



NATIONAL SCIENCE FOUNDATION
OFFICE OF INSPECTOR GENERAL
OFFICE OF INVESTIGATIONS

CLOSEOUT MEMORANDUM

Case Number: A14080041

Page 1 of 1

Our office reviewed an allegation that a co-PI (Subject¹) had improperly withheld the name of a graduate student² as co-author on a publication that resulted from research on an STTR NSF grant³. We also reviewed an allegation that the Subject was misusing grant money that had been drawn down for the purpose of paying the graduate student, but which the graduate student did not receive.

We found written evidence that the graduate student emphatically declined to be included as a co-author on the publication. We conclude it is reasonable that the Subject did not include the graduate student given his strong objections to being co-author.

We also reviewed documentary evidence, including the possibility of a contractual agreement to pay the graduate student, which could have been indicative of grant fund salary expenditures that were not actually paid to anyone and therefore unaccounted for. However, the agreement between the University⁴ and the student indicated that continued work was not guaranteed, nor were payments automatically drawn down from the grant. In addition, the cooperative agreement for the STTR's partner business did not guarantee continued work for hired graduate students. Further, we found that the grant on which the graduate student had actually worked⁵ had closed around the time that his work ended and he was no longer paid. We found no evidence that the University or Subject had drawn down grant funds on either grant that were subsequently unaccounted for, nor evidence that funds were "missing" or misused in any other way.

This case is closed with no further action taken.

³ [REDACTED] entitled, "[REDACTED]"

⁴ [REDACTED]

⁵ [REDACTED] entitled, "[REDACTED]"