

NATIONAL SCIENCE FOUNDATION  
OFFICE OF INSPECTOR GENERAL  
OFFICE OF INVESTIGATIONS

**ACTION MEMORANDUM**

**TO:** AIGI

**File Number:** A01070026

**Date:** 2/13/02

**Subject:** Closeout

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On [redacted], we received an authorship complaint. Specifically, it was alleged that a post-doctoral fellow (Researcher<sup>1</sup>) prepared two cDNA libraries while employed in Subject's<sup>2</sup> laboratory, and that Subject later submitted the resulting DNA sequences to GenBank without providing authorship credit. The research was supported under an NSF award<sup>3</sup>.

The matter was opened for preliminary inquiry on [redacted]. After determining that the allegation was supported by information, we closed the preliminary inquiry and opened the matter for formal inquiry on [redacted]. We then identified the GenBank sequence citations and verified that they listed Subject as lead author and did not list Researcher as a co-author. On December 27, we wrote to Subject informing him of the allegation and asking him to describe Researcher's responsibilities in his laboratory, the results of his research, and how authorship was determined on the sequences submitted to GenBank. Subject explained that Researcher left the lab after his contract was not renewed, and that a 'rescue' team later resequenced the data. The resulting sequences were submitted to GenBank with all team members listed as authors. Subject supported his explanation with documentation.

Subject has provided a satisfactory and credible explanation for the omission of Researcher's name from the GenBank citations. Our inquiry has failed to uncover substantive evidence of intellectual theft or other serious deviation from accepted practices. Therefore, this case is closed and no further action will be taken.

<sup>1</sup> [redacted]

<sup>2</sup> [redacted]

<sup>3</sup> [redacted]

Name:	Prepared by:	Cleared by:		
	Agent: [redacted]	Attorney: [redacted]	Supervisor: [redacted]	AIGI [redacted]
Signature & date:				

