



NATIONAL SCIENCE FOUNDATION
OFFICE OF INSPECTOR GENERAL
OFFICE OF INVESTIGATIONS

CLOSEOUT MEMORANDUM

Case Number: I-16-0109-O

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We received allegations of possible duplication of research and conflicts of interest involving an SBIR awardee and its co-founder who was also a PI on an NSF award at a university. Our investigation did not ultimately substantiate these allegations. However, we found that the SBIR awardee did not pay the university its budgeted facilities fees of nearly \$10,000, despite the SBIR awardee certifying in its Final Report that award funds were expended according to the approved award budget. We sent a letter to the SBIR awardee concerning the unexpended funds budgeted for facilities, and the company paid the university its budgeted fees in response. We also found that the co-founder did not include all Current and Pending Support in NSF proposals submitted through the co-founder's university. We issued a letter to the university regarding compliance with NSF policy concerning awardee responsibilities and Current and Pending Support requirements. While the case was initially accepted by the U.S. Department of Justice for potential criminal prosecution, it was ultimately declined.

This case is closed with no further action taken.