

**SOP: Investigations**

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**1 PURPOSE**

- 1.1 This procedure establishes the process to conduct investigations.
- 1.2 The process begins when the IRB staff members and chair cannot answer a question required by “SOP: New Information (HRP-024).”
- 1.3 The process ends when the investigation is complete and the answer has been provided to the Institutional Official or designee.

**2 REVISIONS FROM PREVIOUS VERSION**

- 2.1 None

**3 POLICY**

- 3.1 None

**4 RESPONSIBILITIES**

- 4.1 The Institutional Official or designee:
  - 4.1.1 Appoints the members of the investigative committee based on the expertise and background needed to answer the question.
  - 4.1.2 Appoints a chair of the investigative committee.
  - 4.1.3 Charges the investigative committee with the question to be answered.
  - 4.1.4 Charges the investigative committee with a deadline.
- 4.2 Investigative committee members make their decisions based on a preponderance of the evidence.
- 4.3 Investigative committee decisions are made by majority vote.
- 4.4 Individuals being interviewed may have counsel present. However, counsel cannot address the investigative committee. The investigative committee by a vote of the majority may exclude counsel when in the opinion of the investigative committee that person’s presence is disruptive.

**5 PROCEDURE**

- 5.1 Notify the investigator that an investigation is being conducted, the question to be answered, and the time frame for completion.
- 5.2 Determine what information to gather and what individuals to interview.
- 5.3 Gather information and interview individuals.
- 5.4 If the investigative committee believes that a transcription of the interviews will be required to make a proper decision, the investigative committee may request a court stenographer to record all interviews.
- 5.5 Repeat information gathering and interviews until a decision can be made.
- 5.6 The investigative committee provides a written report of the investigative committee’s decision to the Institutional Official or designee.

**6 MATERIALS**

- 6.1 SOP: New Information (HRP-024)

**7 REFERENCES**

- 7.1 None