October 16, 2020

The Honorable Marco Rubio  
Chairman  
Committee on Small Business and Entrepreneurship  
United States Senate  
Washington, DC 20510

The Honorable Nydia Velazquez  
Chairman  
Committee on Small Business  
U.S. House of Representatives  
Washington, DC 20515

The Honorable Eddie Bernice Johnson  
Chairman  
Committee on Science, Space, and Technology  
U.S. House of Representatives  
Washington, DC 20515

The Honorable Ben Cardin  
Ranking Member  
Committee on Small Business and Entrepreneurship  
United States Senate  
Washington, DC 20510

The Honorable Steve Chabot  
Ranking Member  
Committee on Small Business  
U.S. House of Representatives  
Washington, DC 20515

The Honorable Frank Lucas  
Ranking Member  
Committee on Science, Space, and Technology  
U.S. House of Representatives  
Washington, DC 20515

Dear Chairmen and Ranking Members:

In accordance with section 5143(c) of the National Defense Authorization Act of 2012,¹ I am pleased to forward this report for the U.S. Department of Transportation Office of Inspector General, regarding our efforts to prevent and detect fraud, waste, and abuse in the Small Business Innovative Research (SBIR) and Technology Transfer (STTR) programs. As the act requires, our report includes

- the number of cases referred to the Inspector General concerning fraud, waste, or abuse in SBIR/STTR programs;
- actions taken when fraud, waste, or abuse was found;
- a justification for no action taken; and

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• an accounting of funds used to address each case of fraud, waste, or abuse, including descriptions of personnel and resources funded and funds recovered or saved.

In fiscal year 2020, we opened and closed no investigations of fraud, waste, or abuse in SBIR/STTR programs. We have one ongoing investigation that we will report on when it has been closed.

If you have any questions, please contact me at (202) 366-1959, or Nathan Richmond, Director of Government and Public Affairs, at (202) 493-0422.

Sincerely,

Howard R. “Skip” Elliott
Acting Inspector General