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Description of document: List of National Science Foundation (NSF) Inspector General (OIG) investigations closed during CY 2013

Request date: 29-May-2014

Released date: 20-June-2014

Posted date: 10-August-2015

Source of document: Freedom of Information Act Request
NSF OIG FOIA Officer
4201 Wilson Blvd, Room II-705
Arlington VA 22230
Fax: 703-292-9159
Email: oig@nsf.gov

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National Science Foundation • Office of the Inspector General
4201 Wilson Boulevard, Suite II-705, Arlington, Virginia 22230

June 20, 2014

VIA EMAIL

Re: FOIA Request No. 14-16

This letter responds to your Freedom of Information Act (FOIA, 5 U.S.C. § 552) request, which we received on May 29, 2014, for “[a] list of investigations closed during calendar year 2013. In this listing or printout or spreadsheet, please be sure to include for each closed investigation the case number, the case title or subject and/or description, the closing date and opening date, and any other releasable fields.” You requested production in electronic format.

The responsive record is enclosed.¹ 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, with respect to the matter or matters described in the requested records, subject to successful criminal prosecution, recent civil legal action, or debarment or voluntary exclusion government-wide, 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 Counsel to the Inspector General, Ken Chason, by writing to him 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.² If you wish to appeal to either the Counsel to 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 Counsel to the Inspector General and his

¹ The format is similar to that used in our response to you in FOIA 13-16.

² 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.”

decision is negative, you may then appeal to the General Counsel. All appeals will be acted on within 20 business days after receipt.

For your information, Congress excluded three discrete categories of law enforcement and national security records from the requirements of the FOIA. See 5 U.S.C. § 552(c) (2006 & Supp. IV (2010)). This response is limited to those records that are subject to the requirements of the FOIA. This is a standard notification that is given to all our requesters and should not be taken as an indication that excluded records do, or do not, exist.

Sincerely,

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

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

Enclosure

Case Type	Case Number	Case Title	Subject(s)	Date Received	Date Completed	Allegation(s)	Allegation Outcome
Civil/Criminal	I 11040019	(Redacted)	(Redacted)	04/22/2011	01/04/2013	Abuse of Timecard	Substantiated
						False Statement or Claim by NSF Employee	Substantiated
Civil/Criminal	I 12050022	(Redacted)	(Redacted)	05/09/2012	01/04/2013	Other illegal acts	Not Substantiated
Administrative	A10120090	(Redacted)	(Redacted)	12/14/2010	01/15/2013	Falsification of data	Substantiated
Administrative	A11070051	(Redacted)	(Redacted)	07/21/2011	01/15/2013	Violation of the Confidentiality of Peer Review	Substantiated
Administrative	A12040026	Smithsonian Astrophysical Observatory	Smithsonian Astrophysical Observatory	04/04/2012	01/15/2013	Other improper actions	Not Substantiated
Administrative	A12090062	(Redacted)	(Redacted)	09/13/2012	01/15/2013	Plagiarism	Substantiated
Civil/Criminal	I 10120059	(Redacted)	(Redacted)	12/21/2010	01/15/2013	Duplicate proposal	Not Substantiated
Administrative	A12120083	(Redacted)	(Redacted - Subject 1)	12/10/2012	01/22/2013	Plagiarism	Substantiated
			(Redacted - Subject 2)			Plagiarism	Not Substantiated
Administrative	A10080067	(Redacted)	(Redacted - Subject 1)	08/17/2010	01/28/2013	Plagiarism	Substantiated
			(Redacted - Subject 2)			Plagiarism	Substantiated
Administrative	A11010007	(Redacted)	(Redacted)	01/27/2011	01/28/2013	Plagiarism	Substantiated
Administrative	A11040030	(Redacted)	(Redacted)	04/19/2011	02/04/2013	Plagiarism	Substantiated
Administrative	A12050036	(Redacted)	(Redacted)	05/11/2012	02/04/2013	Plagiarism	Not Substantiated
Administrative	A13010015	(Redacted)	(Redacted)	01/28/2013	02/04/2013	Intellectual Theft	Other (Duplicate of existing case)
Civil/Criminal	I 12010003	(Redacted)	(Redacted)	01/17/2012	02/04/2013	Violation of Regulations-Rule/Reg	Not Substantiated
Administrative	A11060047	Martinez, Aaron	Martinez	06/30/2011	02/07/2013	Plagiarism	Substantiated
Civil/Criminal	I 12030015	(Redacted)	(Redacted)	03/23/2012	02/07/2013	Other improper actions	Not Substantiated
Administrative	A10080069	(Redacted)	(Redacted)	08/24/2010	02/20/2013	Plagiarism	Substantiated
Administrative	A12120084	(Redacted)	(Redacted)	12/10/2012	02/20/2013	No Definite or Substantial Allegation	Other (Referral to program officer)
Administrative	A13010001	(Redacted)	(Redacted)	01/02/2013	02/25/2013	Other improper actions	Not Substantiated
Administrative	A13010012	(Redacted)	(Redacted)	01/24/2013	02/25/2013	Intellectual Theft	Not Substantiated
Civil/Criminal	I 07090037	Aung, Win	Aung	09/26/2007	03/01/2013	False Statement or Claim by NSF Employee	Substantiated
			iNEER			Other improper actions	Substantiated
Civil/Criminal	I 10080038	(Redacted)	(Redacted)	08/18/2010	03/01/2013	False Statement or Claim by Grantee/Contractor	Not Substantiated
Civil/Criminal	I 11020002	(Redacted)	(Redacted - Subject 1)	02/04/2011	03/01/2013	Duplicate proposal	Not Substantiated
			(Redacted - Subject 2)			False Statement or Claim by Grantee/Contractor	Not Substantiated
Civil/Criminal	I 13010004	Unknown [Subject]	Unknown	01/18/2013	03/01/2013	Other illegal acts	Not Substantiated
Administrative	A10060041	(Redacted)	(Redacted)	06/07/2010	03/07/2013	Plagiarism	Substantiated
Administrative	A09070067	(Redacted)	(Redacted)	07/27/2009	03/10/2013	False Statement or Claim by Grantee/Contractor	Not Substantiated
						Falsification of data	Substantiated
						Embezzlement, Theft, or Diversion of Grant Funds	Not Substantiated
Administrative	A11010003	(Redacted)	(Redacted - Subject 1)	01/12/2011	03/10/2013	Falsification of data	Not Substantiated
			(Redacted - Subject 2)			Falsification of data	Not Substantiated
Administrative	A11110079	(Redacted)	(Redacted)	11/22/2011	03/10/2013	Other improper actions	Not Substantiated
Administrative	A13010013	(Redacted)	(Redacted)	01/24/2013	03/10/2013	Plagiarism	Not Substantiated
Administrative	A13020017	(Redacted)	(Redacted)	02/04/2013	03/10/2013	Reviewer or Panelist COI	Not Substantiated
Administrative	A13030035	(Redacted)	(Redacted)	03/01/2013	03/10/2013	Other-Research Misconduct	Other (Duplicate of existing case)
Administrative	A11090065	(Redacted)	(Redacted)	09/30/2011	03/13/2013	Violation of Regulations-Rule/Reg	Substantiated
Administrative	A11120085	(Redacted)	(Redacted)	12/02/2011	03/13/2013	Other improper actions	Not Substantiated
Administrative	A12030015	(Redacted)	(Redacted)	03/07/2012	03/13/2013	Fabrication of data	Not Substantiated
Administrative	A13020016	(Redacted)	(Redacted)	01/30/2013	03/13/2013	False Statements in Proposal or Report to NSF	Not Substantiated
Civil/Criminal	I 11030009	(Redacted)	(Redacted)	03/21/2011	03/13/2013	Falsification of data	No NSF or No OIG Jurisdiction
Administrative	A10040028	(Redacted)	(Redacted)	04/07/2010	03/14/2013	Plagiarism	Substantiated

Case Type	Case Number	Case Title	Subject(s)	Date Received	Date Completed	Allegation(s)	Allegation Outcome
Administrative	A12070049	(Redacted)	(Redacted)	07/25/2012	03/27/2013	Falsification of data	No NSF or No OIG Jurisdiction
Administrative	A13020018	(Redacted)	(Redacted)	02/04/2013	03/27/2013	Duplicate Research	Not Substantiated
Administrative	A11110076	(Redacted)	(Redacted)	11/15/2011	04/05/2013	Other improper actions	Not Substantiated
Administrative	A13030041	(Redacted)	(Redacted)	02/28/2013	04/05/2013	Plagiarism	Substantiated
Administrative	A13030046	(Redacted)	(Redacted)	03/13/2013	04/05/2013	Plagiarism	Not Substantiated
Civil/Criminal	I11040014	(Redacted)	(Redacted)	03/31/2011	04/05/2013	False Statement or Claim by Grantee/Contractor	Substantiated
Civil/Criminal	I12070043	(Redacted)	(Redacted)	07/05/2012	04/05/2013	Other improper actions	Not Substantiated
Civil/Criminal	I12100063	(Redacted)	(Redacted)	09/19/2012	04/05/2013	Embezzlement, Theft, or Diversion of Grant Funds	Not Substantiated
Civil/Criminal	I12100069	(Redacted)	(Redacted)	09/28/2012	04/05/2013	Other-Conflict of Interest	Not Substantiated
Civil/Criminal	I12110082	(Redacted)	(Redacted)	11/20/2012	04/05/2013	Embezzlement, Theft, or Diversion of Grant Funds	Not Substantiated
Administrative	A10050035	(Redacted)	(Redacted)	05/04/2010	04/12/2013	Fabrication of data	Not Substantiated
Administrative	A12080059	(Redacted)	(Redacted)	08/24/2012	04/12/2013	Plagiarism	Substantiated
Civil/Criminal	I12100074	(Redacted)	(Redacted)	10/11/2012	04/12/2013	Embezzlement, Theft, or Diversion of Grant Funds	Not Substantiated
Administrative	A13030049	(Redacted)	(Redacted)	03/14/2013	04/15/2013	Plagiarism	Substantiated
Administrative	A12090063	(Redacted)	(Redacted)	09/13/2012	04/19/2013	Plagiarism	Substantiated
Administrative	A12120082	(Redacted)	(Redacted)	12/07/2012	04/19/2013	False Statements in Proposal or Report to NSF	Substantiated
Civil/Criminal	I11030012	(Redacted)	(Redacted)	03/25/2011	04/19/2013	False Statement or Claim by Grantee/Contractor	Not Substantiated
Civil/Criminal	I12060039	(Redacted)	(Redacted)	06/29/2012	04/19/2013	Embezzlement, Theft, or Diversion of Grant Funds	Not Substantiated
Civil/Criminal	I12100075	(Redacted)	(Redacted)	10/11/2012	04/19/2013	Embezzlement, Theft, or Diversion of Grant Funds	Not Substantiated
Civil/Criminal	I12080055	(Redacted)	(Redacted)	08/01/2012	04/23/2013	Other improper actions	Not Substantiated
Administrative	A11050036	(Redacted)	(Redacted)	05/10/2011	04/25/2013	Other improper actions	Substantiated
Administrative	A11060046	(Redacted)	(Redacted - Subject 1)	06/30/2011	04/25/2013	Refusal to Share or Release Research Results	Not Substantiated
			(Redacted - Subject 2)			Fabrication of data	Not Substantiated
			(Redacted - Subject 2)			Other-Conflict of Interest	Not Substantiated
			(Redacted - Subject 2)			Other improper actions	Not Substantiated
			(Redacted - Subject 3)			Refusal to Share or Release Research Results	Not Substantiated
Administrative	A13020029	(Redacted)	(Redacted - Subject 1)	02/19/2013	04/25/2013	Plagiarism	Substantiated
			(Redacted - Subject 2)			Plagiarism	Substantiated
Administrative	A13030038	(Redacted)	(Redacted)	02/28/2013	04/25/2013	Plagiarism	Substantiated
Civil/Criminal	I12070042	(Redacted)	(Redacted)	07/06/2012	04/25/2013	Embezzlement, Theft, or Diversion of Grant Funds	Not Substantiated
Administrative	A13030050	(Redacted)	(Redacted)	03/08/2013	05/01/2013	Plagiarism	Not Substantiated
Civil/Criminal	I09110069	Esterling, Donald	Esterling	11/30/2009	05/15/2013	False Statement or Claim by Grantee/Contractor	Substantiated
			Veritas CNC, Inc.			Embezzlement, Theft, or Diversion of Grant Funds	Substantiated
						False Statement or Claim by Grantee/Contractor	Substantiated
Civil/Criminal	I12070045	(Redacted)	(Redacted)	07/10/2012	05/15/2013	Embezzlement, Theft, or Diversion of Grant Funds	Not Substantiated
Civil/Criminal	I12070051	(Redacted)	(Redacted)	07/17/2012	05/15/2013	False Statements in Proposal or Report to NSF	Not Substantiated
Civil/Criminal	I13020009	(Redacted)	(Redacted)	01/30/2013	05/15/2013	Embezzlement, Theft, or Diversion of Grant Funds	Not Substantiated
Civil/Criminal	I07080030	Klentschy, Michael	Klentschy	08/17/2007	05/20/2013	Embezzlement, Theft, or Diversion of Grant Funds	Substantiated
			Amaral			Embezzlement, Theft, or Diversion of Grant Funds	Substantiated
			Garrison			Embezzlement, Theft, or Diversion of Grant Funds	Substantiated
			(Redacted - Subject 4)			Embezzlement, Theft, or Diversion of Grant Funds	Substantiated
			(Redacted - Subject 5)			Embezzlement, Theft, or Diversion of Grant Funds	Substantiated
Civil/Criminal	I12010002	(Redacted)	(Redacted)	01/17/2012	05/20/2013	Embezzlement, Theft, or Diversion of Grant Funds	Not Substantiated
Civil/Criminal	I12010005	(Redacted)	(Redacted)	01/27/2012	05/20/2013	Embezzlement, Theft, or Diversion of Grant Funds	Not Substantiated
Civil/Criminal	I12060033	(Redacted)	(Redacted)	06/14/2012	05/20/2013	Participant Support-Rule/Reg	Substantiated
Civil/Criminal	I12070049	(Redacted)	(Redacted)	07/16/2012	05/22/2013	Embezzlement, Theft, or Diversion of Grant Funds	Not Substantiated
Civil/Criminal	I12120087	Unknown [Subject]	Unknown	12/27/2012	05/22/2013	Other improper actions	Substantiated
Administrative	A10110088	Garrett, Walter	Garrett	11/22/2010	05/30/2013	Plagiarism	Substantiated
			Ralston			Plagiarism	Substantiated
			Americans for R.O.D.E			False Statement or Claim by Grantee/Contractor	Substantiated

Case Type	Case Number	Case Title	Subject(s)	Date Received	Date Completed	Allegation(s)	Allegation Outcome
Administrative	A12110080	(Redacted)	(Redacted)	11/19/2012	05/30/2013	Other improper actions	Not Substantiated
						False Statement or Claim by NSF Employee	Not Substantiated
Civil/Criminal	I 13030015	(Redacted)	(Redacted)	03/12/2013	05/30/2013	Plagiarism	Not Substantiated
Administrative	A12040027	(Redacted)	(Redacted)	04/05/2012	06/04/2013	Plagiarism	Substantiated
Administrative	A12090066	(Redacted)	(Redacted)	09/21/2012	06/04/2013	Plagiarism	Other (Referral to journal/professional society)
Administrative	A13020025	(Redacted)	(Redacted)	02/06/2013	06/04/2013	Fabrication of data	Not Substantiated
Administrative	A13030047	(Redacted)	(Redacted - Subject 1)	03/13/2013	06/04/2013	Intellectual Theft	Not Substantiated
			(Redacted - Subject 2)			Intellectual Theft	Not Substantiated
Administrative	A13050064	(Redacted)	(Redacted)	05/10/2013	06/04/2013	Plagiarism	Not Substantiated
Administrative	A13010010	(Redacted)	(Redacted - Subject 1)	01/22/2013	06/13/2013	Plagiarism	Not Substantiated
			(Redacted - Subject 2)			Plagiarism	Other (subject died during investigation)
			(Redacted - Subject 3)			Plagiarism	Not Substantiated
			(Redacted - Subject 4)			Plagiarism	Not Substantiated
Administrative	A13020026	(Redacted)	(Redacted)	02/14/2013	06/13/2013	Plagiarism	Not Substantiated
Administrative	A13030048	(Redacted)	(Redacted)	03/14/2013	06/13/2013	Plagiarism	Substantiated
Administrative	A13040052	(Redacted)	(Redacted)	03/26/2013	06/13/2013	Plagiarism	Not Substantiated
Administrative	A13040053	(Redacted)	(Redacted)	03/26/2013	06/13/2013	Plagiarism	Not Substantiated
Administrative	A13050059	(Redacted)	(Redacted - Subject 1)	04/24/2013	06/20/2013	Plagiarism	No NSF or No OIG Jurisdiction
						Falsification of data	No NSF or No OIG Jurisdiction
			(Redacted - Subject 2)			Plagiarism	No NSF or No OIG Jurisdiction
			(Redacted - Subject 3)			Plagiarism	No NSF or No OIG Jurisdiction
Administrative	A13060071	(Redacted)	(Redacted)	05/29/2013	06/20/2013	Other-Research Misconduct	Not Substantiated
Administrative	A11080054	(Redacted)	(Redacted)	08/08/2011	06/21/2013	Abuse of Timecard	Substantiated
Civil/Criminal	I 12080057	(Redacted)	(Redacted)	08/07/2012	06/21/2013	Embezzlement, Theft, or Diversion of Grant Funds	Not Substantiated
Civil/Criminal	I 12100071	(Redacted)	(Redacted)	10/05/2012	06/21/2013	Embezzlement, Theft, or Diversion of Grant Funds	Not Substantiated
Civil/Criminal	I 13050028	(Redacted)	(Redacted)	04/24/2013	06/21/2013	Embezzlement, Theft, or Diversion of Grant Funds	Not Substantiated
Civil/Criminal	I 12040017	(Redacted)	(Redacted)	04/04/2012	06/26/2013	Other improper actions	Not Substantiated
Administrative	A05030006	(Redacted)	(Redacted - Subject 1)	03/10/2005	06/28/2013	Lobbying Violations	Not Substantiated
						Duplicate Reimbursement	Not Substantiated
						Embezzlement, Theft, or Diversion of Grant Funds	Substantiated
						Violation of Regulations-RM	Not Substantiated
			(Redacted - Subject 2)			Other improper actions	Substantiated
			(Redacted - Subject 3)			Other improper actions	Substantiated
			(Redacted - Subject 4)			Other illegal acts	Substantiated
Civil/Criminal	I 13060034	(Redacted)	(Redacted)	05/30/2013	06/28/2013	Embezzlement, Theft, or Diversion of Grant Funds	Other (Transferred subject to an existing case)
Administrative	A13030039	(Redacted)	(Redacted)	02/28/2013	07/08/2013	Plagiarism	Not Substantiated
Administrative	A13050066	(Redacted)	(Redacted)	05/13/2013	07/08/2013	Plagiarism	Not Substantiated
Administrative	A12110077	(Redacted)	(Redacted)	11/06/2012	07/14/2013	Violation of the Confidentiality of Peer Review	Not Substantiated
Administrative	A13010004	(Redacted)	(Redacted - Subject 1)	12/16/2012	07/14/2013	Embezzlement, Theft, or Diversion of Grant Funds	Not Substantiated
			(Redacted - Subject 2)			Embezzlement, Theft, or Diversion of Grant Funds	Not Substantiated
Civil/Criminal	I 12100064	(Redacted)	(Redacted)	09/19/2012	07/14/2013	Embezzlement, Theft, or Diversion of Grant Funds	Not Substantiated
Civil/Criminal	I 12080056	(Redacted)	(Redacted)	08/13/2012	07/24/2013	Retaliation Against Whistleblowers	Not Substantiated

Case Type	Case Number	Case Title	Subject(s)	Date Received	Date Completed	Allegation(s)	Allegation Outcome
Administrative	A11090061	(Redacted)	(Redacted - Subject 1)	09/21/2011	07/26/2013	Plagiarism	Not Substantiated
			(Redacted - Subject 2)			Plagiarism	Not Substantiated
			(Redacted - Subject 3)			Plagiarism	Not Substantiated
			(Redacted - Subject 4)			Plagiarism	Not Substantiated
			(Redacted - Subject 5)			Plagiarism	Substantiated
Administrative	A12050039	(Redacted)	(Redacted)	05/23/2012	07/31/2013	Plagiarism	Substantiated
Administrative	A11050037	(Redacted)	(Redacted - Subject 1)	05/19/2011	08/09/2013	Plagiarism	Substantiated
			(Redacted - Subject 2)			Plagiarism	Substantiated
Civil/Criminal	I12020013	Payne, Shalinda	Payne	02/28/2012	08/11/2013	Other illegal acts	Substantiated
Administrative	A13020032	(Redacted)	(Redacted)	02/19/2013	08/15/2013	Plagiarism	Not Substantiated
Administrative	A13050068	(Redacted)	(Redacted)	05/16/2013	08/15/2013	Other improper actions	Not Substantiated
Civil/Criminal	I11120044	(Redacted)	(Redacted)	11/30/2011	08/19/2013	Mishandling of Proposals or Awards by NSF Staff-RM	Not Substantiated
Civil/Criminal	I13040027	(Redacted)	(Redacted)	04/30/2013	08/19/2013	Duplicate Research	Not Substantiated
Administrative	A12120086	(Redacted)	(Redacted - Subject 1)	12/10/2012	08/23/2013	Falsification of data	Not Substantiated
						Plagiarism	Not Substantiated
Administrative	A12120086	(Redacted)	(Redacted - Subject 2)	12/10/2012	08/23/2013	Other-Research Misconduct	Substantiated
						Plagiarism	Not Substantiated
						Falsification of data	Not Substantiated
Administrative	A13010002	(Redacted)	(Redacted)	12/19/2012	08/23/2013	Other-Research Misconduct	Not Substantiated
Administrative	A13050065	(Redacted)	(Redacted)	05/13/2013	08/23/2013	Plagiarism	Not Substantiated
Administrative	A13050067	(Redacted)	(Redacted)	05/22/2013	08/23/2013	Other-Conflict of Interest	Not Substantiated
Administrative	A13050058	(Redacted)	(Redacted)	05/02/2013	08/30/2013	Other improper actions	Not Substantiated
Civil/Criminal	I12070040	(Redacted)	(Redacted)	07/05/2012	08/30/2013	Other improper actions	Substantiated
Civil/Criminal	I13070046	(Redacted)	(Redacted)	07/16/2013	08/30/2013	Retaliation Against Whistleblowers	No NSF or No OIG Jurisdiction
Administrative	A13020019	(Redacted)	(Redacted)	02/08/2013	09/05/2013	Intellectual Theft	Not Substantiated
Administrative	A13040056	(Redacted)	(Redacted)	04/09/2013	09/05/2013	Other-Research Misconduct	Not Substantiated
Administrative	A12010001	(Redacted)	(Redacted)	12/29/2011	09/11/2013	Mishandling of Proposals or Awards by NSF Staff-Rule/Reg	Other (Subject left NSF shortly after intake)
Civil/Criminal	I11060030	(Redacted)	(Redacted)	06/29/2011	09/11/2013	Other improper actions	Substantiated
Administrative	A11110081	(Redacted)	(Redacted)	11/22/2011	09/19/2013	Plagiarism	Substantiated
Administrative	A13080078	(Redacted)	(Redacted)	08/06/2013	09/19/2013	Other improper actions	Other (Verbal warning)
Civil/Criminal	I11060022	(Redacted)	(Redacted)	06/07/2011	09/19/2013	Duplicate proposal	Not Substantiated
Civil/Criminal	I13030018	(Redacted)	(Redacted)	03/11/2013	09/19/2013	False Statement or Claim by Grantee/Contractor	Not Substantiated
Civil/Criminal	I09110068	(Redacted)	(Redacted - Subject 1)	11/20/2009	09/26/2013	Violation of Regulations-Rule/Reg	Substantiated
			(Redacted - Subject 2)			Violation of Regulations-Rule/Reg	Substantiated
			(Redacted - Subject 3)			Violation of Regulations-Rule/Reg	Substantiated
			(Redacted - Subject 4)			Violation of Regulations-Rule/Reg	Substantiated
			(Redacted - Subject 5)			Violation of Regulations-Rule/Reg	Substantiated
Civil/Criminal	I13060038	(Redacted)	(Redacted)	06/11/2013	09/26/2013	Other illegal acts	Not Substantiated
Civil/Criminal	I07100039	Charles, Herbert	Morehouse College	10/04/2007	10/22/2013	False Statement or Claim by Grantee/Contractor	Substantiated
			Charles			Embezzlement, Theft, or Diversion of Grant Funds	Substantiated
Civil/Criminal	I12060037	(Redacted)	(Redacted)	06/29/2012	10/22/2013	Embezzlement, Theft, or Diversion of Grant Funds	Not Substantiated
Civil/Criminal	I11080038	Chase, Jonathan	Chase	08/16/2011	10/23/2013	Embezzlement, Theft, or Diversion of Grant Funds	Substantiated
Civil/Criminal	I12070047	(Redacted)	(Redacted)	07/16/2012	10/23/2013	Violation of Regulations-Rule/Reg	Not Substantiated
Civil/Criminal	I13060036	(Redacted)	(Redacted)	06/03/2013	10/28/2013	Embezzlement, Theft, or Diversion of Grant Funds	Other (Duplicate of existing case)
Civil/Criminal	I12050031	(Redacted)	(Redacted)	05/30/2012	11/04/2013	Other illegal acts	Not Substantiated
Civil/Criminal	I13020010	(Redacted)	(Redacted)	02/05/2013	11/08/2013	Embezzlement, Theft, or Diversion of Grant Funds	Not Substantiated

Case Type	Case Number	Case Title	Subject(s)	Date Received	Date Completed	Allegation(s)	Allegation Outcome
Civil/Criminal	I 11030005	(Redacted)	(Redacted)	03/06/2011	11/20/2013	Time and Effort	Substantiated
Civil/Criminal	I 13050030	University of Arizona	University of Arizona	05/09/2013	12/06/2013	Other improper actions	Not Substantiated
Administrative	A11040023	(Redacted)	Reddy	04/04/2011	12/11/2013	Fabrication of data	Substantiated
			(Redacted - Subject 2)			Fabrication of data	Not Substantiated
Administrative	A12050032	Stepp, Brian	Stepp	05/10/2012	12/11/2013	Fabrication of data	Substantiated
Administrative	A10090070	(Redacted)	(Redacted)	08/31/2010	12/16/2013	Abuse of Timecard	Not Substantiated
Civil/Criminal	I06010002	Raytheon Polar Services	Raytheon Polar Services	01/20/2006	12/16/2013	False Statement or Claim by Grantee/Contractor	Information Provided (Referral to DoJ)
Civil/Criminal	I 11100041	(Redacted)	(Redacted)	10/04/2011	12/16/2013	Participant Support-Rule/Reg	Substantiated
Civil/Criminal	I 12060032	(Redacted)	(Redacted)	06/14/2012	12/16/2013	Time and Effort	Substantiated
Civil/Criminal	I 12080059	(Redacted)	(Redacted)	08/16/2012	12/16/2013	Other-Conflict of Interest	Not Substantiated
Civil/Criminal	I 13030023	Unknown [Subject]	Unknown	03/26/2013	12/16/2013	No Definite or Substantial Allegation	Not Substantiated
Civil/Criminal	I 10070032	Liu, Shih-Chi	Liu	07/26/2010	12/23/2013	Other-Conflict of Interest	Substantiated
Administrative	A11100069	(Redacted)	(Redacted)	10/26/2011	12/27/2013	Plagiarism	Not Substantiated
Administrative	A11110083	(Redacted)	(Redacted)	11/23/2011	12/27/2013	Other improper actions	Substantiated
Administrative	A13020034	(Redacted)	(Redacted - Subject 1)	02/19/2013	12/27/2013	Plagiarism	Not Substantiated
			(Redacted - Subject 2)			Plagiarism	Not Substantiated
			(Redacted - Subject 3)			Plagiarism	Not Substantiated
Civil/Criminal	I 13030012	(Redacted)	(Redacted - Subject 1)	02/25/2013	12/27/2013	Bribery, Gratuities, Gifts	Not Substantiated