



NATIONAL SCIENCE FOUNDATION  
OFFICE OF INSPECTOR GENERAL  
OFFICE OF INVESTIGATIONS

## CLOSEOUT MEMORANDUM

Case Number: I-16-0101-O

Page 1 of 1

We initiated an investigation into a small business that received two Small Business Innovation Research (SBIR) Phase I awards from NSF since 2009. The investigation was opened from a proactive effort let by another OIG and a U.S. Attorney's Office. We identified concerns with the small business related to the PI primary employment requirement of the program.

During the investigation, we determined that one company PI was not primarily employed by the small business for the duration of the award, contrary to a certification submitted to NSF. However, the U.S. Attorney's Office for the relevant district declined to pursue the case based on statute of limitations concerns and the company's financial condition. Additionally, the relevant PI left the company and we were unable to connect knowledge of the false certifications to the existing company personnel. We issued a warning letter to the company upon closing the case, advising the company to follow the requirements of the SBIR program and to submit accurate certifications to NSF.

This case is **closed** with no further action taken.