

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	\$3,053,497
B.	Recommendations that were issued during the reporting period	\$0
C.	Adjustments related to prior recommendations	\$0
Subtotal of A+B+C		\$3,053,497
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	\$3,053,497
For which no management decision was made within 6 months of issuance		\$3,053,497

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	27	\$59,033,545	\$1,091,038
B.	That were issued during the reporting period ²⁵	13	\$4,735,465	\$1,617,013
C.	Adjustment related to prior recommendations			
Subtotal of A+B+C		40	\$63,769,010	\$2,708,051
D.	For which a management decision was made during the reporting period	18	\$1,384,297	\$426,906
	i) dollar value of disallowed costs	N/A	\$1,072,246	N/A
	ii) dollar value of costs not disallowed	N/A	\$312,051	N/A
E.	For which no management decision had been made by the end of the reporting period	22	\$62,384,713	\$2,281,145
	For which no management decision was made within 6 months of issuance	9	\$57,649,248	\$664,132

²⁶ Of the 13 audit reports with questioned costs issued during this period, eight were Single Audit (A-133) audit reports, with a total of \$587,396 questioned costs. Of those eight, four A-133 reports found a total of \$145,098 unsupported costs.

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:	3	\$1,353,360	\$0	\$834,556
B.	Reports with monetary findings that were issued during the reporting period:	1	\$10,576,949	\$136,263	\$0
C.	Adjustments related to prior recommendations	0	\$0	\$0	\$0
Total of reports with cost sharing findings (A+B+C)		4	\$11,930,309	\$136,263	\$834,556
D.	For which a management decision was made during the reporting period:	2	\$437,258	\$0	\$323,838
	1. Dollar value of cost-sharing shortfall that grantee agreed to provide	2	\$437,258	\$0	\$323,838
	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	2	\$11,493,051	\$136,263	\$510,718

Status of Recommendations that Involve Internal NSF Management Operations

Open Recommendations (as of 09/30/2009)	
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 ²⁶	
Awaiting Resolution	9
Resolved Consistent With OIG Recommendations	43
Management Decision That No Action is Required	0
Final Action on OIG Recommendations ²⁷	
Final Action Completed	3
Recommendations Open at End of Period	49

Aging of Open Recommendations

Awaiting Management Resolution:	
0 through 6 months	0
7 through 12 months	6
More than 12 months	3
Awaiting Final Action After Resolution	
0 through 6 months	0
7 through 12 months	20
More than 12 months	20

²⁷ "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.

²⁸ "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
09-1-008	Cornell University Effort Reporting System	\$0	\$0	\$0	\$0
09-1-009	Georgia Tech Effort Reporting System	\$0	\$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
09-1-012	Arizona State Effort Reporting system	\$29,700	\$0	\$0	\$0
09-1-013	Purdue Labor Effort Reporting	\$12,630	\$0	\$0	\$0
09-1-014	University of Michigan	\$1,604,713	\$1,418,889	\$0	\$136,263
09-6-001	Alert Memo - ARRA – Potential High Risk Awardees	\$0	\$0	\$0	\$0
09-6-002	Alert Memo – OIG Understanding of ARRA Stakeholder Expectations	\$0	\$0	\$0	\$0
09-6-003	Alert Memo – Source Selection Process for the Award of ASC	\$0	\$0	\$0	\$0
09-6-004	Alert Memo ARRA – Review of Funding of In-House Proposals	\$0	\$0	\$0	\$0
09-6-005	Alert Memo – Contract Administration Issue (Wisconsin)	\$0	\$0	\$0	\$0
	Total:	\$4,148,069	\$1,471,915	\$0	\$136,263

NSF-Cognizant Reports

Report Number	Subject	Questioned Costs	Unsupported Costs	Cost Sharing At-Risk
09-4-083	12-07 Association for Institutional Research, Inc. - FL	\$0	\$0	\$0
09-4-106	12-07 REJECTED DOSECC Drilling Observation and Sampling of the Earth's Continental Crust - UT	\$0	\$0	\$0
09-4-111	9-07 Fort Worth Museum of Science and History – TX	\$0	\$0	\$0
09-4-112	9-07 Kentucky Science and Technology Corporation	\$0	\$0	\$0
09-4-113	9-07 LSST, Inc. – AZ	\$0	\$0	\$0
09-4-114	12-07 Monterey Bay Aquarium Research Institute – CA	\$0	\$0	\$0
09-4-115	8-07 MISE Merck Institute for Science and Education – NJ	\$0	\$0	\$0
09-4-116	7-07 MSRI Mathematical Sciences Research Institute – CA	\$0	\$0	\$0
09-4-117	6-07 Los Angeles County Museum of Natural History Foundation – CA	\$0	\$0	\$0
09-4-118	6-07 Maine Mathematics and Science Alliance	\$0	\$0	\$0
09-4-119	6-07 MPC Corporation – PA	\$0	\$0	\$0
09-4-120	9-07 Montshire Museum of Science - VT	\$0	\$0	\$0
09-4-121	6-07 NISS National Institute of Statistical Sciences - NC	\$0	\$0	\$0
09-4-122	6-07 New York Hall of Science	\$0	\$0	\$0
09-4-123	5-07 Oregon Museum of Science and Industry	\$0	\$0	\$0
09-4-124	6-07 Oregon Public Broadcasting	\$0	\$0	\$0
09-4-125	12-07 Puget Sound Center Foundation for Teaching Learning & Technology – WA	\$0	\$0	\$0
09-4-126	6-07 QEMN Quality Education for Minorities Network – DC	\$0	\$0	\$0
09-4-127	6-07 San Diego Society of Natural History – CA	\$0	\$0	\$0
09-4-128	12-07 Santa Fe Institute – NM	\$0	\$0	\$0
09-4-129	6-07 SoundVision Productions - CA	\$0	\$0	\$0
09-4-130	12-07 The Franklin Institute – PA	\$0	\$0	\$0
09-4-131	12-07 Space Science Institute – CO	\$0	\$0	\$0
09-4-132	6-07 The Institute for Global Environmental Strategies, Inc. - VA	\$0	\$0	\$0
09-4-133	12-07 Sciencenter Discovery Museum – NY	\$0	\$0	\$0
09-4-134	9-07 The Algebra Project, Inc. – MA	\$0	\$0	\$0

09-4-135	12-07 TERC Technical Education Research Centers, Inc. – MA	\$0	\$0	\$0
09-4-136	6-07 The Brookings Institution – DC	\$0	\$0	\$0
09-4-137	12-07 The Mathematical Association of America – DC	\$0	\$0	\$0
09-4-138	12-07 The Samuel Roberts Noble Foundation, Inc. - OK	\$0	\$0	\$0
09-4-139	8-07 Twin Cities Public Television, Inc. – MN	\$0	\$0	\$0
09-4-140	9-07 The Concord Consortium Incorporated – MA	\$0	\$0	\$0
09-4-141	6-07 The Science Museum of Minnesota - MN	\$0	\$0	\$0
09-4-142	9-07 URA Universities Research Association, Inc. - DC	\$0	\$0	\$0
09-4-143	9-07 Teachers Development Group - OR	\$0	\$0	\$0
09-4-144	607 REJECTED Town of Hudson – MA	\$0	\$0	\$0
09-4-145	6-07 The Queens Borough Public Library - NY	\$0	\$0	\$0
09-4-146	9-07 NEON REVISED National Ecological Observatory Network, Inc. – CO	\$0	\$0	\$0
09-4-147	12-07 Biological Sciences Curriculum Study, Inc. – CO	\$0	\$0	\$0
09-4-148	6-07 Center for Occupational Research & Development/CORD, Inc. - TX	\$0	\$0	\$0
09-4-149	12-07 Gulf of Maine Research Institute – ME	\$0	\$0	\$0
09-4-150	9-07 Hazardous Material Training & Research Institute – IA	\$0	\$0	\$0
09-4-151	6-07 Illinois State Museum Society	\$0	\$0	\$0
09-4-152	6-07 IRIS Incorporated Research Institutions for Seismology – DC	\$0	\$0	\$0
09-4-153	12-07 ICSI International Computer Science Institute – CA	\$0	\$0	\$0
09-4-154	12-07 Institute for Global Environment and Society, Inc. – MD	\$0	\$0	\$0
09-4-155	6-07 Institute for Advanced Study – NJ	\$0	\$0	\$0
09-4-156	12-07 Institute for Broadening Participation – ME	\$0	\$0	\$0
09-4-157	12-07 Boyce Thompson Institute for Plant Research – NY	\$0	\$0	\$0
09-4-158	6-07 Garfield Park Conservatory Alliance – IL	\$0	\$0	\$0
09-4-159	6-08 IUP Research Institute – PA	\$0	\$0	\$0
09-4-160	6-08 The Institute for Global Environmental Strategies – VA	\$0	\$0	\$0
09-4-161	5-08 Oregon Museum of Science and Industry	\$0	\$0	\$0

09-4-162	6-08 Exploratorium – CA	\$0	\$0	\$0
09-4-163	6-08 Harrisburg University of Science and Technology - PA	\$0	\$0	\$0
09-4-164	6-05 REVISED School District of Riverview Gardens – MO	\$0	\$0	\$0
09-4-165	6-08 Keck Graduate Institute of Applied Life Sciences – CA	\$0	\$0	\$0
09-4-166	6-08 Garfield Park Conservatory Alliance – IL	\$0	\$0	\$0
09-4-167	6-08 California Science Center Foundation – CA	\$0	\$0	\$0
09-4-168	6-08 Viewpoints Research Institute, Inc. – CA	\$0	\$0	\$0
09-4-169	6-08 Cary Institute of Ecosystem Studies, Inc. – NY	\$0	\$0	\$0
09-4-170	7-08 MSRI Mathematical Sciences Research Institute – CA	\$0	\$0	\$0
09-4-171	6-08 Oregon Public Broadcasting	\$0	\$0	\$0
09-4-172	12-07 Association of Science-Technology Centers – DC	\$0	\$0	\$0
09-4-173	12-07 Astrophysical Research Consortium – WA	\$0	\$0	\$0
09-4-174	2-07 REJECTED Astronomical Society of the Pacific – CA	\$0	\$0	\$0
09-4-175	3-07 Berkeley Geochronology Center – CA	\$0	\$0	\$0
09-4-176	12-07 BBSR/BIOS Bermuda Institute for Ocean Sciences – NY	\$0	\$0	\$0
09-4-177	6-08 Illinois State Museum Society	\$0	\$0	\$0
09-4-178	6-08 School District of Riverview Gardens – MO	\$0	\$0	\$0
09-4-179	6-08 Allegheny Intermediate Unit - PA	\$0	\$0	\$0
09-4-180	6-08 William Marsh Rice University – TX	\$0	\$0	\$0
09-4-181	6-07 Bigelow Laboratory for Ocean Science - ME	\$0	\$0	\$0
09-4-182	6-08 Council for Adult and Experiential Learning – IL	\$0	\$0	\$0
09-4-183	6-08 CSU Fullerton Auxiliary Services Corp. – CA	\$0	\$0	\$0
09-4-184	6-08 Maine Mathematics and Science Alliance	\$0	\$0	\$0
09-4-185	12-07 REJECTED OIDA Optoelectronics Industry Development Association, Inc. – DC	\$0	\$0	\$0
09-4-186	3-08 Girls Incorporated – NY	\$0	\$0	\$0
09-4-187	8-08 Twin Cities Public Television, Inc. – MN	\$0	\$0	\$0
09-4-188	6-08 Southwest Center for Educational Excellence – MO	\$0	\$0	\$0

09-4-189	9-08 UCAR University corporation for Atmospheric Research – CO	\$0	\$0	\$0
09-4-190	6-08 New York Hall of Science – NY	\$0	\$0	\$0
09-4-191	6-08 QEMN Quality Education for Minorities Network – DC	\$0	\$0	\$0
09-4-192	3-08 Berkeley Geochronology Center - CA	\$0	\$0	\$0
09-4-193	6-08 Michigan State University	\$0	\$0	\$0
09-4-194	6-08 Science Museum of Minnesota	\$0	\$0	\$0
09-4-195	6-08 CRA The Computing Research Association – DC	\$0	\$0	\$0
09-4-196	6-08 Chicago Children’s Museum – IL	\$0	\$0	\$0
09-4-197	6-08 Los Angeles County Museum of Natural History Foundation – CA	\$0	\$0	\$0
09-4-198	9-08 LSST, Inc. – AZ	\$0	\$0	\$0
09-4-199	6-08 MPC Corporation – PA	\$0	\$0	\$0
09-4-200	6-08 Museum of Science – MA	\$0	\$0	\$0
09-4-201	6-08 Institute for Advanced Study – NJ	\$0	\$0	\$0
09-4-202	6-08 Adler Planetarium – IL	\$0	\$0	\$0
09-4-203	9-08 The Concord Consortium, Inc. – MA	\$0	\$0	\$0
09-4-204	6-08 Stark County Educational Service Center – OH	\$0	\$0	\$0
09-4-205	6-08 Brooklyn Children’s Museum Corp. – NY	\$34,979	\$0	\$0
09-4-206	6-08 The Children’s Museum (Boston) – MA	\$0	\$0	\$0
09-4-207	6-08 Children’s Museum, Inc. (Houston) – TX	\$0	\$0	\$0
09-4-208	6-08 Carnegie Institution of Washington – DC	\$0	\$0	\$0
09-4-209	6-08 Educational Broadcasting Company – NY	\$0	\$0	\$0
09-4-212	6-08 IRIS Incorporated Research Institutions for Seismology and IRIS Ocean Cable – DC	\$0	\$0	\$0
09-4-213	9-08 Museum of Science and Industry, Inc. – FL	\$0	\$0	\$0
09-4-214	6-08 New York Botanical Garden	\$0	\$0	\$0
09-4-215	6-08 WNYC Radio – NY	\$0	\$0	\$0
09-4-216	12-07 REVISED CRDF U.S. Civilian Research and Development Foundation – VA	\$0	\$0	\$0
09-4-217	6-08 American Museum of Natural History – NY	\$0	\$0	\$0
09-4-228	9-08 California Institute of Technology - CA	\$0	\$0	\$0
	Total:	\$34,979	\$0	\$0

Other Federal Audits

Report Number	Subject	Questioned Costs	Unsupported Costs	Cost Sharing At-Risk
09-5-105	6-08 State of Florida	\$1,894	\$0	\$0
09-5-127	6-08 South Orange County Community College District - CA	\$122,694	\$0	\$0
09-5-159	6-08 University of Richmond and Its Affiliates - VA	\$35,400	\$35,400	\$0
09-5-164	6-08 Ohio State University - OH	\$100,560	\$0	\$0
09-5-175	5-08 LaSalle University - PA	\$97,085	\$97,085	\$0
09-5-176	9-07 Fort Berthold Community College - ND	\$75	\$75	\$0
09-5-183	6-08 Wildlife Trust, Inc., Wildlife Preservation Trust International - NY	\$194,709	\$12,538	\$0
	Total:	\$552,417	\$145,098	\$0

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 ten reports remaining that met this condition. The status of recommendations that involve internal NSF management is described on page 38.

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 2003/2204 Raytheon Polar Services Company	\$22,112,521	\$0	\$0	\$0
06-2-011	University Indirects	\$0	\$0	\$1,900,000	\$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
09-1-007	CRDF U.S. Civilian Research & Development Foundation	\$198,926	\$0	\$1,153,497	\$0
09-4-088	12-07 American Association of Community Colleges DC	\$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
	Total:	\$57,649,248	\$664,132	\$3,053,497	\$0

INVESTIGATIONS DATA
(April 1, 2009 – September 30, 2009)

Civil/Criminal Investigative Activities

Referrals to Prosecutors	4
Criminal Convictions/Pleas	0
Civil Settlements	1
Indictments/Information	1
Investigative Recoveries	\$ 663,194.45

Administrative Investigative Activities

Referrals to NSF Management for Action	13
Research Misconduct Findings	5
Debarments	4
Administrative Actions	65
Certifications and Assurances Received	10

Investigative Case Statistics

	<u>P</u>	<u>reliminary</u>	<u>Civil/Criminal</u>	<u>Administrative</u>
Active at Beginning of Period		53	76	72
Opened		55	41	52
Closed		163	30	52
Active at End of Period		45	87	72

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	4	5
Requests Processed		43
Appeals Received		0

Response time ranged between 1 days and 20 days, with the median around 15 days and the average around 13 days.