11-5-100	6-10 University of Missouri System	\$24	\$0
11-5-102	8-10 State of Texas	\$40,000	\$40,000
	Total:	\$552,218	\$259,837

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 decision on the corrective action necessary for report resolution within six months of the report's issue date. At the end of the reporting period there were 25 reports that met this condition. The status of recommendations that involve internal NSF management is described on page 37.

Report Number	Subject	Questioned Costs	Unsupported Costs	Better Use of Funds
05-1-005	RPSC Costs Claimed FY 2000 to 2002	\$20,934,738	\$0	\$0
06-1-023	RPSC 2003/2004 Raytheon Polar Services	\$13,171,290	\$0	\$0
07-1-003	Triumph Tech, Inc.	\$80,740	\$1,192	\$0
07-1-019	ABT Associates	\$22,716	\$0	\$0
09-1-010	Carnegie Institution of Washington	\$25,718	\$25,718	\$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
09-5-052	6-07 Howard University – DC	\$1,125,491	\$662,940	\$0
10-1-001	SUNY at Stony Brook Effort Reporting	\$23,656	\$0	\$0
10-1-003	University of Nevada – Reno Effort Reporting	\$54,154	\$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
10-4-012	8-08 WGBH Educational Foundation – MA	\$791	\$776	\$0
10-4-045	12-08 American Institute of Biological Sciences	\$267,638	\$267,638	\$0
10-4-100	8-09 WGBH Educational Foundation – MA	\$1,881	\$0	\$0
10-4-165	12-08 Barrow Arctic Science Consortium	\$22,314	\$22,314	\$0
10-5-016	6-08 State of Arizona	\$71,858	\$46,045	\$0
10-5-093	6-09 Polytechnic Institute of New York University	\$20,905	\$0	\$0
10-5-123	6-09 Chicago State University – IL	\$32,443	\$32,443	\$0
10-5-126	6-09 St. 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
	Total:	\$40,849,403	\$3,063,378	\$88,184,480

INVESTIGATIONS DATA
(October 1, 2010 – March 31, 2011)

Civil/Criminal Investigative Activities

Referrals to Prosecutors	6
Criminal Convictions/Pleas	4
Civil Settlements	0
Indictments/Information	6
Investigative Recoveries	\$1,948,754.61

Administrative Investigative Activities

Referrals to NSF Management for Action	21
Research Misconduct Findings	6
Debarments	6
Administrative Actions	75
Certifications and Assurances Received ³	40

Investigative Case Statistics

	<u>Preliminary</u>	<u>Civil/Criminal</u>	<u>Administrative</u>
Active at Beginning of Period	33	89	82
Opened	120	26	39
Closed	107	32	39
Active at End of Period	46	83	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. § 552) and the Privacy Act (5 U.S.C. § 552a). During this reporting period:

Requests Received	65
Requests Processed	64
Appeals Received	4
Appeals Upheld	4

Response time ranged between 1 day and 22 days, with the median around 16 days and the average around 16 days. For three requests involving voluminous records and an approved 10-day extension, our response time ranged between 27 and 30 days.

³ 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.

