



NATIONAL SCIENCE FOUNDATION
OFFICE OF INSPECTOR GENERAL
OFFICE OF INVESTIGATIONS

CLOSEOUT MEMORANDUM

Case Number: A14020009

Page 1 of 1

NSF OIG received an allegation that a researcher's name had been incorporated into a pending NSF proposal¹ without his permission, and that certain statements in the proposal about the researcher's activities were factually incorrect. Our analysis showed that the proposal mentions the researcher on three occasions, the most extensive of which lists him as a major user of existing institutional equipment comparable to the requested equipment. Upon receipt of further documentation, we learned that correspondence between the researcher and the PI showed previous discussions during the proposal preparation process. Although the researcher indicated he did not consider the proposal ready for submission, he did not unequivocally state that he would not participate in the project or utilize the requested equipment. Furthermore, while the submission of the proposal with factually incorrect statements is a matter of concern, these statements do not appear to have been critical to the strength of the proposal, or otherwise material, and appear to be the unfortunate consequences of a rush to finish a complex institutional proposal, rather than intentional misstatements made with intent to deceive. Therefore, the complaint did not contain any actionable allegation of research misconduct as defined by NSF regulation².

Accordingly, this case is *closed with no further action taken.*

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