NATIONAL SCIENCE FOUNDATION
OFFICE OF INSPECTOR GENERAL
OFFICE OF INVESTIGATIONS

CLOSEOUT MEMORANDUM

Case Number: A05060041

A proactive review for plagiarism in proposal text identified an unsuccessful SBIR proposal[1] that appeared to contain text from a pending patent application.[2] Some of the inventors listed on the patent application appeared in the proposal as consultants but were not identified as the PI, Co-PI, or otherwise as authors of the text. Another inventor,[3] who also appeared on the patent application, was the CEO of the PI's employer.[4] The sole PI[5] on the proposal did not appear anywhere on the patent application. The consultants' other publications were referenced in the proposal, but the patent was not mentioned at all.

We contacted the subject to inquire about the copied text. The subject asserted that he had permission from the consultants and the CEO to use the text and that they had assisted in the proposal's preparation. Based on the statements in the subject's response it was evident that he did not understand the significance of listing himself as the PI and the others as consultants. We have written the PI to alert him of the NSF *Grant Proposal Guide*'s requirement that PIs should identify author(s) other than the PI in the proposal or face potential research misconduct findings.[6]

Accordingly, this case is ***closed***.

[1] [redacted]
[2] U.S. Patent Application [redacted]
[3] [redacted]
[4] [redacted]
[5] [redacted]
[6] NSF *Grant Proposal Guide* (9/04) Chapter 1, Section D.3.