



NATIONAL SCIENCE FOUNDATION
OFFICE OF INSPECTOR GENERAL
OFFICE OF INVESTIGATIONS

CLOSEOUT MEMORANDUM

Case Number: A15090055

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We received an Institutional Review Board (IRB) determination letter from an institution¹ regarding an incident of noncompliance in the research study of a principal investigator (PI)² supported by an NSF award.³ The IRB determined that research studies were performed in a university classroom setting prior to the appropriate IRB approval of a pending IRB protocol application. The IRB further determined that the PI's conduct constituted continual noncompliance, as other less serious noncompliance incidents occurred in the PI's past NSF-supported⁴ research projects. The IRB took corrective actions that included remedial educational sessions and the destruction of the data collected without IRB approval.

Our review of the matter concluded that appropriate actions were taken by the IRB and the institution to address the noncompliance and ensure the proper oversight in NSF-funded projects involving the use of human subjects as participants. We sent the PI a letter reminding him about IRB approval compliance requirements and his responsibilities when conducting human subjects research work in NSF-funded projects. Accordingly, this case is closed with no further action taken.

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