



OFFICE OF  
INSPECTOR GENERAL

MEMORANDUM

From: [REDACTED] Special Agent [REDACTED]  
Via: [REDACTED] Assistant Inspector General for Investigations  
To: [REDACTED], Assistant Inspector General for Audit  
Date: March 28, 2000  
Re: Case Closeout of I99120048, Audit Referral - [REDACTED]  
[REDACTED]

Background

On December 30, 1999, [REDACTED] (complainant), NSF Principal Investigator (PI) and Associate Professor of Biology, [REDACTED], made allegations against University Auxiliary Services<sup>1</sup> (UAS) and [REDACTED] regarding its handling of the post-award grant process. The complainant gave a lengthy background concerning difficulties PIs at the institution were having with UAS and its mismanagement of the post-award process. The [REDACTED] Central Administration has failed to respond sufficiently to the research faculty's concerns. The complainant wishes to remain anonymous and has not contacted [REDACTED] Internal Audit.

NSF/OIG received a package January 3, 2000, from the complainant, which included a lengthy cover letter summarizing his concerns, points of contact, eight e-mails between UAS and faculty, two memos, and a copy of the UAS and University contract and contract summary. The e-mail correspondence demonstrates that other [REDACTED] research faculty, including faculty with NSF awards, has experienced post-award problems in agreement with the complainant's allegations regarding UAS/[REDACTED]. On January 3, 2000, [REDACTED] faxed a request to [REDACTED], UAS Director, for a copy of the FY 1998 A-133 audit, based on the July 1999 data provided to the Federal Audit Clearinghouse, that NSF, Dept. of Ed, and NASA were affected by a reportable condition. After several follow-ups, OIG received the A-133 on March 24, 2000.

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<sup>1</sup> UAS is a private corporation that handles the administration and accounting of grant funds since the early 1990s. They are contracted by [REDACTED] to provide numerous services for the university.

On March 8, 2000 the complainant called to bring the OIG Investigator up to date on the continuing problems research faculty are encountering with UAS. The complainant forwarded copies of faculty meeting minutes regarding these issues.

Recommendations

The allegations and issues of the case involve potential institution-wide mismanagement and inefficiency of the post-award process. As a result, we are closing the case and referring the matter to OIG Efficiency for review. We recommend an audit of UAS' post-award management.

I99120048