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| **III.A. VA-only inquiry** | | | | | | |
| ***Requirement*** | | | **🗸**  **N/A** | ***Date***  **(MM/DD/YYYY)** | ***Reference***  ***VHA Directive 1058.02*** | ***Comments*** |
| 1. | Within thirty (30) days of the determination that an inquiry was warranted, the VA medical facility Director appointed, in writing, an individual or committee to conduct an inquiry (i.e., the initiation of the inquiry). | |  | *(enter date of appointment letter)* | Appendix B §2.c.(1) | Date of determination that an inquiry was warranted: MM/DD/YYYY  Date inquiry must be completed by: MM/DD/YYYY |
| 2. | If an individual was appointed to conduct the inquiry, the individual 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 B §2.c.(3) |  |
| 3. | If an individual was appointed to conduct the inquiry, the individual had scientific familiarity with the research at issue in the allegation(s), professional stature approximately equal to or greater than that of the respondent(s), and *no* unmanageable conflicts of interest with respect to the case. | |  |  | Appendix B §§2.c.(3)(a)1-3 |  |
| 4. | If a committee was appointed to conduct the inquiry, the chairperson 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 B §2.c.(3)(c) |  |
| 5. | If a committee was appointed to conduct the inquiry, the chairperson had scientific familiarity with the research at issue in the allegation(s), professional stature approximately equal to or greater than that of the respondent(s), and *no* unmanageable conflicts of interest with respect to the case. | |  |  | Appendix B §2.c.(3)(c) |  |
| 6. | If a committee was appointed to conduct the inquiry, the members did *not* have any unmanageable conflicts of interest with respect to the case. | |  |  | Appendix B §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 B §2.c.(5)(a) |  |
| b. | Informant(s) |  | *(enter date of notification)* | Appendix B §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 B §2.c.(5)(c) |  |
| d. | ORO Research Misconduct Officer (RMO) |  | *(enter date of notification)* | Appendix B §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 B §2.c.(4) |  |
| 9. | The respondent(s) was interviewed. | |  | *(enter date of interview)* | Appendix B §2.c.(6)(a) |  |
| 10. | The informant(s) was interviewed | |  | *(enter date of interview)* | Appendix B §2.c.(6)(a) |  |
| 11. | Inquiry interviews were recorded. | |  |  | Appendix B §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 B §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 B §§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 B §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 B §2.c.(5)(a) ***NOTE*** |  |
| 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 Report date)* | Appendix B §2.c.(2) |  |
| 17. | The Inquiry Report indicated the following: | |  |  |  |  |
|  | a. | name and position of the respondent(s) |  |  | Appendix B §2.c.(7)(a)1 |  |
| b. | detailed summary of the allegation(s) reviewed |  |  | Appendix B §2.c.(7)(a)2 |  |
| c. | research and funding involved |  |  | Appendix B §2.c.(7)(a)3 |  |
| d. | basis for why each allegation fell within the scope of VHA Directive 1058.02 |  |  | Appendix B §2.c.(7)(a)4 |  |
| e. | recommendation to open or not open an investigation |  |  | Appendix B §2.c.(7)(a)5 |  |
| f. | specification of which allegations, if any, were recommended to be referred to an investigation |  |  | Appendix B §2.c.(7)(a)6 |  |
| g. | description of the evidence reviewed |  |  | Appendix B §2.c.(7)(a)7 |  |
| h. | analysis of how the evidence supported the recommendation |  |  | Appendix B §2.c.(7)(a)8 |  |
| 18. | The Inquiry Report was sent to the respondent(s) within the allotted time frame for conducting the inquiry. | |  | *(enter date sent)* | Appendix B §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 B §2.c.(7)(b) |  |
| 20. | The respondent’s comments were attached to the Inquiry Report. | |  |  | Appendix B §2.c.(7)(b) |  |
| 21. | The Inquiry Report, administrative attachments, and evidentiary exhibits were forwarded to the VA medical facility Director and the ORO-RMO. | |  |  | Appendix B §2.d.(1) |  |
| 22. | 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 B §2.d.(1)(c)1 |  |
| b. | Informant(s) |  | *(enter date of notification)* | Appendix B §2.d.(1)(c)1 |  |
| c. | ORO-RMO |  | *(enter date of notification)* | Appendix B §2.d.(1)(c)1 |  |
| d. | Non-VA institution(s) with joint procedural jurisdiction over the allegation(s) |  | *(enter date of notification)* | Appendix B §2.d.(1)(c)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 B §2.d.(1)(c)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 respondent(s) was provided with reasonable assistance in restoring his/her reputation, as appropriate. | |  |  | Appendix B §2.d.(1)(c)2 |  |
| 24. | The case file is being retained by the facility in accordance with the applicable records control schedule. | |  |  | Appendix B §2.d.(1)(c)3 |  |
| 25. | If the Inquiry Report contained a recommendation that an investigation be opened, go to investigation checklist IV.A. | |  |  | Appendix B §2.d.(1)(a) |  |