

# 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	\$1,900,000
	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 <sup>1</sup>	\$1,900,000
E.	For which no management decision had been made by the end of the reporting period	\$1,153,497
For which no management decision was made within 6 months of issuance		\$1,153,497

<sup>1</sup> Although NSF did not agree with the finding of \$1.9 million of funds put to better use in OIG audit report No. 06-2011, additional funds were made available for grants as a result of NSF's implementing the report recommendations that NSF comply with OMB requirement for calculating grantees' indirect cost rates.

## 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	22	\$62,384,713	\$2,281,145
B.	That were issued during the reporting period <sup>2</sup>	19	\$1,228,520	\$382,137
C.	Adjustment related to prior recommendations			
Subtotal of A+B+C			\$63,613,233	\$2,663,282
D.	For which a management decision was made during the reporting period	8	\$843,499	\$109,623
	i) dollar value of disallowed costs	N/A	\$200,742	N/A
	ii) dollar value of costs not disallowed	N/A	\$642,757	N/A
E.	For which no management decision had been made by the end of the reporting period	33	\$62,769,734	\$2,553,659
For which no management decision was made within 6 months of issuance		15	\$61,891,022	\$2,171,522

<sup>2</sup> Of the 19 audit reports with questioned costs issued during this reporting period, 15 were Single Audit (A-133) audit reports, with a total of \$1,113,470 questioned costs. Of those 15, seven A-133 reports found a total of \$382,137 of 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:	2	\$11,493,051	\$136,263	\$510,718
B.	Reports with monetary findings that were issued during the reporting period:	0	\$0	\$0	\$0
C.	Adjustments related to prior recommendations	0	\$0	\$0	\$0
Total of reports with cost sharing findings (A+B+C)			\$11,493,051	\$136,263	\$510,718
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	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	49
New Recommendations Made During Reporting Period	34
Total Recommendations to be Addressed	83
Management Resolution of Recommendations <sup>3</sup>	
Awaiting Resolution	24
Resolved Consistent With OIG Recommendations	59
Management Decision That No Action is Required	0
Final Action on OIG Recommendations <sup>4</sup>	0
Final Action Completed	31
Recommendations Open at End of Period	52

## Aging of Open Recommendations

Awaiting Management Resolution:	
0 through 6 months	21
7 through 12 months	0
More than 12 months	3
Awaiting Final Action After Resolution	
0 through 6 months	13
7 through 12 months	0
More than 12 months	15

<sup>3</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>4</sup> "Final Action" occurs when management has completed all actions it agreed to in the corrective action plan.

## NSF and CPA Performed Reviews

Report Number	Subject	Questioned Costs	Unsupported Costs	Better Use of Funds	Cost Sharing At-Risk
10-1-001	SUNY at Stony Brook Effort Reporting	\$23,656	\$0	\$0	\$0
10-1-002	University of Wisconsin-Madison Effort Reporting	\$2,941	\$0	\$0	\$0
10-1-003	University of Nevada-Reno Effort Reporting	\$54,154	<b>\$0</b>	\$0	\$0
10-1-004	ANS Performance Internal Controls Academy of Natural Sciences	\$0	\$0	\$0	\$0
10-1-005	Washington University in St. Louis Effort Reporting	\$0	\$0	\$0	\$0
10-1-006	University of Missouri-Columbia	\$0	\$0	\$0	\$0
10-1-007	NEES Network for Earthquake Engineering Simulation	\$0	\$0	\$0	\$0
10-1-008	University of Delaware Effort Reporting	\$34,299	\$0	\$0	\$0
10-1-009	Follow up California Institute of Technology Effort Reporting	\$0	\$0	\$0	\$0
10-2-001	ARRA – Data Quality	\$0	\$0	\$0	\$0
10-2-002	NSF's FY2009 Financial Statement Audit	\$0	\$0	\$0	\$0
10-2-003	NSF FY2009 Special Purpose Financial Statement	\$0	\$0	\$0	\$0
10-2-004	FISMA 2009 Independent Evaluation Report	\$0	\$0	\$0	\$0
10-2-005	FY2009 FISMA Independent Evaluation Summary	\$0	\$0	\$0	\$0
10-2-006	Audit Resolution	\$0	\$0	\$0	\$0
10-2-007	NSF's FY2009 Management Letter	\$0	\$0	\$0	\$0
10-2-008	Government in the Sunshine Act	\$0	\$0	\$0	\$0
10-2-009	Workforce Management – Rotating Director Model	\$0	\$0	\$0	\$0
10-6-001	Alert Memo NSF Contract Administration Issue	\$0	\$0	\$0	\$0
10-6-002	Alert Memo COL (FKA JOI) NSF Administration of CAS at COL	\$0	\$0	\$0	\$0
10-6-003	SIGIR Peer Review	\$0	\$0	\$0	\$0
	<b>Total:</b>	<b>\$115,050</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

## NSF-Cognizant Reports

Report Number	Subject	Questioned Costs	Unsupported Costs	Cost Sharing At-Risk
10-4-001	9-08 Forth Worth Museum of Science & History – TX	\$0	\$0	\$0
10-4-002	9-08 Northern California Public Broadcasting	\$0	\$0	\$0
10-4-003	8-08 Association of American Geographers – DC	\$0	\$0	\$0
10-4-004	12-08 Carnegie Institute – PA	\$24,000	\$0	\$0
10-4-005	6-08 CORD, Inc. – TX	\$0	\$0	\$0
10-4-006	12-08 International Computer Science Institute – CA	\$0	\$0	\$0
10-4-007	9-08 Merck Institute for Science Education – NJ	\$0	\$0	\$0
10-4-008	9-08 NEES Consortium, Inc. – CA	\$0	\$0	\$0
10-4-009	9-08 TMT Observatory Corporation – CA	\$0	\$0	\$0
10-4-010	12-08 TERC Technical Education Research Centers, Inc. – MA	\$0	\$0	\$0
10-4-011	6-08 SoundVision Productions – CA	\$0	\$0	\$0
10-4-012	8-08 WGBH Educational Foundation – MA	\$791	\$776	\$0
10-4-013	12-08 BIOS Bermuda Institute for Ocean Sciences – NY	\$0	\$0	\$0
10-4-014	9-08 Kentucky Science and Technology Corporation	\$0	\$0	\$0
10-4-015	12-08 Monterey Bay Aquarium Research Institute – CA	\$0	\$0	\$0
10-4-016	9-08 AURA Association of Universities for Research in Astronomy, Inc. – DC	\$0	\$0	\$0
10-4-017	9-08 IMI IODP Management International, Inc. – DC	\$0	\$0	\$0
10-4-018	12-08 AIM American Institute of Mathematics – CA	\$0	\$0	\$0
10-4-019	12-08 Mathematical Association of America – DC	\$0	\$0	\$0
10-4-020	9-08 ARCUS Arctic Research Consortium of the U.S. – AK	\$0	\$0	\$0
10-4-021	9-08 Chabot Space and Science Center – CA	\$0	\$0	\$0
10-4-022	9-08 Fermi Research Alliance, L.L.C. – IL	\$0	\$0	\$0
10-4-023	9-08 NEON National Ecological Observatory Network, Inc. – CO	\$0	\$0	\$0
10-4-024	12-08 Academy of Natural Sciences of Philadelphia – PA	\$0	\$0	\$0
10-4-025	12-08 Field Museum of Natural History – IL	\$0	\$0	\$0
10-4-026	12-08 Denver Museum of Nature and Science – CO	\$0	\$0	\$0

10-4-027	12-08 American Association of Community Colleges – DC	\$41,400	\$0	\$0
10-4-028	12-08 SCOR Scientific Committee on Ocean Research – DE	\$0	\$0	\$0
10-4-029	9-08 AUI Associated Universities, Inc. – DC	\$0	\$0	\$0
10-4-030	12-08 Astrophysical Research Consortium –WA	\$0	\$0	\$0
10-4-031	6-08 Bigelow Laboratory for Ocean Sciences – ME	\$0	\$0	\$0
10-4-032	12-06 American Institute of Biological Sciences, Inc. – DC	\$0	\$0	\$0
10-4-033	12-08 American Physical Society – MD	\$0	\$0	\$0
10-4-034	12-08 Hopa Mountain Foundation – MT	\$0	\$0	\$0
10-4-035	12-08 Santa Fe Institute – NM	\$0	\$0	\$0
10-4-036	12-08 Samuel Roberts Noble Foundation, Inc. – OK	\$0	\$0	\$0
10-4-037	12-08 UCAID University Corporation for Advancement of Internet Development – MI	\$0	\$0	\$0
10-4-038	12-08 COL Consortium for Ocean Leadership – DC	\$266,525	\$0	\$0
10-4-039	6-07 REVISED Town of Hudson – MA	\$0	\$0	\$0
10-4-040	12-08 The Franklin Institute – PA	\$0	\$0	\$0
10-4-041	12-08 American Association of Physics Teachers – MD	\$0	\$0	\$0
10-4-042	12-08 Rocky Mountain Biological Laboratory – CO	\$0	\$0	\$0
10-4-043	12-08 American Geophysical Union – DC	\$0	\$0	\$0
10-4-044	12-08 Biological Sciences Curriculum Study, Inc. – CO	\$0	\$0	\$0
10-4-045	12-08 American Institute of Biological Sciences, Inc. – DC	\$267,638	\$267,638	\$0
10-4-046	9-08 REJECTED EBIRE East Bay Institute for Research and Education – CA	\$0	\$0	\$0
10-4-047	12-08 AAAS American Association for the Advancement of Science – DC	\$0	\$0	\$0
10-4-048	12-08 Boyce Thompson Institute for Plant Research, Inc. – NY	\$0	\$0	\$0
10-4-049	12-08 REJECTED Center for Severe Weather Research – CO	\$0	\$0	\$0
10-4-050	12-08 Donald Danforth Plant Science Center – MO	\$0	\$0	\$0
10-4-051	12-08 OPeNDAP Open Source Project for Data Access Protocol – RI	\$0	\$0	\$0
10-4-052	12-08 Puget Sound Foundation for Teaching Learning and Technology – WA	\$0	\$0	\$0
10-4-053	9-08 The Algebra Project, Inc. – MA	\$0	\$0	\$0
10-4-054	12-08 The Shodor Education Foundation – NC	\$0	\$0	\$0

10-4-055	12-08 Triangle Coalition for Science and Technology Education – VA	\$0	\$0	\$0
10-4-056	12-08 UNAVCO, Inc. – CO	\$0	\$0	\$0
10-4-057	3-09 Association of Science-Technology Centers Incorporated – DC	\$0	\$0	\$0
10-4-058	2-08 REJECTED Astronomical Society of the Pacific – CA	\$0	\$0	\$0
10-4-059	12-08 CUAHSI Consortium of Universities for the Advancement of Hydrologic Sciences – DC	\$0	\$0	\$0
10-4-060	6-09 REJECTED IUP Research Institute – PA	\$0	\$0	\$0
10-4-061	5-09 National Science Teachers Association – VA	\$0	\$0	\$0
10-4-062	12-08 Space Science Institute – CO	\$0	\$0	\$0
10-4-063	12-06 World Technology Evaluation Center, Inc. – MD	\$0	\$0	\$0
10-4-064	12-08 Woods Hole Oceanographic Institute – MA	\$1,120	\$0	\$0
10-4-065	12-08 Institute for Broadening Participation – ME	\$0	\$0	\$0
10-4-066	12-08 Association for Institutional Research – FL	\$0	\$0	\$0
10-4-067	5-09 Oregon Museum of Science and Industry	\$0	\$0	\$0
10-4-068	6-09 Shepherd University Research Corporation – WV	\$0	\$0	\$0
10-4-069	6-08 Liberty Science Center – NJ	\$0	\$0	\$0
10-4-070	6-09 Viewpoints Research Institute, Inc.-- CA	\$0	\$0	\$0
10-4-071	6-09 Exploratorium – CA	\$0	\$0	\$0
10-4-072	6-09 California Science Center Foundation	\$0	\$0	\$0
10-4-073	12-08 Anchorage Museum Association – AK	\$0	\$0	\$0
10-4-074	6-09 Southern Oregon Public Television, Inc.	\$0	\$0	\$0
10-4-075	6-09 William Marsh Rice University – TX	\$0	\$0	\$0
10-4-076	9-08 REVISED EBIRE East Bay Institute for Research and Education – CA	\$0	\$0	\$0
10-4-077	9-09 ARCUS Arctic Research Consortium of the U.S.-- AK	\$0	\$0	\$0
10-4-078	6-09 Southwest Center for Educational Excellence – MO	\$0	\$0	\$0
10-4-079	6-09 Bigelow Laboratory for Ocean Sciences – ME	\$0	\$0	\$0
10-4-080	9-08 Young People's Project, Inc. – MA	\$0	\$0	\$0
10-4-081	6-09 CRA Computing Research Association, Inc. – DC	\$0	\$0	\$0
10-4-083	6-09 Cary Institute of Ecosystem Studies, Inc. – NY	\$0	\$0	\$0
10-4-084	8-09 Twin Cities Public Television – MN	\$0	\$0	\$0
10-4-085	6-09 Science Museum of Minnesota	\$0	\$0	\$0

10-4-087	6-09 New York Hall of Science	\$0	\$0	\$0
10-4-088	6-09 Louisiana Museum Foundation	\$0	\$0	\$0
10-4-089	6-09 National Alliance for Partnerships in Equity Education Foundation – PA	\$0	\$0	\$0
10-4-090	6-09 Pacific Science Center Foundation – WA	\$0	\$0	\$0
10-4-091	6-09 The Institute for Global Environmental Strategies – VA	\$0	\$0	\$0
10-4-092	7-09 MSRI Mathematical Sciences Research Institute – CA	\$0	\$0	\$0
10-4-093	6-09 University Enterprises, Inc. – CA	\$0	\$0	\$0
10-4-094	6-09 Keck Graduate Institute of Applied Life Sciences – CA	\$11,641	\$0	\$0
10-4-095	6-09 Public Radio International, Inc. – MN	\$0	\$0	\$0
10-4-096	6-09 Oregon Public Broadcasting	\$0	\$0	\$0
10-4-097	6-09 Maine Mathematics and Science Alliance	\$0	\$0	\$0
10-4-098	6-09 Council for Adult and Experiential Learning – IL	\$0	\$0	\$0
10-4-099	12-08 Stroud Water Research Center, Inc. – PA	\$0	\$0	\$0
10-4-100	8-09 WGBH Education Foundation – MA	\$1,881	\$0	\$0
10-4-101	6-09 IRIS Incorporated Research Institutions for Seismology – DC	\$0	\$0	\$0
10-4-102	6-09 Institute for Advanced Study – NJ	\$0	\$0	\$0
10-4-103	9-09 The Algebra Project, Inc. – MA	\$0	\$0	\$0
10-4-104	6-09 Stark County Educational Service Center – OH	\$0	\$0	\$0
	<b>Total:</b>	<b>\$614,996</b>	<b>\$268,414</b>	<b>\$0</b>

### Other Federal Audits

Report Number	Subject	Questioned Costs	Unsupported Costs	Cost Sharing At-Risk
10-5-005	6-08 Northeastern University – MA	\$6,125	\$6,125	\$0
10-5-013	6-08 Seattle University – WA	\$349,808	\$0	\$0
10-5-015	9-08 Oglala Lakota College – SD	\$4,104	\$4,104	\$0
10-5-016	6-08 State of Arizona	\$71,858	46,045	\$0
10-5-044	9-08 American Indian Higher Education Consortium – VA	\$9,130	\$0	\$0
10-5-055	9-08 Fort Berthold Community College – ND	\$1,356	\$1,356	\$0
10-5-060	6-09 California State L.A. University Auxiliary Services, Inc.	\$56,093	\$56,093	\$0
	<b>Total:</b>	<b>\$498,474</b>	<b>\$113,723</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 within six months of the report's issue date. At the end of the reporting period there were fifteen reports remaining that met this condition. The status of recommendations that involve internal NSF management is described on page 43.

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
07-1-017	RPSC 2003/2204 Raytheon Polar Services Company	\$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
09-1-007	CRDF U.S. Civilian Research & Development Foundation	\$198,926	\$0	\$1,153,497	\$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		\$136,263
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
09-5-159	6-08 University of Richmond and Its Affiliates – VA	\$35,400	\$35,400	\$0	\$0
09-5-164	6-08 Ohio State University	\$100,560	\$0	\$0	\$0
09-5-176	9-07 Fort Berthold Community College – ND	\$75	\$75	\$0	\$0
	Total:	\$61,891,022	\$2,17,522	\$1,153,497	\$136,263

\* Audit report Nos.05-1-005 and 07-1-017 have been partially resolved. For Report No. 05-1-005, \$12,490,377 has been resolved; for Report No. 07-1-017, \$8,802,474 has been resolved.

\*\* This report is under OIG review.

## INVESTIGATIONS DATA

### (October 1, 2009 – March 31, 2010)

#### Civil/Criminal Investigative Activities

Referrals to Prosecutors	4
Criminal Convictions/Pleas	1
Civil Settlements	1
Indictments/Information	0
Investigative Recoveries	\$1,408,317.97

#### Administrative Investigative Activities

Referrals to NSF Management for Action	21
Research Misconduct Findings	6
Debarments	6
Administrative Actions	47
Certifications and Assurances Received <sup>5</sup>	23

### Investigative Case Statistics

	<u>Preliminary</u>	<u>Civil/Criminal</u>	<u>Administrative</u>
Active at Beginning of Period	46	87	72
Opened	125	26	36
Closed	127	28	32
Active at End of Period	44	84	76

### 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	50
Requests Processed	51
Appeals Received	0

Response time ranged between 3 days and 18 days, with the median around 13 days and the average around 13 days.

<sup>5</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.

