



NATIONAL SCIENCE FOUNDATION
OFFICE OF INSPECTOR GENERAL
OFFICE OF INVESTIGATIONS

CLOSEOUT MEMORANDUM

Case Number: A11030020

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NSF OIG received an allegation that a company¹ received SBIR funding from both NSF and HHS to develop the same technology. We reviewed the NSF Phase I and Phase II proposals² and the NIH Phase I and Phase II proposals³ and did not find the proposals to be identical or significantly similar in language. Additionally, NSF and NIH documents indicated that the issue of overlap in research had been raised by both NSF and NIH program officers and addressed satisfactorily before funding was granted.

Our review however indicated that the PIs⁴ did not accurately complete the proposals' Current and Pending Support (C&PS) forms. We contacted the PIs. In their response, they said their understanding was that the C&PS form required reporting awarded or pending proposals "that overlap with the project period of performance of the proposal being submitted." They said that "all C&PS's have been 100% accurate and consistent within the context of our understanding above."

Our review of the language in the Grant Proposal Guide at the time of the proposals' submission as well as the current language in the Proposal and Award Policies and Procedures Guide require that all current projects, whether they overlap with the period of performance of the proposal being submitted or not, be included on the C&PS form.

We generated Questionable Administrative Practice letters to the PIs reiterating the need to provide accurate and complete information on their C&PS forms.

Accordingly, *this case is closed with no further action taken.*

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