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Description of document: National Science Foundation (NSF) list of Closed Inspector General (OIG) Investigations, 2003-2008

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Source of document: National Science Foundation
FOIA Officer (Rm 1265)
4201 Wilson Blvd
Arlington, VA 22230
Fax: (703) 292-9041
Email: foia@nsf.gov

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NATIONAL SCIENCE FOUNDATION
4201 WILSON BOULEVARD
ARLINGTON, VIRGINIA 22230

25 November 2008



VIA EMAIL

Re: FOIA Request No. 09-4

This letter responds to your Freedom of Information Act (FOIA, 5 U.S.C. § 552) request, which we received on 30 October 2008, for “a printout [a list] from your database of all OIG investigations closed during the time period January 1, 2007 to the present. If a starting date of October 1, 2006 is easier, you may use that instead. Please note that I am referring to investigations and not audits. Please include as many fields as practicable, particularly the fields that describe the subject or topic or type of each investigation and the case number assigned to the investigation. You may redact personal names if necessary from the released records.” (Emphasis in original.)

In subsequent correspondence you agreed that production of the following data fields would be responsive to your request:

- Case Type (Administrative or Civil-Criminal)
- Case Number
- Case Title (redacted if an individual or closely-held entity is named)
- Subject (redacted if an individual or closely-held entity is named)
- Date Received
- Date Completed
- Allegation
- Allegation Outcome

We enclose the responsive printout. Under FOIA exemptions (b)(6) and (b)(7)(C), information that constitutes an unwarranted invasion of personal privacy is exempt from disclosure. To protect the privacy interests of individuals who were not

subject to successful criminal prosecution or recent civil legal action, or who are not currently debarred or voluntarily excluded governmentwide, we have redacted the names, titles, and other identifying information for all such individuals, pursuant to FOIA exemptions (b)(6) and (b)(7)(C).

If you are not satisfied with my decision, you may appeal to the Inspector General, Christine C. Boesz, by writing to her at the National Science Foundation, 4201 Wilson Boulevard, Arlington VA 22230. Alternatively, you may appeal directly to the General Counsel of the Foundation, at the same address.¹ If you wish to appeal to either the Inspector General or the General Counsel, you must file your appeal within ten business days of receipt of this letter. If you submit an appeal to the Inspector General and her decision is negative, you may then appeal to the General Counsel. All appeals will be acted on within 20 business days after receipt.

Sincerely,

A handwritten signature in black ink that reads "Stephen W. Bross". The signature is written in a cursive style with a large initial 'S'.

Stephen W. Bross, J.D.
Investigative & FOIA Attorney

Enclosure

¹ For appeals to NSF's General Counsel, note the requirements of 45 C.F.R. § 612.9(a): "You must make your appeal in writing and it must be received by the Office of the General Counsel within ten days of the receipt of the denial (weekends, legal holidays, and the date of receipt excluded). Clearly mark your appeal letter and the envelope 'Freedom of Information Act Appeal.' Your appeal letter must include a copy of your written request and the denial together with any written argument you wish to submit."

Case Type	Case Number	Case Title	Subject	Date Received	Date Completed	Allegation	Allegation Outcome
Administrative	A06090043	(redacted)	(redacted)	09/19/2006	01/05/2007	Other improper actions	Not Substantiated
Administrative	A06090043	(redacted)	(redacted)	09/19/2006	01/05/2007	Plagiarism	Not Substantiated
Administrative	A06090043	(redacted)	(redacted)	09/19/2006	01/05/2007	Plagiarism	Not Substantiated
Administrative	A06100047	(redacted)	(redacted)	10/20/2006	01/08/2007	Plagiarism	Substantiated
Civil/Criminal	I06050013	(redacted)	(redacted)	05/22/2006	01/08/2007	Other improper actions	Not Substantiated
Civil/Criminal	I05010007	Self Reliance Foundation	Self Reliance Foundation	01/07/2005	01/16/2007	Embezzlement, theft, or diversion of grant funds	Not Substantiated
Civil/Criminal	I05120074	Raytheon Polar Services	Raytheon Polar Services	12/19/2005	01/16/2007	Other improper actions	Not Substantiated
Civil/Criminal	I05120074	Raytheon Polar Services	Raytheon Polar Services	12/19/2005	01/16/2007	False statements in proposal or report to NSF	Not Substantiated
Civil/Criminal	I05120074	(redacted)	(redacted)	12/19/2005	01/16/2007	Financial COI	Not Substantiated
Administrative	A06110057	(redacted)	(redacted)	11/30/2006	01/17/2007	Embezzlement, theft, or diversion of grant funds	Not Substantiated
Administrative	A06120063	(redacted)	(redacted)	12/20/2006	01/18/2007	Plagiarism	Not Substantiated
Administrative	A04070049	(redacted)	(redacted)	07/12/2004	01/22/2007	Embezzlement, theft, or diversion of grant funds	Not Substantiated
Administrative	A04070049	(redacted)	(redacted)	07/12/2004	01/22/2007	Program Income	Substantiated
Administrative	A04070049	(redacted)	(redacted)	07/12/2004	01/22/2007	False statement or claim by grantee/contractor	Not Substantiated
Administrative	A06110053	(redacted)	(redacted)	11/13/2006	01/25/2007	Mishandling of proposals or awards by NSF staff	Not Substantiated
Administrative	A06060021	(redacted)	(redacted)	06/08/2006	01/26/2007	False statements in proposal or report to NSF	Substantiated
Administrative	A06060021	(redacted)	(redacted)	06/08/2006	01/26/2007	False statement or claim by grantee/contractor	Substantiated
Administrative	A05050028	(redacted)	(redacted)	05/16/2005	01/31/2007	Plagiarism	Substantiated
Civil/Criminal	I05060025	(redacted)	(redacted)	06/20/2005	02/01/2007	Embezzlement, theft, or diversion of grant funds	Other
Administrative	A05070044	(redacted)	(redacted)	06/30/2005	02/02/2007	Plagiarism	Not Substantiated
Administrative	A05070044	(redacted)	(redacted)	06/30/2005	02/02/2007	Plagiarism	Not Substantiated
Administrative	A05070044	(redacted)	(redacted)	06/30/2005	02/02/2007	Plagiarism	Not Substantiated
Administrative	A05070044	(redacted)	(redacted)	06/30/2005	02/02/2007	Plagiarism	Substantiated
Administrative	A06120061	(redacted)	(redacted)	12/18/2006	02/02/2007	Intellectual Theft	Not Substantiated
Administrative	A06110052	(redacted)	(redacted)	11/13/2006	02/05/2007	C & PS inaccuracy	Substantiated
Civil/Criminal	I06010001	(redacted)	(redacted)	01/06/2006	02/12/2007	Embezzlement, theft, or diversion of grant funds	Substantiated
Civil/Criminal	I06010001	(redacted)	(redacted)	01/06/2006	02/12/2007	Embezzlement, theft, or diversion of grant funds	Substantiated
Administrative	A06120060	(redacted)	(redacted)	12/13/2006	02/16/2007	Fabrication of data	Not Substantiated
Administrative	A05020004	(redacted)	(redacted)	02/17/2005	02/20/2007	Plagiarism	Substantiated
Administrative	A05080055	(redacted)	(redacted)	08/02/2005	02/22/2007	Plagiarism	Substantiated
Administrative	A05080055	(redacted)	(redacted)	08/02/2005	02/22/2007	Plagiarism	Not Substantiated
Administrative	A05080061	(redacted)	(redacted)	08/25/2005	02/22/2007	Plagiarism	Substantiated
Civil/Criminal	I03020007	(redacted)	(redacted)	02/26/2003	02/23/2007	False statement or claim by grantee/contractor	Other
Civil/Criminal	I03020007	(redacted)	(redacted)	02/26/2003	02/23/2007	Embezzlement, theft, or diversion of grant funds	Substantiated
Administrative	A05100071	(redacted)	(redacted)	10/13/2005	02/26/2007	Plagiarism	Substantiated
Civil/Criminal	I06090030	(redacted)	(redacted)	09/28/2006	03/13/2007	Violation of regulations	Other
Administrative	A03070041	(redacted)	(redacted)	07/23/2003	03/19/2007	Falsification of data	Substantiated
Administrative	A03070041	(redacted)	(redacted)	07/23/2003	03/19/2007	Fabrication of data	Not Substantiated
Administrative	A06120062	(redacted)	(redacted)	12/18/2006	03/22/2007	Duplicate proposal	Substantiated
Civil/Criminal	I06100034	University, Syracuse	Syracuse University	10/10/2006	03/26/2007	Cost sharing violation	Not Substantiated
Civil/Criminal	I06110045	Unknown Unknown	Unknown	11/30/2006	03/26/2007	Abuse of Timecard	Not Substantiated
Civil/Criminal	I06110040	(redacted)	(redacted)	11/13/2006	04/02/2007	False statement or claim by grantee/contractor	Substantiated
Administrative	A04050027	(redacted)	(redacted)	05/07/2004	04/03/2007	Plagiarism	Substantiated
Administrative	A04050027	(redacted)	(redacted)	05/07/2004	04/03/2007	Plagiarism	Not Substantiated
Administrative	A04050027	(redacted)	(redacted)	05/07/2004	04/03/2007	Plagiarism	Not Substantiated
Administrative	A07020010	(redacted)	(redacted)	02/22/2007	04/03/2007	Plagiarism	Not Substantiated
Administrative	A05100072	(redacted)	(redacted)	10/26/2005	04/16/2007	Plagiarism	Substantiated
Administrative	A07030014	(redacted)	(redacted)	03/22/2007	04/16/2007	Intellectual Theft	Not Substantiated
Civil/Criminal	I07010003	(redacted)	(redacted)	01/22/2007	04/16/2007	Other-Conflict of Interest	Not Substantiated
Civil/Criminal	I07020007	(redacted)	(redacted)	02/15/2007	04/18/2007	Embezzlement, theft, or diversion of grant funds	Not Substantiated
Administrative	A05070051	(redacted)	(redacted)	07/19/2005	04/23/2007	Plagiarism	Substantiated
Administrative	A05070051	(redacted)	(redacted)	07/19/2005	04/23/2007	Plagiarism	Not Substantiated
Administrative	A05070051	(redacted)	(redacted)	07/19/2005	04/23/2007	Plagiarism	Not Substantiated
Civil/Criminal	I06110041	(redacted)	(redacted)	11/13/2006	04/27/2007	Program Income	Substantiated
Civil/Criminal	I07020008	(redacted)	(redacted)	02/26/2007	04/27/2007	Participant support	Not Substantiated

Case Type	Case Number	Case Title	Subject	Date Received	Date Completed	Allegation	Allegation Outcome
Administrative	A07010006	(redacted)	(redacted)	01/29/2007	05/04/2007	Plagiarism	Not Substantiated
Civil/Criminal	I05110072	(redacted)	(redacted)	11/17/2005	05/04/2007	Employee embezzlement, theft, or fraud	Not Substantiated
Civil/Criminal	I04030009	(redacted)	(redacted)	03/19/2004	05/18/2007	Embezzlement, theft, or diversion of grant funds	Not Substantiated
Civil/Criminal	I05050018	(redacted)	(redacted)	05/06/2005	05/18/2007	Embezzlement, theft, or diversion of grant funds	Substantiated
Civil/Criminal	I07020006	(redacted)	(redacted)	02/07/2007	05/21/2007	Program Income	Not Substantiated
Administrative	A07020011	(redacted)	(redacted)	02/23/2007	05/25/2007	Plagiarism	Not Substantiated
Administrative	A07040019	(redacted)	(redacted)	04/12/2007	05/25/2007	Plagiarism	Not Substantiated
Administrative	A07010004	(redacted)	(redacted)	01/26/2007	05/30/2007	Violation of the confidentiality of peer review	Not Substantiated
Administrative	A07010004	(redacted)	(redacted)	01/26/2007	05/30/2007	Violation of the confidentiality of peer review	Not Substantiated
Administrative	A06120064	(redacted)	(redacted)	12/20/2006	06/05/2007	Plagiarism	Substantiated
Administrative	A06120064	(redacted)	(redacted)	12/20/2006	06/05/2007	Plagiarism	Not Substantiated
Administrative	A06120064	(redacted)	(redacted)	12/20/2006	06/05/2007	Plagiarism	Not Substantiated
Administrative	A06060023	(redacted)	(redacted)	06/07/2006	06/06/2007	Intellectual Theft	Not Substantiated
Administrative	A06060023	(redacted)	(redacted)	06/07/2006	06/06/2007	Intellectual Theft	Not Substantiated
Administrative	A06060023	(redacted)	(redacted)	06/07/2006	06/06/2007	Intellectual Theft	Not Substantiated
Administrative	A06060023	(redacted)	(redacted)	06/07/2006	06/06/2007	Intellectual Theft	Not Substantiated
Administrative	A07040021	(redacted)	(redacted)	04/13/2007	06/06/2007	Other improper actions	Not Substantiated
Administrative	A07050025	(redacted)	(redacted)	05/11/2007	06/12/2007	Plagiarism	Not Substantiated
Administrative	A07050025	(redacted)	(redacted)	05/11/2007	06/12/2007	Plagiarism	Substantiated
Administrative	A07050025	(redacted)	(redacted)	05/11/2007	06/12/2007	Plagiarism	Not Substantiated
Civil/Criminal	I04100042	(redacted)	(redacted)	10/28/2004	06/19/2007	Embezzlement, theft, or diversion of grant funds	Not Substantiated
Administrative	A07030016	(redacted)	(redacted)	03/27/2007	06/20/2007	Plagiarism	Not Substantiated
Administrative	A07030016	(redacted)	(redacted)	03/27/2007	06/20/2007	Plagiarism	Substantiated
Administrative	A07020008	(redacted)	(redacted)	02/26/2007	06/22/2007	Participant support	Not Substantiated
Administrative	A07050024	(redacted)	(redacted)	05/07/2007	06/22/2007	Plagiarism	Not Substantiated
Administrative	A06090040	(redacted)	(redacted)	09/12/2006	06/29/2007	Plagiarism	Not Substantiated
Administrative	A06090040	(redacted)	(redacted)	09/12/2006	06/29/2007	Plagiarism	Substantiated
Civil/Criminal	I02110031	Cosmos Corporation	Cosmos Corporation	11/18/2002	06/29/2007	False statement or claim by grantee/contractor	Substantiated
Administrative	A04060042	(redacted)	(redacted)	06/16/2004	07/06/2007	Plagiarism	Substantiated
Civil/Criminal	I06080023	of Iowa, University	University of Iowa	08/21/2006	07/06/2007	Cost sharing violation	Not Substantiated
Administrative	A05070045	(redacted)	(redacted)	07/07/2005	07/19/2007	Plagiarism	Substantiated
Civil/Criminal	I06090032	(redacted)	(redacted)	09/29/2006	07/27/2007	Violation of regulations	Not Substantiated
Administrative	A07060031	(redacted)	(redacted)	06/25/2007	07/30/2007	Plagiarism	Not Substantiated
Administrative	A07060033	(redacted)	(redacted)	06/26/2007	07/31/2007	Plagiarism	Not Substantiated
Administrative	A06110051	(redacted)	(redacted)	11/07/2006	08/02/2007	Plagiarism	No NSF Jurisdiction
Administrative	A06110051	(redacted)	(redacted)	11/07/2006	08/02/2007	Plagiarism	Substantiated
Administrative	A07060035	(redacted)	(redacted)	06/27/2007	08/06/2007	Plagiarism	Not Substantiated
Administrative	A07030017	(redacted)	(redacted)	03/29/2007	08/08/2007	Intellectual Theft	Not Substantiated
Administrative	A07050026	(redacted)	(redacted)	05/14/2007	08/09/2007	Abuse of Timecard	Not Substantiated
Administrative	A07050026	(redacted)	(redacted)	05/14/2007	08/09/2007	Other improper actions	Substantiated
Administrative	A07050026	(redacted)	(redacted)	05/14/2007	08/09/2007	Abuse of Timecard	Not Substantiated
Administrative	A07050026	(redacted)	(redacted)	05/14/2007	08/09/2007	Abuse of Timecard	Not Substantiated
Administrative	A07050026	(redacted)	(redacted)	05/14/2007	08/09/2007	Abuse of Timecard	Not Substantiated
Administrative	A07050028	(redacted)	(redacted)	05/17/2007	08/09/2007	Intellectual Theft	Not Substantiated
Administrative	A06120065	(redacted)	(redacted)	12/28/2006	08/15/2007	Embezzlement, theft, or diversion of grant funds	Substantiated
Civil/Criminal	I06090027	Illinois, Urbana-Champaign, University of	University of Illinois, Urbana-Champaign	09/20/2006	08/15/2007	Cost sharing violation	Not Substantiated
Administrative	A06110055	(redacted)	(redacted)	11/13/2006	08/16/2007	Plagiarism	Substantiated
Administrative	A07060030	(redacted)	(redacted)	06/22/2007	08/16/2007	Plagiarism	Substantiated
Civil/Criminal	I06080019	(redacted)	(redacted)	08/14/2006	08/16/2007	Embezzlement, theft, or diversion of grant funds	Not Substantiated
Civil/Criminal	I06080019	(redacted)	(redacted)	08/14/2006	08/16/2007	Embezzlement, theft, or diversion of grant funds	Not Substantiated
Civil/Criminal	I06080021	(redacted)	(redacted)	08/15/2006	08/16/2007	Embezzlement, theft, or diversion of grant funds	Not Substantiated
Civil/Criminal	I06090028	California, Irvine, University of	University of California, Irvine	09/20/2006	08/16/2007	Cost sharing violation	Not Substantiated
Civil/Criminal	I06040010	(redacted)	(redacted)	04/17/2006	08/21/2007	Embezzlement, theft, or diversion of grant funds	Not Substantiated
Administrative	A07030012	(redacted)	(redacted)	03/06/2007	08/22/2007	Fabrication of data	Not Substantiated
Administrative	A07080049	(redacted)	(redacted)	08/20/2007	08/24/2007	Plagiarism	Not Substantiated

Case Type	Case Number	Case Title	Subject	Date Received	Date Completed	Allegation	Allegation Outcome
Administrative	A07070038	(redacted)	(redacted)	07/11/2007	08/27/2007	Plagiarism	Substantiated
Civil/Criminal	I07070024	(redacted)	(redacted)	07/17/2007	09/04/2007	Violation of regulations	Not Substantiated
Civil/Criminal	I07070024	(redacted)	(redacted)	07/17/2007	09/04/2007	Violation of regulations	Not Substantiated
Administrative	A05090069	(redacted)	(redacted)	09/30/2005	09/10/2007	Plagiarism	Not Substantiated
Administrative	A05090069	(redacted)	(redacted)	09/30/2005	09/10/2007	Plagiarism	Not Substantiated
Administrative	A05090069	(redacted)	(redacted)	09/30/2005	09/10/2007	Plagiarism	Substantiated
Civil/Criminal	I07060017	(redacted)	(redacted)	06/12/2007	09/12/2007	Embezzlement, theft, or diversion of grant funds	Not Substantiated
Civil/Criminal	I07070025	(redacted)	(redacted)	07/25/2007	09/12/2007	False statements in proposal or report to NSF	Other
Administrative	A07070040	(redacted)	(redacted)	07/13/2007	09/13/2007	Plagiarism	Not Substantiated
Administrative	A07050027	(redacted)	(redacted)	05/16/2007	09/17/2007	Plagiarism	Not Substantiated
Administrative	A07080048	(redacted)	(redacted)	08/16/2007	09/17/2007	Plagiarism	Not Substantiated
Civil/Criminal	I07060018	(redacted)	(redacted)	06/12/2007	09/17/2007	Violation of regulations	Substantiated
Civil/Criminal	I07040010	(redacted)	(redacted)	04/12/2007	09/21/2007	Duplicate research	Not Substantiated
Civil/Criminal	I06060014	Kentucky, University of	University of Kentucky	06/08/2006	09/24/2007	Employee embezzlement, theft, or fraud	Not Substantiated
Civil/Criminal	I06100038	South Carolina State University	South Carolina State University	10/25/2006	09/24/2007	Embezzlement, theft, or diversion of grant funds	Not Substantiated
Civil/Criminal	I03050019	(redacted)	(redacted)	05/05/2003	09/27/2007	Other illegal acts	Substantiated
Administrative	A07060034	(redacted)	(redacted)	06/27/2007	10/01/2007	Plagiarism	Not Substantiated
Civil/Criminal	I06040008	(redacted)	(redacted)	04/17/2006	10/01/2007	Embezzlement, theft, or diversion of grant funds	Not Substantiated
Civil/Criminal	I07050014	(redacted)	(redacted)	05/31/2007	10/03/2007	Other illegal acts	Substantiated
Civil/Criminal	I07030009	unknown unknown	Unknown	03/05/2007	10/04/2007	Abuse of purchase card	Substantiated
Administrative	A07090050	(redacted)	(redacted)	09/05/2007	10/15/2007	Duplicate proposal	Not Substantiated
Civil/Criminal	I06070017	(redacted)	(redacted)	07/27/2006	10/15/2007	Other-Conflict of Interest	No NSF Jurisdiction
Civil/Criminal	I06070017	(redacted)	(redacted)	07/27/2006	10/15/2007	Other-Conflict of Interest	No NSF Jurisdiction
Civil/Criminal	I06070017	(redacted)	(redacted)	07/27/2006	10/15/2007	Bribery, gratuities, gifts	Not Substantiated
Civil/Criminal	I06070017	(redacted)	(redacted)	07/27/2006	10/15/2007	Other-Conflict of Interest	No NSF Jurisdiction
Civil/Criminal	I06090029	(redacted)	(redacted)	09/27/2006	10/15/2007	False statements in proposal or report to NSF	Substantiated
Civil/Criminal	I06100035	University of Alaska Anchorage	University of Alaska Anchorage	10/20/2006	10/15/2007	Cost sharing violation	Not Substantiated
Civil/Criminal	I06100037	(redacted)	(redacted)	10/06/2006	10/15/2007	Other improper actions	Substantiated
Administrative	A06120059	(redacted)	(redacted)	12/12/2006	10/17/2007	Plagiarism	Not Substantiated
Administrative	A07100060	(redacted)	(redacted)	10/29/2007	11/08/2007	Plagiarism	Not Substantiated
Civil/Criminal	I07060020	(redacted)	(redacted)	06/27/2007	11/08/2007	Other-Conflict of Interest	Not Substantiated
Civil/Criminal	I06090024	(redacted)	(redacted)	09/12/2006	11/20/2007	Duplicate research	Not Substantiated
Civil/Criminal	I06090024	(redacted)	(redacted)	09/12/2006	11/20/2007	Duplicate research	Not Substantiated
Civil/Criminal	I06090024	(redacted)	(redacted)	09/12/2006	11/20/2007	Duplicate research	Not Substantiated
Administrative	A07080047	(redacted)	(redacted)	08/16/2007	11/21/2007	C & PS inaccuracy	Not Substantiated
Administrative	A07080047	(redacted)	(redacted)	08/16/2007	11/21/2007	Duplicate proposal	Not Substantiated
Civil/Criminal	I06090031	University of Massachusetts Amherst	University of Massachusetts Amherst	09/29/2006	11/21/2007	Cost sharing violation	Not Substantiated
Civil/Criminal	I06090031	University of Massachusetts Amherst	University of Massachusetts Amherst	09/29/2006	11/21/2007	Cost sharing violation	Not Substantiated
Civil/Criminal	I06120048	(redacted)	(redacted)	12/18/2006	11/21/2007	Embezzlement, theft, or diversion of grant funds	Not Substantiated
Civil/Criminal	I06120048	(redacted)	(redacted)	12/18/2006	11/21/2007	Embezzlement, theft, or diversion of grant funds	Information Provided
Administrative	A06100050	(redacted)	(redacted)	10/25/2006	11/29/2007	Fabrication of data	Not Substantiated
Administrative	A07070039	(redacted)	(redacted)	07/12/2007	12/03/2007	Intellectual Theft	Not Substantiated
Administrative	A07070039	(redacted)	(redacted)	07/12/2007	12/03/2007	Intellectual Theft	Not Substantiated
Administrative	A07070039	(redacted)	(redacted)	07/12/2007	12/03/2007	Intellectual Theft	Not Substantiated
Civil/Criminal	I06080022	University of Houston	University of Houston	08/15/2006	12/05/2007	Cost sharing violation	Not Substantiated
Administrative	A05020005	(redacted)	(redacted)	02/22/2005	12/06/2007	Plagiarism	Substantiated
Administrative	A05020005	(redacted)	(redacted)	02/22/2005	12/06/2007	Plagiarism	Not Substantiated
Administrative	A05020005	(redacted)	(redacted)	02/22/2005	12/06/2007	Plagiarism	Not Substantiated
Civil/Criminal	I06120047	Chicago State University	Chicago State University	12/18/2006	12/06/2007	Cost sharing violation	Not Substantiated
Civil/Criminal	I07080032	Tennessee State University	Tennessee State University	08/29/2007	12/10/2007	Cost sharing violation	Not Substantiated
Civil/Criminal	I07080027	(redacted)	(redacted)	08/10/2007	12/13/2007	Employee embezzlement, theft, or fraud	Not Substantiated
Civil/Criminal	I07100038	(redacted)	(redacted)	10/01/2007	12/18/2007	Embezzlement, theft, or diversion of grant funds	Not Substantiated
Administrative	A07080043	(redacted)	(redacted)	08/01/2007	12/20/2007	Plagiarism	Not Substantiated
Administrative	A07080043	(redacted)	(redacted)	08/01/2007	12/20/2007	Plagiarism	Not Substantiated
Civil/Criminal	I07070022	(redacted)	(redacted)	07/13/2007	12/20/2007	False statements in proposal or report to NSF	Not Substantiated

Case Type	Case Number	Case Title	Subject	Date Received	Date Completed	Allegation	Allegation Outcome
Civil/Criminal	I06120046	(redacted)	(redacted)	12/18/2006	12/21/2007	Embezzlement, theft, or diversion of grant funds	Substantiated
Administrative	A07070042	(redacted)	(redacted)	07/25/2007	12/27/2007	Intellectual Theft	Not Substantiated
Administrative	A07090051	(redacted)	(redacted)	09/06/2007	12/27/2007	Intellectual Theft	Not Substantiated
Administrative	A05040021	(redacted)	(redacted)	04/29/2005	12/28/2007	Fabrication of data	Not Substantiated
Administrative	A05040021	(redacted)	(redacted)	04/29/2005	12/28/2007	Plagiarism	Substantiated
Administrative	A07120062	(redacted)	(redacted)	12/04/2007	12/28/2007	Plagiarism	Not Substantiated
Administrative	A04120071	(redacted)	(redacted)	12/07/2004	12/31/2007	Participant support	Not Substantiated
Administrative	A04120071	(redacted)	(redacted)	12/07/2004	12/31/2007	False statement or claim by grantee/contractor	Substantiated
Administrative	A04120071	(redacted)	(redacted)	12/07/2004	12/31/2007	Other improper actions	Substantiated
Administrative	A04120071	(redacted)	(redacted)	12/07/2004	12/31/2007	False statement or claim by grantee/contractor	Substantiated
Administrative	A07080045	(redacted)	(redacted)	08/10/2007	01/04/2008	Other illegal acts	Not Substantiated
Civil/Criminal	I04120049	(redacted)	(redacted)	12/29/2004	01/09/2008	Duplicate reimbursement	Substantiated
Administrative	A07010003	OPP OPP	OPP	01/24/2007	01/10/2008	No definite or substantial allegation	Not Substantiated
Civil/Criminal	I07070023	(redacted)	(redacted)	07/13/2007	01/14/2008	Other improper actions	Substantiated
Administrative	A05090067	(redacted)	(redacted)	09/29/2005	01/16/2008	Plagiarism	Substantiated
Civil/Criminal	I06110043	(redacted)	(redacted)	11/16/2006	01/16/2008	Embezzlement, theft, or diversion of grant funds	Not Substantiated
Civil/Criminal	I07060019	(redacted)	(redacted)	06/18/2007	01/17/2008	Other improper actions	Not Substantiated
Administrative	A07050023	(redacted)	(redacted)	05/01/2007	01/22/2008	False statement or claim by grantee/contractor	Not Substantiated
Administrative	A07050023	(redacted)	(redacted)	05/01/2007	01/22/2008	Time and Effort	Not Substantiated
Administrative	A05070050	(redacted)	(redacted)	07/13/2005	01/25/2008	Falsification of data	Not Substantiated
Administrative	A06040015	(redacted)	(redacted)	04/19/2006	01/31/2008	Fabrication of data	Substantiated
Administrative	A05070052	(redacted)	(redacted)	07/27/2005	02/01/2008	Plagiarism	Substantiated
Administrative	A07120065	(redacted)	(redacted)	12/27/2007	02/08/2008	Plagiarism	Not Substantiated
Administrative	A07120065	(redacted)	(redacted)	12/27/2007	02/08/2008	Plagiarism	Not Substantiated
Civil/Criminal	I04030011	(redacted)	(redacted)	03/22/2004	02/12/2008	False statement or claim by grantee/contractor	Not Substantiated
Administrative	A07100056	(redacted)	(redacted)	10/09/2007	02/14/2008	Plagiarism	Not Substantiated
Civil/Criminal	I07050013	(redacted)	(redacted)	05/15/2007	02/14/2008	Other illegal acts	Not Substantiated
Administrative	A07080044	(redacted)	(redacted)	08/01/2007	02/22/2008	Plagiarism	Not Substantiated
Administrative	A07080044	(redacted)	(redacted)	08/01/2007	02/22/2008	Plagiarism	Not Substantiated
Civil/Criminal	I07110047	Unknown, None	Unknown	11/26/2007	02/25/2008	Computer Hacking	Substantiated
Civil/Criminal	I08010002	(redacted)	(redacted)	01/11/2008	02/25/2008	Balancing FCTRs	Not Substantiated
Administrative	A07010002	(redacted)	(redacted)	01/17/2007	02/28/2008	Plagiarism	Substantiated
Civil/Criminal	I04090032	(redacted)	(redacted)	08/31/2004	02/29/2008	Embezzlement, theft, or diversion of grant funds	Substantiated
Civil/Criminal	I06110042	North Carolina A&T State University	North Carolina A&T State University	11/13/2006	02/29/2008	Cost sharing violation	Substantiated
Civil/Criminal	I08010001	(redacted)	(redacted)	01/11/2008	03/18/2008	Embezzlement, theft, or diversion of grant funds	Not Substantiated
Administrative	A07100055	(redacted)	(redacted)	10/05/2007	03/19/2008	Plagiarism	Other
Administrative	A03100059	(redacted)	(redacted)	10/31/2003	03/20/2008	False statement or claim by grantee/contractor	Substantiated
Administrative	A07060032	(redacted)	(redacted)	06/26/2007	03/20/2008	Plagiarism	Not Substantiated
Administrative	A05070046	(redacted)	(redacted)	07/11/2005	03/27/2008	Plagiarism	Substantiated
Administrative	A06060026	(redacted)	(redacted)	06/16/2006	03/27/2008	Falsification of data	Substantiated
Administrative	A07100054	(redacted)	(redacted)	10/05/2007	03/31/2008	Falsification of data	Not Substantiated
Civil/Criminal	I07020005	(redacted)	(redacted)	02/01/2007	03/31/2008	False statement or claim by grantee/contractor	Substantiated
Administrative	A08030009	(redacted)	(redacted)	02/27/2008	04/01/2008	Other-Research Misconduct	Not Substantiated
Administrative	A08040015	(redacted)	(redacted)	04/01/2008	04/08/2008	Plagiarism	Not Substantiated
Administrative	A08040015	(redacted)	(redacted)	04/01/2008	04/08/2008	Plagiarism	Not Substantiated
Administrative	A08040016	(redacted)	(redacted)	04/01/2008	04/08/2008	Plagiarism	Not Substantiated
Administrative	A08040016	(redacted)	(redacted)	04/01/2008	04/08/2008	Plagiarism	Not Substantiated
Administrative	A07040018	(redacted)	(redacted)	04/04/2007	04/10/2008	False statements in proposal or report to NSF	Substantiated
Administrative	A07020007	(redacted)	(redacted)	02/21/2007	04/14/2008	Cost sharing violation	Not Substantiated
Administrative	A08010001	(redacted)	(redacted)	01/28/2008	04/21/2008	Falsification of data	Substantiated
Administrative	A08040021	(redacted)	(redacted)	04/07/2008	04/23/2008	Plagiarism	Not Substantiated
Administrative	A08040021	(redacted)	(redacted)	04/07/2008	04/23/2008	Plagiarism	Not Substantiated
Civil/Criminal	I08010003	(redacted)	(redacted)	01/22/2008	04/23/2008	Fabrication of data	No NSF Jurisdiction
Civil/Criminal	I07070021	University of Florida at Gainesville	University of Florida at Gainesville	07/11/2007	04/24/2008	Embezzlement, theft, or diversion of grant funds	Not Substantiated
Administrative	A06020007	(redacted)	(redacted)	02/27/2006	04/25/2008	Abuse of colleagues	Substantiated

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Administrative	A08010002	(redacted)	(redacted)	01/29/2008	04/25/2008	Plagiarism	Not Substantiated
Administrative	A08040017	(redacted)	(redacted)	04/01/2008	04/25/2008	Plagiarism	Not Substantiated
Administrative	A08040017	(redacted)	(redacted)	04/01/2008	04/25/2008	Plagiarism	Not Substantiated
Civil/Criminal	I07080028	unknown, unknown	Unknown	08/10/2007	04/29/2008	Employee embezzlement, theft, or fraud	Not Substantiated
Civil/Criminal	I07120052	(redacted)	(redacted)	12/07/2007	05/01/2008	Other-Conflict of Interest	Not Substantiated
Administrative	A06040011	(redacted)	(redacted)	04/17/2006	05/06/2008	Plagiarism	Not Substantiated
Administrative	A06040011	(redacted)	(redacted)	04/17/2006	05/06/2008	Plagiarism	Substantiated
Civil/Criminal	I08020012	(redacted)	(redacted)	02/05/2008	05/07/2008	Personnel rules violation	Substantiated
Administrative	A04050038	(redacted)	(redacted)	05/24/2004	05/13/2008	Fabrication of data	Not Substantiated
Administrative	A04050038	(redacted)	(redacted)	05/24/2004	05/13/2008	Plagiarism	Not Substantiated
Civil/Criminal	I07050012	(redacted)	(redacted)	05/17/2007	05/15/2008	Program Income	Other
Administrative	A08040020	(redacted)	(redacted)	04/07/2008	05/19/2008	Other-Research Misconduct	Substantiated
Civil/Criminal	I07080026	(redacted)	(redacted)	08/09/2007	05/19/2008	Embezzlement, theft, or diversion of grant funds	Not Substantiated
Civil/Criminal	I07090036	(redacted)	(redacted)	09/24/2007	05/20/2008	Other improper actions	Substantiated
Administrative	A08020006	(redacted)	(redacted)	02/21/2008	05/22/2008	Violation of the confidentiality of peer review	Not Substantiated
Administrative	A06120058	(redacted)	(redacted)	12/05/2006	05/30/2008	Plagiarism	Substantiated
Administrative	A06120058	(redacted)	(redacted)	12/05/2006	05/30/2008	Plagiarism	Not Substantiated
Administrative	A05050030	(redacted)	(redacted)	05/26/2005	06/20/2008	Retaliation against whistleblowers	Not Substantiated
Administrative	A05050030	(redacted)	(redacted)	05/26/2005	06/20/2008	Other-Research Misconduct	Not Substantiated
Administrative	A05050030	(redacted)	(redacted)	05/26/2005	06/20/2008	Cost sharing violation	Substantiated
Administrative	A07120068	(redacted)	(redacted)	12/27/2007	06/23/2008	Plagiarism	Substantiated
Administrative	A07120067	(redacted)	(redacted)	12/27/2007	06/24/2008	Plagiarism	Not Substantiated
Administrative	A07120067	(redacted)	(redacted)	12/27/2007	06/24/2008	Plagiarism	Not Substantiated
Administrative	A07120067	(redacted)	(redacted)	12/27/2007	06/24/2008	Plagiarism	Substantiated
Administrative	A08030011	(redacted)	(redacted)	03/25/2008	06/27/2008	Violation of the confidentiality of peer review	Not Substantiated
Civil/Criminal	I07010004	(redacted)	(redacted)	02/27/2006	06/27/2008	Abuse or exploitation of subordinates - Rule/Reg	Not Substantiated
Civil/Criminal	I07010004	(redacted)	(redacted)	02/27/2006	06/27/2008	Fabrication of data	Not Substantiated
Civil/Criminal	I07010004	(redacted)	(redacted)	02/27/2006	06/27/2008	Embezzlement, theft, or diversion of grant funds	Not Substantiated
Civil/Criminal	I08040030	(redacted)	(redacted)	04/25/2008	07/01/2008	False statement or claim by grantee/contractor	Not Substantiated
Administrative	A08040024	(redacted)	(redacted)	04/22/2008	07/02/2008	Plagiarism	Not Substantiated
Administrative	A05030009	(redacted)	(redacted)	03/10/2005	07/07/2008	Participant support	Substantiated
Administrative	A05030009	(redacted)	(redacted)	03/10/2005	07/07/2008	Other illegal acts	Substantiated
Civil/Criminal	I08050040	(redacted)	(redacted)	05/19/2008	07/09/2008	False statement or claim by grantee/contractor	Not Substantiated
Administrative	A05060043	NSF Officials	NSF Officials	06/29/2005	07/10/2008	Other improper actions	Not Substantiated
Civil/Criminal	I07090033	(redacted)	(redacted)	09/10/2007	07/14/2008	Embezzlement, theft, or diversion of grant funds	Not Substantiated
Civil/Criminal	I08010007	(redacted)	(redacted)	01/29/2008	07/15/2008	False statements in proposal or report to NSF	Not Substantiated
Administrative	A08060037	(redacted)	(redacted)	06/27/2008	07/28/2008	Plagiarism	Not Substantiated
Administrative	A08060035	(redacted)	(redacted)	06/23/2008	07/29/2008	Lobbying violations	Other
Administrative	A08030008	(redacted)	(redacted)	03/10/2008	08/06/2008	Plagiarism	Not Substantiated
Administrative	A08030008	(redacted)	(redacted)	03/10/2008	08/06/2008	Plagiarism	Not Substantiated
Administrative	A08030008	(redacted)	(redacted)	03/10/2008	08/06/2008	Plagiarism	Not Substantiated
Administrative	A08030008	(redacted)	(redacted)	03/10/2008	08/06/2008	Plagiarism	Not Substantiated
Administrative	A08030008	(redacted)	(redacted)	03/10/2008	08/06/2008	Plagiarism	Not Substantiated
Administrative	A08030010	(redacted)	(redacted)	03/13/2008	08/06/2008	Intellectual Theft	Not Substantiated
Administrative	A08040023	(redacted)	(redacted)	04/21/2008	08/06/2008	Intellectual Theft	Not Substantiated
Administrative	A08050028	(redacted)	(redacted)	05/15/2008	08/06/2008	Plagiarism	Not Substantiated
Administrative	A08050028	(redacted)	(redacted)	05/15/2008	08/06/2008	Plagiarism	Not Substantiated
Administrative	A08050028	(redacted)	(redacted)	05/15/2008	08/06/2008	Plagiarism	Not Substantiated
Administrative	A08050028	(redacted)	(redacted)	05/15/2008	08/06/2008	Plagiarism	Not Substantiated
Civil/Criminal	I08010009	(redacted)	(redacted)	01/30/2008	08/06/2008	False statements in proposal or report to NSF	Other
Administrative	A08050031	(redacted)	(redacted)	05/20/2008	08/14/2008	Plagiarism	Not Substantiated
Civil/Criminal	I08010004	(redacted)	(redacted)	01/14/2008	08/20/2008	Personnel rules violation	Substantiated
Civil/Criminal	I08030023	(redacted)	(redacted)	03/25/2008	08/20/2008	Abuse of colleagues	Not Substantiated
Civil/Criminal	I08020018	(redacted)	(redacted)	02/27/2008	08/21/2008	Other improper actions	Not Substantiated
Administrative	A08030014	(redacted)	(redacted)	03/31/2008	08/26/2008	Duplicate proposal	Substantiated

Case Type	Case Number	Case Title	Subject	Date Received	Date Completed	Allegation	Allegation Outcome
Civil/Criminal	I08010008	Maryland, College Park, University	University of Maryland, College Park	01/29/2008	09/02/2008	False statement or claim by grantee/contractor	Not Substantiated
Civil/Criminal	I03030014	(redacted)	(redacted)	03/10/2003	09/03/2008	Embezzlement, theft, or diversion of grant funds	Substantiated
Civil/Criminal	I07010002	(redacted)	(redacted)	01/22/2007	09/09/2008	Embezzlement, theft, or diversion of grant funds	Substantiated
Civil/Criminal	I08020015	(redacted)	(redacted)	02/14/2008	09/09/2008	Other improper actions	Not Substantiated
Administrative	A08030013	(redacted)	(redacted)	03/28/2008	09/11/2008	Plagiarism	Substantiated
Administrative	A08030013	(redacted)	(redacted)	03/28/2008	09/11/2008	Plagiarism	Substantiated
Administrative	A08030013	(redacted)	(redacted)	03/28/2008	09/11/2008	Plagiarism	Substantiated
Administrative	A06090041	(redacted)	(redacted)	09/11/2006	09/15/2008	Plagiarism	Substantiated
Administrative	A08060036	(redacted)	(redacted)	06/25/2008	09/15/2008	Plagiarism	Not Substantiated
Civil/Criminal	I07100041	(redacted)	(redacted)	10/15/2007	09/22/2008	Other illegal acts	Not Substantiated
Civil/Criminal	I07060016	(redacted)	(redacted)	06/04/2007	09/23/2008	Embezzlement, theft, or diversion of grant funds	Not Substantiated
Administrative	A08050032	(redacted)	(redacted)	05/20/2008	09/30/2008	Plagiarism	Substantiated
Civil/Criminal	I08020014	(redacted)	(redacted)	02/05/2008	09/30/2008	Personnel rules violation	Substantiated
Administrative	A06090042	(redacted)	(redacted)	09/11/2006	10/02/2008	Plagiarism	Substantiated
Administrative	A06050017	(redacted)	(redacted)	05/22/2006	10/03/2008	Other improper actions	Substantiated
Administrative	A08080043	(redacted)	(redacted)	08/27/2008	10/03/2008	Plagiarism	Substantiated
Civil/Criminal	I07100040	Wisconsin, Madison, Univ	University of Wisconsin, Madison	10/15/2007	10/03/2008	Other illegal acts	Not Substantiated
Civil/Criminal	I08030021	(redacted)	(redacted)	03/10/2008	10/06/2008	Abuse of data	Not Substantiated
Administrative	A08080041	(redacted)	(redacted)	08/19/2008	10/10/2008	Other-Research Misconduct	Not Substantiated
Administrative	A08090046	(redacted)	(redacted)	09/30/2008	10/10/2008	Plagiarism	Not Substantiated
Administrative	A08090046	(redacted)	(redacted)	09/30/2008	10/10/2008	Plagiarism	Not Substantiated
Administrative	A08090046	(redacted)	(redacted)	09/30/2008	10/10/2008	Plagiarism	Not Substantiated
Administrative	A08090046	(redacted)	(redacted)	09/30/2008	10/10/2008	Plagiarism	Not Substantiated
Civil/Criminal	I08010005	(redacted)	(redacted)	01/25/2008	10/21/2008	Embezzlement, theft, or diversion of grant funds	Substantiated
Civil/Criminal	I05110069	(redacted)	(redacted)	11/10/2005	10/22/2008	False statements in proposal or report to NSF	Substantiated
Civil/Criminal	I05090053	Johns Hopkins University	Johns Hopkins University	09/19/2005	10/24/2008	Participant support	Substantiated
Administrative	A08090045	(redacted)	(redacted)	09/22/2008	10/27/2008	Plagiarism	Not Substantiated
Civil/Criminal	I08050034	(redacted)	(redacted)	05/12/2008	10/27/2008	Violation of regulations	Not Substantiated
Civil/Criminal	I07120051	(redacted)	(redacted)	12/06/2007	10/31/2008	Employee embezzlement, theft, or fraud	Not Substantiated
Civil/Criminal	I08030022	(redacted)	(redacted)	03/17/2008	10/31/2008	Embezzlement, theft, or diversion of grant funds	Not Substantiated
Civil/Criminal	I08050039	New York University,	New York University	05/19/2008	11/03/2008	False statement or claim by grantee/contractor	Not Substantiated
Administrative	A06030008	(redacted)	(redacted)	03/22/2006	11/04/2008	Plagiarism	Substantiated
Civil/Criminal	I08040029	(redacted)	(redacted)	04/08/2008	11/05/2008	Other illegal acts	Not Substantiated
Administrative	A08100047	(redacted)	(redacted)	10/01/2008	11/12/2008	Falsification of data	Not Substantiated
Administrative	A08100047	(redacted)	(redacted)	10/01/2008	11/12/2008	Falsification of data	Not Substantiated
Administrative	A08100047	(redacted)	(redacted)	10/01/2008	11/12/2008	Falsification of data	Not Substantiated
Administrative	A06070032	(redacted)	(redacted)	07/13/2006	11/13/2008	Fabrication of data	Substantiated
Civil/Criminal	I07100042	California-Santa Barbara, University	University of California-Santa Barbara	10/15/2007	11/18/2008	Other illegal acts	Other
Administrative	A07070036	(redacted)	(redacted)	07/11/2007	11/20/2008	Plagiarism	Substantiated