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| **IV.C. JOINT VA/NON-VA investigation 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 investigation. |  |  | §10.c and Appendix D §3.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 investigation. |  |  | Appendix D §3.b.(2)(a) |  |
| 3. | The VA medical facility RIO forwarded the written terms of the joint investigation and the non-VA institution’s policies and procedures for conducting an investigation to the ORO Research Misconduct Officer (RMO). |  |  | §10.c.(3) and Appendix D §3.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 investigation to represent VA’s interests and perspectives. |  |  | Appendix D §3.b.(4)(a) |  |
| 5. | The VA representative(s) serving on the joint Investigation Committee did *not* have any unmanageable conflicts of interest with respect to the case. |  |  | Appendix D §3.b.(4)(b) |  |
| 6. | The non-VA institution provided the VA medical facility Director with a copy of the final Investigation Report and any written comments on the report submitted by the respondent(s). |  |  |  Appendix D §3.b.(6) |  |
| 7. | The VA medical facility Director certified completion of the investigation within thirty (30) days of receiving the Investigation Report. |  | *(enter date certified)* | Appendix D §3.c.(1) | Date VA medical facility Director received Investigation Report: MM/DD/YYYY |
| 8. | The VA medical facility Director indicated a concurrence or non-concurrence with each of the recommendations regarding the findings and corrective actions in the Investigation Report under VA jurisdiction. |  |  | Appendix D §3.c.(1)(b) |  |
| 9. | If the VA medical facility Director did not concur with a recommendation regarding a finding or corrective action in the Investigation Report under VA jurisdiction, the Director provided a written rationale for the non-concurrence. |  |  | Appendix D §3.c.(1)(b) |  |
| 10. | If the VA medical facility Director made recommendations for additional corrective actions beyond that contained in the Investigation Report under VA jurisdiction, the Director provided a written rationale for the recommendations. |  |  | Appendix D §3.c.(1)(b) |  |
| 11. | The VA medical facility Director transmitted to the ORO-RMO the Director’s certificate of completion, and an electronic copy of the Investigation Report with any relevant administrative attachments and evidentiary exhibits (if provided to the VA facility by the non-VA facility that led the investigation) appended to the report. |  |  | Appendix D §3.c.(1)(e)  |  |
| 12. | If the VISN Director’s decision memorandum did not make any findings of research misconduct, the VA medical facility Director notified, in writing, the following individuals/entities of the case closure: |  |  |  |  |
|  | a. | Respondent(s) |  | *(enter date of notification)* | Appendix E §3.e.(3)(b) |  |
| b. | Informant(s) |  | *(enter date of notification)* | Appendix E §3.e.(3)(b) |  |
| c. | Any non-VA institution with joint jurisdiction over the allegation |  | *(enter date of notification)* | Appendix E §3.e.(3)(b) |  |
| d. | The funding source(s) of the research in question, if required by applicable regulation or policy |  | *(enter date of notification)* | Appendix E §3.e.(3)(b) |  |
| 13. | If the VISN Director’s decision memorandum made any findings of research misconduct, and after completion of an appeal, if any, the VA medical facility Director notified, in writing, the following individuals/entities of the final outcome and case closure: |  |  |  |  |
|  | a. | Informant(s) |  | *(enter date of notification)* | Appendix E §3.e.(2)(b) and Appendix F §2.d.(2) |  |
| b. | Any non-VA institution with joint jurisdiction over the allegation |  | *(enter date of notification)* | Appendix E §3.e.(2)(b) and Appendix F §2.d.(2) |  |
| c. | The funding source(s) of the research in question, if required by applicable regulation or policy |  | *(enter date of notification)* | Appendix E §3.e.(2)(b) and Appendix F §2.d.(2)  |  |
| 14. | The case file, including at least one copy of the Investigation Report and any attachments or evidentiary exhibits provided to or in the possession of the VA facility, is being retained by the VA facility in accordance with the applicable records control schedule. |  |  | Appendix E §§3.e.(2)(c) and 3.e.(3)(d) |  |