



NATIONAL SCIENCE FOUNDATION
OFFICE OF INSPECTOR GENERAL
OFFICE OF INVESTIGATIONS

CLOSEOUT MEMORANDUM

Case Number: A02020012

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The complainant¹ made allegations of fraud and a Conflict of Interest (COI) against the subject² and COIs against his university.³ The potential criminal and civil violations of those allegations were addressed in a previous case and determined to be unsubstantiated.⁴ This case was opened to address the potential administrative violations of the COIs against the university. Two alleged COIs against the university are the university (1) allows the subject to use his university telephone number as his contact point for his dealings as a partner in a company,⁵ and (2) failed to properly enforce its COI policy as it pertains to the subject's partial ownership of a company.

The subject and his graduate student⁶ previously performed research on an NSF award⁷ to the university that led to a patent held by the university. The subject and his student formed a company to commercialize the results of their research and obtained a license from the university to practice the invention. Three years after the aforementioned NSF award to the university, the company proposed, and received, NSF SBIR⁸ funding.⁹ The subject agreed to be a part time technical consultant for research conducted via the company's NSF grant, but the subject does not receive any funding from the company's NSF grant.

Regarding allegation (1), the subject's use of his university telephone does not raise any significant COI issues involving NSF. Regarding allegation (2), the subject disclosed his relationship with the company to NSF and the university, so there is no COI violation for the university to enforce. There is no evidence to support an allegation against the university. Accordingly, this case is closed and no further action will be taken.

¹ (footnote redacted).

² (footnote redacted).

³ UCLA.

⁴ I01090018.

⁵ (footnote redacted).

⁶ (footnote redacted).

⁷ (footnote redacted).

⁸ Small Business Innovation Research.

⁹ (footnote redacted).

	Agent	Attorney	Supervisor	AIGI
Sign / date				