



NATIONAL SCIENCE FOUNDATION
OFFICE OF INSPECTOR GENERAL
OFFICE OF INVESTIGATIONS

CLOSEOUT MEMORANDUM

Case Number: **I13030012**

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We opened an investigation on a company¹ with multiple SBIR awards² pursuant to a proactive review.³ During our review, we learned that the former NSF Program Officer⁴ in charge of the award was now a board member at the company, and had not mentioned any relationship with the company in annual ethics disclosures.⁵

A review of financial documentation⁶ determined that the former NSF employee did not receive impermissible benefits from the company while at NSF and is not currently on the company payroll. We likewise determined that the third-party investments in the awardee's business were proper.

The investigative issues were not substantiated. Accordingly, this case is closed with no further investigation necessary.

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³ The proactive review focused on investors of SBIR companies. In order for SBIR companies to obtain Phase IB or IIB funding they need to show adequate investments.

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⁵ [REDACTED] assumed the role as Program Officer for the [REDACTED] award during the end of the Phase I award and continued this role until his departure from NSF in June of 2012. [REDACTED] assumed a role on the Board of Directors for [REDACTED] in August of 2012.

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