



NATIONAL SCIENCE FOUNDATION
OFFICE OF INSPECTOR GENERAL
OFFICE OF INVESTIGATIONS

CLOSEOUT MEMORANDUM

Case Number: A15040026

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We received a notice from a grantee institution¹ that its Institutional Review Board (IRB) reported an incident of non-compliance in relation to human subjects research work conducted by a principal investigator (PI)² who was sponsored under an NSF award.³ The IRB temporarily suspended the PI's research work after the IRB sought unsuccessfully to elucidate the determinations by the IRBs for the studies' other site locations, and to determine if 'reportable new information' should have been submitted to the IRB by the PI based on a confidentiality issue. After another review, the IRB made a determination of continuing non-compliance and maintained the suspension of IRB approval. The grantee requested termination of the NSF award as it determined it could not effectively continue the award with the PI. NSF terminated the award in accordance with applicable policy,⁴ with a total of \$258,961 of unexpended award funds that were de-obligated.

Our review of the matter concluded that appropriate actions were taken by the grantee and the IRB to ensure the proper oversight of NSF funded projects involving human subjects. The inability of the grantee to continue to administer the award without the PI led to the award termination. Accordingly, this case is closed with no further action taken.

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⁴ Award and Administration Guide, Chapter VII.A and the Research Terms and Conditions, Chapter III.E.