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| **III.C. JOINT VA/NON-VA inquiry LED BY NON-VA INstitution** |
| ***Requirement*** | **🗸****N/A** | ***Date*****(MM/DD/YYYY)** | ***Reference******VHA Directive 1058.02*** | ***Comments*** |
| 1. | The non-VA institution provided the VA medical facility RIO with written documentation of the terms of the joint inquiry. |  |  | §10.c and Appendix D §2.b.(2) |  |
| 2. | The non-VA institution provided the VA medical facility RIO with a copy of the non-VA institution’s policies and procedures for conducting an inquiry. |  |  | Appendix D §2.b.(2)(a) |  |
| 3. | The VA medical facility RIO forwarded the written terms of the joint inquiry and the non-VA institution’s policies and procedures for conducting an inquiry to the ORO Research Misconduct Officer (RMO). |  |  | §10.c.(3) and Appendix D §2.b.(2)(b) |  |
| 4. | At least one VA representative, who held at least a 5/8ths paid VA appointment at the VA facility, was appointed to the joint inquiry to represent VA’s interests and perspectives. |  |  | Appendix D §2.b.(4)(a) |  |
| 5. | The VA representative(s) serving on the joint Inquiry Committee did *not* have any unmanageable conflicts of interest with respect to the case. |  |  | Appendix D §2.b.(4)(b) |  |
| 6. | The non-VA institution provided the VA medical facility Director with a copy of the Inquiry Memorandum/Report and comments, if any, submitted by the respondent(s). |  |  | Appendix D §2.b.(6) |  |
| 7. | The Inquiry Memorandum/Report, administrative attachments, and evidentiary exhibits were forwarded to the VA medical facility Director and the ORO-RMO. |  |  | Appendix D §2.c.(1) |  |
| 8. | If the Inquiry Memorandum/Report contained a recommendation that an investigation NOT be opened and the VA medical facility Director and ORO concurred with the recommendation, the following individuals/entities were notified in writing of VA’s closure of the case:  |  |  |  |  |
|  | a. | Respondent(s) |  | *(enter date of notification)* | Appendix D §2.c.(1)(d)1 |  |
| b. | Informant(s) |  | *(enter date of notification)* | Appendix D §2.c.(1)(d)1 |  |
| c. | ORO-RMO |  | *(enter date of notification)* | Appendix D §2.c.(1)(d)1 |  |
| d. | Non-VA institution(s) with joint procedural jurisdiction over the allegation(s) |  | *(enter date of notification)* | Appendix D §2.c.(1)(d)1 |  |
| e. | The funding source(s) of the research in question, if such notification is required by applicable regulation or policy. |  | *(enter date of notification)* | Appendix D §2.c.(1)(d)1 |  |
| 9. | If the Inquiry Memorandum contained a recommendation that an investigation NOT be opened and the VA medical facility Director and ORO concurred with the recommendation, the respondent(s) was provided with reasonable assistance in restoring his/her reputation, as appropriate. |  |  | Appendix D §2.c.(1)(d)2 |  |
| 10. | The case file is being retained by the facility in accordance with the applicable records control schedule. |  |  | Appendix D §2.c.(1)(d)3 |  |
| 11. | If the Inquiry Report contained a recommendation that an investigation be opened, go to investigation checklist IV.C. |  |  | Appendix D §2.c.(1)(a) |  |