



NATIONAL SCIENCE FOUNDATION
OFFICE OF INSPECTOR GENERAL
OFFICE OF INVESTIGATIONS

CLOSEOUT MEMORANDUM

Case Number: A13090085

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Closeout

Our office reviewed two allegations against a PI¹ (Subject) on an NSF instrumentation grant.²

First, it was alleged that the Subject improperly listed publications on his NSF annual report that were either submitted for publication before purchase of the instrument or, in one case, a more recent paper was a resubmission of a nearly identical paper originally written and submitted to a journal³ before purchase of the instrument. The Subject explicitly credited all papers in his annual report as outcomes of research with the NSF-funded instrument, but only credited NSF funding in the recent resubmission of the older manuscript.

Second, it was alleged that the recent resubmission was originally co-authored by the Subject and two other researchers and its resubmission was done without proper authorship credit.

In the first allegation, the Subject stated that the older papers were mistakenly listed on the annual report. He also stated that, for the more recent resubmission of the substantially similar manuscript, he had replicated the older study with the new NSF-funded instrument before resubmission and for that reason, credited the NSF grant. In the case of the first allegation, although partially substantiated, we do not find that the subject's actions rise to a level of research misconduct.

For the second allegation, we found that all of the authors for the first submission of the paper were included on the more recent submission of this paper. We found the allegation of plagiarism unsubstantiated.

We sent the PI a warning letter, cautioning him to avoid imprudent reporting practices.

This case is closed with no further action taken.

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[REDACTED]

³ It was not accepted for publication.