



NATIONAL SCIENCE FOUNDATION
OFFICE OF INSPECTOR GENERAL
OFFICE OF INVESTIGATIONS

CLOSEOUT MEMORANDUM

Case Number: I-20-0019-O

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We investigated an allegation that a PI did not disclose foreign affiliations to NSF and sought to use foreign corporations to commercialize technology developed at his university and, subsequently, by a small business funded by NSF. Our investigation found that the PI's NSF award was not related to any of the technology he sought to commercialize. However, email records obtained in the investigation revealed that the PI had sought to use a foreign corporation to commercialize a technology that was developed first at his university's lab and then, subsequently, by a small business that was spun-off from that research. The research was initially funded by an NSF grant to the university and then by NSF SBIR grants to the small business. The PI had no involvement with the small business.

We referred the matter to the U.S. Attorney's Office, which is pursuing criminal prosecution against the PI, but declined to pursue prosecution of conduct related to NSF funds.

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