



## GAO Report on SBIR/STTR Waste Fraud and Abuse (WF&A) Prevention

The federal Government Accountability Office (GAO) submitted an [April 2017 report](#) to Congress on agencies' compliance with the mandated requirements for preventing SBIR/STTR WF&A. The 10 requirements mandated in the 2011 reauthorization of the programs include items such as:

- Requiring award recipients to certify their compliance with specific program requirements
- Posting instructions for reporting WF&A on the agency website
- Including information on successful prosecutions of WF&A
- Improving education and training programs regarding WF&A

GAO reports that in the period 2010-2016 the various Offices of Inspectors General reported 110 SBIR/STTR investigations, resulting in 14 guilty verdicts or pleas and suspension or disbarment of 40 individuals or companies.

Applicant companies should be aware of the [types of activities](#) that might constitute fraud:

- Submitting a plagiarized proposal
- Providing false information about the company, the Principal Investigator, or the work to be performed
- Seeking funding for work that has already been completed
- Using award funds for personal use
- Submitting plagiarized reports or falsely claiming work has been completed
- Claiming results for an award that were funded by a different source

Agencies will typically initiate their own investigation into a report of allegedly fraudulent activities before referring violations to the Department of Justice, if appropriate.