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

January 23, 2017

VIA EMAIL

Re: FOIA Request No. 17-18

This letter responds to your Freedom of Information Act (FOIA, 5 U.S.C. § 552) request, which we received on December 27, 2016, for “[a] copy or printout of the list of NGA [*sic*] OIG investigations closed during calendar year 2015 and calendar year 2016.” Given that you addressed the request to the NSF OIG mailbox, we interpret this to be a request for *NSF* OIG closed investigations.

A list of closed NSF OIG investigations for the requested time period may be obtained from the search page of the online repository of closed NSF OIG investigations (<https://nsf.gov/oig/case-closeout/>). In the option to “List All Available Memoranda,” select “Sort Date” for the “Sort By” order. As of this date, the requested records constitute 242 of the last 245 rows (one row per case number) in the display.

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,

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

National Science Foundation (NSF) Inspector General (OIG) investigations closed CY2015 - CY2016

Case Number	Close Date	Classification(s)	Action(s)
A12110079	1/5/2015	Data Tampering / Sabotage / Fabrication	AA, RM
A13120096	1/10/2015	Data Tampering / Sabotage / Fabrication	
A14110064	1/10/2015	Plagiarism (Verbatim)	
I10080039	1/13/2015	Admin. Financial Violations (PI/PS)	
I14100044	1/13/2015	Admin. Financial Violations (PI/PS)	
I14080028	1/18/2015	PI Misconduct	
I08020016	1/20/2015	Admin. Financial Violations (PI/PS)	CC, MR
I12060035	1/23/2015	COI (NSF)	AA
		NSF Employee Misconduct	
I13030022	1/23/2015	Grant Fraud	
A14100060	1/24/2015	Intellectual Theft	
A14120069	1/24/2015	Plagiarism (Verbatim)	
I12120085	1/24/2015	COI (Non-NSF)	MR
		Grant Fraud	
I13020011	1/24/2015	Admin. Financial Violations (PI/PS)	
I13080048	1/24/2015	PI Misconduct	
I10060026	1/27/2015	Grant Fraud	CC, MR
		SBIR	
I13090053	1/27/2015	Grant Fraud	
A13120098	1/28/2015	Plagiarism (Verbatim)	QP
I14080030	2/2/2015	PI Misconduct	
I11040015	2/5/2015	Theft of NSF Property	AA, MR
I12070044	2/5/2015	Contractor Fraud	
I13050031	2/5/2015	PI Misconduct	QP
I13070044	2/5/2015	NSF Employee Misconduct	
		Theft of NSF Property	
A12100070	2/8/2015	Plagiarism (Verbatim)	AA, MR, RM
A14040016	2/8/2015	COI (NSF)	
		NSF Employee Misconduct	
A14090053	2/8/2015	Plagiarism (Verbatim)	
A14110063	2/13/2015	Mentoring / Abuse Issues (Non-NSF)	QP
I14120052	2/13/2015	Admin. Financial Violations (PI/PS)	
I07090034	2/19/2015	Grant Fraud	
I13050032	2/19/2015	Applicant/Grantee/PI False Certification	QP
I12070046	2/27/2015	PI Misconduct	AA, CC, MR
I12100068	3/4/2015	Applicant/Grantee/PI False Certification	MR
		SBIR	
I14040014	3/4/2015	Admin. Financial Violations (PI/PS)	MR
I14100042	3/4/2015	NSF Employee Misconduct	
A14090044	3/6/2015	Human Subject Reg. Violations	
A15020008	3/6/2015	Applicant/Grantee/PI False Certification	
		Plagiarism (Verbatim)	
I10040014	3/12/2015	Admin. Financial Violations (PI/PS)	CC, MR
		Grant Fraud	
I12120086	3/12/2015	Admin. Financial Violations (PI/PS)	MR

National Science Foundation (NSF) Inspector General (OIG) investigations closed CY2015 - CY2016

Case Number	Close Date	Classification(s)	Action(s)
I13010008	3/12/2015	Applicant/Grantee/PI False Certification	CC, MR
		Contractor Fraud	
		Grant Fraud	
		SBIR	
A12010003	3/13/2015	Data Tampering / Sabotage / Fabrication	
A13040055	3/13/2015	Human Subject Reg. Violations	
A14110065	3/13/2015	Data Tampering / Sabotage / Fabrication	
A15010005	3/13/2015	Data Tampering / Sabotage / Fabrication	
		Intellectual Theft	
I12100077	3/19/2015	SBIR	
I12120084	3/19/2015	Admin. Financial Violations (PI/PS)	MR
		Applicant/Grantee/PI False Certification	
A11090064	3/25/2015	Grant Fraud	AA, RM
		Plagiarism (Verbatim)	
A13110091	3/25/2015	Data Sharing	
A11110084	3/31/2015	NSF Employee Misconduct	
I10070034	3/31/2015	Grant Fraud	MR
I10080041	3/31/2015	Grant Fraud	
I13010003	3/31/2015	Admin. Financial Violations (PI/PS)	
I13050029	3/31/2015	Admin. Financial Violations (PI/PS)	
I14020003	4/9/2015	Grant Fraud	MR
I10110053	4/22/2015	Admin. Financial Violations (PI/PS)	MR
I11080035	4/22/2015	PI Misconduct	AA, MR
I15020005	4/22/2015	Admin. Financial Violations (PI/PS)	
A12050034	4/27/2015	Intellectual Theft	
A12100069	4/27/2015	Plagiarism (Verbatim)	AA, RM
A13050063	4/27/2015	Intellectual Theft	QP
A13020028	5/7/2015	Plagiarism (Verbatim)	
A15020007	5/7/2015	Plagiarism (Verbatim)	QP
A15020009	5/7/2015	Plagiarism (Verbatim)	
I13070043	5/7/2015	Theft of NSF Property	AA, CC, MR
I14090032	5/7/2015	SBIR	
I08070046	5/12/2015	Admin. Financial Violations (PI/PS)	
I13030017	5/13/2015	Admin. Financial Violations (PI/PS)	AA, CC, MR
		Applicant/Grantee/PI False Certification	
		Falsification in Proposal/Progress Rpt	
I14120053	5/14/2015	PI Misconduct	
A12100067	5/22/2015	Plagiarism (Verbatim)	RM
A14080041	5/22/2015	Grant Fraud	
		Intellectual Theft	
I14050018	5/22/2015	NSF Logo Abuse	QP
I12050025	5/29/2015	COI (Non-NSF)	AA, MR
I15020002	5/29/2015	Admin. Financial Violations (PI/PS)	MR
A15050034	6/4/2015	Plagiarism (Verbatim)	QP
I15050024	6/4/2015	Applicant/Grantee/PI False Certification	
A15040031	6/10/2015	Plagiarism (Verbatim)	
I14090038	6/10/2015	Contractor Fraud	AA

National Science Foundation (NSF) Inspector General (OIG) investigations closed CY2015 - CY2016

Case Number	Close Date	Classification(s)	Action(s)
		Theft of NSF Property	
I15040013	6/10/2015	Admin. Financial Violations (PI/PS)	AA, MR
		Theft of NSF Property	
A13060072	6/15/2015	Intellectual Theft	
A13020024	6/22/2015	Plagiarism (Verbatim)	AA, MR
I15020003	6/22/2015	Grant Fraud	
I15060031	6/22/2015	Contractor Fraud	
I15020006	6/28/2015	Admin. Financial Violations (PI/PS)	
A13120093	7/2/2015	Human Subject Reg. Violations	AA
I10100049	7/13/2015	Admin. Financial Violations (PI/PS)	AA
		Applicant/Grantee/PI False Certification	
I14080029	7/13/2015	Admin. Financial Violations (PI/PS)	
I15070037	7/14/2015	Contractor Fraud	
I14060020	7/15/2015	Admin. Financial Violations (PI/PS)	
		COI (Non-NSF)	
A15050035	7/17/2015	Plagiarism (Verbatim)	
I15060036	7/17/2015	Admin. Financial Violations (PI/PS)	
A15070040	7/21/2015	Plagiarism (Verbatim)	
A14060031	7/25/2015	Grant Fraud	
I12100072	7/25/2015	Grant Fraud	CC, MR
		SBIR	
A15060037	7/28/2015	COI (Non-NSF)	
I14110048	7/28/2015	Admin. Financial Violations (PI/PS)	
A07100053	7/30/2015	Data Tampering / Sabotage / Fabrication	AA, RM
I10050018	7/30/2015	Admin. Financial Violations (PI/PS)	
I13030014	7/31/2015	Admin. Financial Violations (PI/PS)	MR
I12010004	8/6/2015	Admin. Financial Violations (PI/PS)	MR
I15060029	8/6/2015	Admin. Financial Violations (PI/PS)	AA, MR
A15010004	8/7/2015	Intellectual Theft	
		Plagiarism (Verbatim)	
A15040024	8/7/2015	Plagiarism (Verbatim)	
A15040027	8/7/2015	Plagiarism (Verbatim)	
I09090057	8/7/2015	Admin. Financial Violations (PI/PS)	
I14070026	8/10/2015	Grant Fraud	
I15060035	8/13/2015	Retaliation	
A13090085	8/20/2015	Falsification in Proposal/Progress Rpt	QP
		Plagiarism (Verbatim)	
A14070034	8/20/2015	Plagiarism (Verbatim)	QP
A15040030	8/20/2015	Plagiarism (Verbatim)	QP
I13040025	8/20/2015	Admin. Financial Violations (PI/PS)	MR
A11100066	8/30/2015	Data Tampering / Sabotage / Fabrication	AA, RM
A13010003	9/11/2015	Data Tampering / Sabotage / Fabrication	
A14100055	9/11/2015	Human Subject Reg. Violations	AA, MR
A15040026	9/11/2015	Human Subject Reg. Violations	AA, MR
I14030009	9/11/2015	PI Misconduct	QP
I15080044	9/14/2015	Animal Subject Reg. Violation	
		Retaliation	

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Case Number	Close Date	Classification(s)	Action(s)
I15080042	9/17/2015	Grant Fraud	
I14100043	9/18/2015	Admin. Financial Violations (PI/PS)	
A06110054	9/27/2015	Data Tampering / Sabotage / Fabrication	
I11080037	9/30/2015	Grant Fraud	CC, MR
		Theft of NSF Property	
A13060074	10/3/2015	Plagiarism (Verbatim)	AA, RM
A14050020	10/3/2015	Intellectual Theft	
		Plagiarism (Verbatim)	
A15030017	10/3/2015	Plagiarism (Verbatim)	QP
I12020007	10/3/2015	Admin. Financial Violations (PI/PS)	
I12030014	10/3/2015	SBIR	
A13010009	10/9/2015	NSF Employee Misconduct	
I14090039	10/16/2015	Retaliation	
A15070042	10/29/2015	Plagiarism (Verbatim)	
I15030011	10/29/2015	COI (Non-NSF)	
		COI (NSF)	
A13020030	11/3/2015	Plagiarism (Verbatim)	MR, RM
A14120068	11/3/2015	Peer Review violation	AA
A15020012	11/3/2015	Plagiarism (Verbatim)	QP
I15080046	11/8/2015	SBIR	
I14040010	11/13/2015	Retaliation	
A13030037	11/18/2015	Plagiarism (Verbatim)	AA, RM
A13080084	11/18/2015	Plagiarism (Verbatim)	AA, RM
I14070025	11/18/2015	Grant Fraud	
A14080042	11/20/2015	Plagiarism (Verbatim)	QP
A13050062	11/22/2015	Plagiarism (Verbatim)	
I15080045	11/22/2015	Grant Fraud	
A14120070	11/25/2015	Intellectual Theft	
I15100052	11/25/2015	Grant Fraud	
I14060021	12/7/2015	Grant Fraud	
I15050018	12/7/2015	Grant Fraud	QP
I15060028	12/7/2015	Grant Fraud	
A13030045	12/11/2015	Data Tampering / Sabotage / Fabrication	AA, RM
A14050023	12/11/2015	Admin. Financial Violations (PI/PS)	
I12070050	12/11/2015	PI Misconduct	QP
A13020021	12/15/2015	Plagiarism (Verbatim)	AA, RM
A13010014	12/16/2015	Falsification in Proposal/Progress Rpt	AA, RM
A13020023	12/16/2015	Plagiarism (Verbatim)	AA, RM
I14100041	12/16/2015	Grant Fraud	
I09030017	12/18/2015	Grant Fraud	CC, MR
I15020004	12/18/2015	Grant Fraud	QP
I15090049	12/24/2015	Grant Fraud	
I11060024	12/29/2015	Admin. Financial Violations (PI/PS)	AA, CC, MR
		Applicant/Grantee/PI False Certification	
		Grant Fraud	
		SBIR	
I10050021	1/10/2016	Grant Fraud	

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Case Number	Close Date	Classification(s)	Action(s)
I12110083	1/10/2016	Admin. Financial Violations (PI/PS)	MR
A15050036	1/12/2016	Falsification in Proposal/Progress Rpt	
I15050026	1/12/2016	Grant Fraud	
A12100072	1/17/2016	NSF Employee Misconduct	AA, MR
I14120049	1/20/2016	Admin. Financial Violations (PI/PS)	AA, MR
I09110065	1/26/2016	Falsification in Proposal/Progress Rpt	AA, CC
A14030013	2/2/2016	Grant Fraud	
I14050015	2/2/2016	Grant Fraud	
A14030012	2/7/2016	Plagiarism (Verbatim)	QP
A13010005	2/18/2016	Data Tampering / Sabotage / Fabrication	AA, RM
A13060073	2/18/2016	Grant Fraud	AA
I12110081	3/6/2016	Grant Fraud	AA, CC, MR
		Theft of NSF Property	
I11060029	3/16/2016	NSF Logo Abuse	AA, CC
I13050033	3/17/2016	NSF Employee Misconduct	AA, CC, MR
		Theft of NSF Property	
A14110062	3/22/2016	PI Misconduct	
I11040020	3/22/2016	Applicant/Grantee/PI False Certification	AA, CC, MR
		Contractor Fraud	
		Fabrication of Substance in Proposal	
		Falsification in Proposal/Progress Rpt	
		Grant Fraud	
		SBIR	
I14020006	3/22/2016	Grant Fraud	QP
A14080039	3/26/2016	Human Subject Reg. Violations	
A15010003	3/26/2016	Intellectual Theft	
A15030018	3/26/2016	Human Subject Reg. Violations	
A15030020	3/26/2016	Human Subject Reg. Violations	AA
A15030022	3/26/2016	Human Subject Reg. Violations	
A15040025	3/26/2016	Intellectual Theft	
		Plagiarism (Verbatim)	
A15080049	3/26/2016	Intellectual Theft	
I15030012	4/17/2016	SBIR	
A12110078	4/22/2016	Intellectual Theft	RM
		Plagiarism (Verbatim)	
I15050021	4/29/2016	Contractor Fraud	
		Retaliation	
I15060030	4/29/2016	NSF Logo Abuse	
A14010001	5/10/2016	Plagiarism (Verbatim)	RM
A13020033	5/20/2016	Plagiarism (Verbatim)	RM
I-16-0013-O	5/20/2016	SBIR	
I-16-0042-O	5/20/2016	Falsification in Proposal/Progress Rpt	
I-16-0054-O	5/20/2016	Intellectual Theft	
I13030021	5/20/2016	Admin. Financial Violations (PI/PS)	MR, QP
A09050042	5/27/2016	Data Tampering / Sabotage / Fabrication	RM
A13020027	5/27/2016	Grant Fraud	
		Plagiarism (Verbatim)	

National Science Foundation (NSF) Inspector General (OIG) investigations closed CY2015 - CY2016

Case Number	Close Date	Classification(s)	Action(s)
A14100056	5/27/2016	Intellectual Property Issues	
I14010001	5/27/2016	Grant Fraud	AA, MR
		SBIR	
I-16-0021-O	6/2/2016	Employee as Victim	
A15050032	6/5/2016	Plagiarism (Verbatim)	
I14090040	6/8/2016	Admin. Financial Violations (PI/PS)	
I-16-0088-O	6/9/2016	PI Misconduct	
		SBIR	
I-16-0018-O	6/21/2016	NSF Logo Abuse	QP
I-16-0031-O	6/21/2016	COI (Non-NSF)	
I-16-0090-O	6/21/2016	NSF Logo Abuse	
A14070037	6/22/2016	Grant Fraud	
I15080041	7/3/2016	Grant Fraud	
I12020011	7/10/2016	Applicant/Grantee/PI False Certification	AA, CC, MR
		Grant Fraud	
I14100045	7/10/2016	Admin. Financial Violations (PI/PS)	QP
I-16-0041-O	7/15/2016	Plagiarism (Verbatim)	QP
I-16-0007-O	8/2/2016	Applicant/Grantee/PI False Certification	QP
		Grant Fraud	
I-16-0033-O	8/2/2016	NSF Employee Misconduct	
I11040017	8/7/2016	Grant Fraud	AA, CC, MR
		PI Misconduct	
		SBIR	
I14020005	8/7/2016	Admin. Financial Violations (PI/PS)	
		SBIR	
A14110066	8/9/2016	Data Tampering / Sabotage / Fabrication	AA, RM
I-16-0045-O	8/12/2016	NSF Employee Misconduct	
I-16-0051-O	8/15/2016	NSF Logo Abuse	QP
A13070076	8/24/2016	Data Tampering / Sabotage / Fabrication	AA, RM
I-16-0011-O	9/22/2016	NSF Employee Misconduct	
I-16-0034-O	9/22/2016	Antarctica	
		Grant Fraud	
I-16-0087-O	9/22/2016	Antarctica	
		Grant Fraud	
I11110043	9/27/2016	Applicant/Grantee/PI False Certification	CC, MR
		Falsification in Proposal/Progress Rpt	
		Grant Fraud	
		PI Misconduct	
		SBIR	
I15030008	9/27/2016	Admin. Financial Violations (PI/PS)	MR
		PI Misconduct	
I15010001	9/29/2016	Applicant/Grantee/PI False Certification	
I-16-0075-O	9/30/2016	PI Misconduct	
		SBIR	
A11080056	10/4/2016	Intellectual Theft	
		Plagiarism (Verbatim)	
A13020031	10/4/2016	Plagiarism (Verbatim)	AA, MR, RM

National Science Foundation (NSF) Inspector General (OIG) investigations closed CY2015 - CY2016

Case Number	Close Date	Classification(s)	Action(s)
A14060026	10/4/2016	Peer Review violation	
A15020010	10/4/2016	Intellectual Theft	
		Plagiarism (Verbatim)	
I10050022	10/4/2016	Applicant/Grantee/PI False Certification	AA, CC, MR
		Grant Fraud	
		PI Misconduct	
		SBIR	
A15090052	10/13/2016	Data Tampering / Sabotage / Fabrication	QP
		Intellectual Theft	
		Plagiarism (Verbatim)	
I14120051	10/13/2016	Admin. Financial Violations (PI/PS)	QP
		PI Misconduct	
		SBIR	
A11060043	10/29/2016	Grant Fraud	AA, MR
		PI Misconduct	
A12080058	10/29/2016	Plagiarism (Verbatim)	RM
I11030007	10/29/2016	Grant Fraud	AA, CC, MR
I15050022	10/29/2016	PI Misconduct	
		SBIR	
I-16-0053-O	11/2/2016	Retaliation	
A13020020	11/4/2016	Plagiarism (Verbatim)	
I14030008	11/4/2016	Applicant/Grantee/PI False Certification	CC
		Grant Fraud	
		PI Misconduct	
		SBIR	
A13030042	11/25/2016	COI (NSF)	AA
		NSF Employee Misconduct	
I-16-0001-O	11/30/2016	Retaliation	
I-16-0022-O	11/30/2016	COI (NSF)	
I-16-0047-O	11/30/2016	Retaliation	
I-16-0058-O	11/30/2016	Mishandled/Impeded Investigations	
I-16-0092-O	11/30/2016	Applicant/Grantee/PI False Certification	AA, MR
		Grant Fraud	
		SBIR	
A15040028	12/19/2016	Plagiarism (Verbatim)	AA, RM
I-16-0080-O	12/22/2016	Plagiarism (Verbatim)	