



NATIONAL SCIENCE FOUNDATION  
OFFICE OF INSPECTOR GENERAL  
OFFICE OF INVESTIGATIONS

## CLOSEOUT MEMORANDUM

Case Number: I15050022

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We received an allegation that a company<sup>1</sup> misrepresented its facilities in an SBIR Phase I proposal<sup>2</sup> and that the Principal Investigator (PI)<sup>3</sup> for the award had a full time position with another company. Our office reviewed internal NSF documents and subpoenaed records from the company's bank. Along with two other agencies involved in the investigation,<sup>4</sup> we conducted interviews of the PI and other relevant individuals. We did not substantiate allegations of any violations of the primary employment rule. The evidence indicated that the work was done at the addresses indicated in the proposal for the NSF Phase I award, but that some of the work on an SBIR Phase II for another agency<sup>5</sup> was done at a different location than proposed without disclosing it to the agency. We referred the matter to the Department of Justice for civil and criminal prosecution and the Department of Justice declined to pursue the case.

This case is closed with no further action taken.

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[Redacted content]