



NATIONAL SCIENCE FOUNDATION  
OFFICE OF INSPECTOR GENERAL  
OFFICE OF INVESTIGATIONS

## CLOSEOUT MEMORANDUM

Case Number: I-17-0015-O

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We received an Institutional Review Board (IRB) determination letter from an institution regarding an incident of continuing noncompliance in the research study of a principal investigator (PI) supported by an NSF award. The IRB determined that human subject participants were enrolled after the research study's IRB approval expired. The IRB directed the PI to stop data collection and its use. The implemented corrective action plan included the establishment of a new policy for laboratory members on the documentation of IRB training completion, research project completion, and IRB protocol approval, renewal and expiration. Research study participants were re-contacted and a subset gave their informed consent in the use of data collected from the lapse period. An approved IRB protocol replaced the expired protocol and allowed the NSF-funded research study to continue. The IRB did not identify any other incidents of noncompliance in the PI's other research studies.

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 and collecting data in NSF-funded projects. Accordingly, this case is closed with no further action taken.