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| **III.b. JOINT VA/NON-VA inquiry LED BY VA** |
| ***Requirement*** | **🗸****N/A** | ***Date*****(MM/DD/YYYY)** | ***Reference******VHA Directive 1058.02*** | ***Comments*** |
| 1. | The terms of the joint inquiry were documented in the joint committee charge letter or in a separate document. |  | *(enter date of documentation)* | §10.c.(1) |  |
| 2. | Within thirty (30) days of the determination that an inquiry was warranted, the VA medical facility Director appointed, in writing, an Inquiry Committee (i.e., the initiation of the inquiry). |  | *(enter date of appointment letter)* | Appendix C §2.c.(1) | Date of determination that an inquiry was warranted: MM/DD/YYYYDate Inquiry must be completed by: MM/DD/YYYY |
| 3. | The chairperson of the Inquiry Committee held at least a 5/8ths paid VA appointment at the VA facility at the time appointed to conduct the inquiry and had experience conducting research.  |  |  | Appendix C §2.c.(3)(a) |  |
| 4. | The chairperson of the Inquiry Committee had scientific familiarity with the research at issue in the allegation(s) and a professional stature approximately equal to or greater than that of the respondent(s). |  |  | Appendix C §§2.c.(3)(a)1-2  |  |
| 5. | The Inquiry Committee members did *not* have any unmanageable conflicts of interest with respect to the case. |  |  | Appendix C §§2.c.(3)(a)3 and 2.c.(3)(b) |  |
| 6. | There was at least one representative from the participating non-VA institution(s) with joint procedural jurisdiction appointed to the Inquiry Committee. |  |  | Appendix C §2.c.(3)(c) |  |
| 7. | The VA medical facility Director notified, in writing, the following individuals/entities of the opening of the inquiry: |  |  |  |  |
|  | a. | Respondent(s) |  | *(enter date of notification)* | Appendix C §2.c.(5)(a) |  |
| b. | Informant(s) |  | *(enter date of notification)* | Appendix C §2.c.(5)(b) |  |
| c. | The funding source(s) of the research in question, if required by applicable regulation or policy. |  | *(enter date of notification)* | Appendix C §2.c.(5)(c) |  |
| d. | ORO Research Misconduct Officer (RMO) |  | *(enter date of notification)* | Appendix C §2.c.(3)(g) |  |
| 8. | The RIO (or acting RIO) sequestered all relevant evidence prior to or at the time of respondent notification of the opening of an inquiry. |  |  | Appendix C §2.c.(4) |  |
| 9. | The respondent(s) was interviewed. |  | *(enter date of interview)* | Appendix C §2.c.(6)(a) |  |
| 10. | The informant(s) was interviewed |  | *(enter date of interview)* | Appendix C §2.c.(6)(a) |  |
| 11. | Inquiry interviews were recorded. |  |  | Appendix C §2.c.(6)(c) |  |
| 12. | Written requests for extension of the deadline for completing the inquiry were submitted to the ORO-RMO prior to the deadline for completing the inquiry. |  |  | Appendix C §2.c.(2)(c) |  |
| 13. | If additional allegations arose or additional respondents were named during the course of the inquiry, the inquiry appointment letter was amended to include this information. |  | *(enter date of amended appointment letter)* | Appendix C §§2.c.(3)(e)-(f)  |  |
| 14. | If the inquiry appointment letter was amended, a copy of the amended letter was provided to the ORO-RMO. |  |  | Appendix C §2.c.(3)(g) |  |
| 15. | If additional allegations arose during the course of the inquiry, the respondent(s) was notified in writing of the additional allegations. |  | *(enter date of notification)* | Appendix C §2.c.(5) ***NOTES*** |  |
| 16. | The inquiry was completed, including issuance of an Inquiry Report, within 60 days of the inquiry being initiated or by a deadline beyond 60 days that was *approved* by ORO. |  | *(enter Inquiry Memorandum date)* | Appendix C § 2.c.(2) |  |
| 17. | The Inquiry Report indicated the following: |  |  |  |  |
|  | a. | name and position of the respondent(s) |  |  | Appendix C §2.c.(7)(a)1 |  |
| b. | detailed summary of the allegation(s) reviewed |  |  | Appendix C §2.c.(7)(a)2 |  |
| c. | research and funding involved |  |  | Appendix C §2.c.(7)(a)3 |  |
| d. | basis for why each allegation fell within the scope of VHA Directive 1058.02 |  |  | Appendix C §2.c.(7)(a)4 |  |
| e. | recommendation to open or not open an investigation |  |  | Appendix C §2.c.(7)(a)5 |  |
| f. | specification of which allegations, if any, were recommended to be referred to an investigation |  |  | Appendix C §2.c.(7)(a)6 |  |
| g. | description of the evidence reviewed |  |  | Appendix C §2.c.(7)(a)7 |  |
| h. | analysis of how the evidence supported the recommendation |  |  | Appendix C §2.c.(7)(a)8 |  |
| i. | the report represented a joint report of the VA medical facility and the participating non-VA institution |  |  | Appendix C §2.c.(7)(a)9 |  |
| j. | the basis for the participating non-VA institution’s joint procedural jurisdiction |  |  | Appendix C §2.c.(7)(a)9 |  |
| k. | VA led the joint inquiry under the procedures of VHA Directive 1058.02 |  |  | Appendix C §2.c.(7)(a)9 |  |
| 18. | The Inquiry Report was sent to the respondent(s) within the allotted time frame for conducting the inquiry. |  | *(enter date sent)* | Appendix C §2.c.(7)(b) |  |
| 19. | The respondent(s) was afforded five (5) business days from receipt of the Inquiry Report to provide written comments. |  |  | Appendix C §2.c.(7)(b) |  |
| 20. | The respondent’s comments were attached to the Inquiry Report. |  |  | Appendix C §2.c.(7)(b) |  |
| 21. | The Inquiry Report and respondent’s comments, if any, were transmitted to the participating non-VA institution within five (5) business days after the deadline for receipt of the respondent’s comments. |  | *(enter date sent)* | Appendix C §2.c.(7)(c) | Deadline date for receipt of the respondent’s comments: MM/DD/YYYY |
| 22. | The Inquiry Report, administrative attachments, and evidentiary exhibits were forwarded to the VA medical facility Director and the ORO-RMO. |  |  | Appendix C §2.d.(1) |  |
| 23. | If the Inquiry 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 C §2.d.(1)(d)1 |  |
| b. | Informant(s) |  | *(enter date of notification)* | Appendix C §2.d.(1)(d)1 |  |
| c. | ORO-RMO |  | *(enter date of notification)* | Appendix C §2.d.(1)(d)1 |  |
| d. | Non-VA institution(s) with joint procedural jurisdiction over the allegation(s) |  | *(enter date of notification)* | Appendix C §2.d.(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 C §2.d.(1)(d)1 |  |
| 24. | If the Inquiry Report 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 C §2.d.(1)(d)2 |  |
| 25. | The case file is being retained by the facility in accordance with the applicable records control schedule. |  |  | Appendix C §2.d.(1)(d)3 |  |
| 26. | If the Inquiry Report contained a recommendation that that an investigation be opened, go to investigation checklist IV.B. |  |  | Appendix C §2.d.(1)(a) |  |