

Appendix 3: Checklist Investigation Procedure

The Designated Officer (DO) will provide the procedures for the Investigation Panel. These procedures should include:

Develop terms of reference and scope for the Panel that are appropriate and proportionate to the nature of the allegation (see Appendix 2)	<input type="checkbox"/>
Determine size (the Panel must consist of the Chair and at least two other people) and composition of the Panel	<input type="checkbox"/>
Arrange secretarial support	<input type="checkbox"/>
Inform other units of the University of the investigation as required and appropriate	<input type="checkbox"/>
Advise the respondent (and if appropriate, the complainant) on the composition of the Panel and provide opportunity for the respondent to raise any concerns	<input type="checkbox"/>
Establish the Panel	<input type="checkbox"/>
Provide the Panel with an opportunity to comment on the Terms of Reference and scope	<input type="checkbox"/>
Provide the respondent the opportunity to respond to the allegation and inform them of the Managing and Investigating Potential Breaches of the Code for the Responsible Conduct of Research (Research Code) Procedure, including the role of a support person.	<input type="checkbox"/>
Provide guidance on the appropriate procedures for the investigation to the Panel, such as this Procedure, the Research Code and any relevant government or institutional processes.	<input type="checkbox"/>
Provide the Panel with all available information that will inform the investigation, which may include: <ul style="list-style-type: none"> • the initial complaint • all relevant information assembled by the AO • records of the conduct of the preliminary assessment • the report of the preliminary assessment • records of any communications on the matter involving the DO, the AO, the complainant and/or the respondent 	<input type="checkbox"/>
Ensure that the Panel has the authority to access all relevant information and documentation	<input type="checkbox"/>
Support the Panel to develop an investigation plan that includes the following: <ul style="list-style-type: none"> • identification of the avenues of inquiry, including interviewing people who the Panel considers relevant to the matter • the frequency of Panel meetings • the timeline for conducting interviews • the timeframe for submitting draft report to respondent • the timeframe for submitting the report to the DO • Inform the Panel of the reporting requirements 	<input type="checkbox"/>