



NATIONAL SCIENCE FOUNDATION
OFFICE OF INSPECTOR GENERAL
OFFICE OF INVESTIGATIONS

CLOSEOUT MEMORANDUM

Case Number: A13110090

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NSF OIG received an allegation that an associate professor¹ at a University² falsified data and fabricated results in a published article,³ a submitted manuscript,⁴ a draft manuscript,⁵ and a meeting abstract⁶ that were all supported by an NSF award.⁷ The University initiated an inquiry into allegations of research misconduct against the associate professor and his collaborator/spouse,⁸ and both immediately departed the country and ceased communication with the University. The University concluded the former associate professor's acts were intentional and constituted research misconduct; however, it found insufficient evidence to support a finding against the spouse. The University prohibited both individuals from returning to the university and contacted the journal,⁹ resulting in a retraction¹⁰ of the published article.

We concurred with the University's findings and recommended that NSF debar the former associate professor for five years. We further recommended that, for five years after the debarment period, NSF require the former associate professor to submit certifications and assurances for any NSF proposals; require submission of a detailed data management plan with annual certifications of adherence for any resulting awards; and bar him from participating as a peer reviewer, advisor, or consultant for NSF. Based on our report of investigation, NSF initially made a finding of research misconduct and issued a notice of proposed debarment. However, the

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former associate professor appealed the finding and thereafter entered into a settlement with NSF in which he agreed to a voluntary government-wide exclusion for a period¹¹ less than three years. The voluntary exclusion included a prohibition on serving as a reviewer for NSF. The former associate professor also agreed to voluntarily exclude himself, and any companies in which he is a principal owner, from submitting proposals to NSF, and from being listed as senior personnel on any proposals submitted to NSF, until he has completed a responsible conduct of research training course and has provided a certificate of course completion to NSF. As part of the settlement, NSF set aside the research misconduct finding.

Accordingly, this case is **closed**.