

## Appendix 1: Checklist for Preliminary Assessment

The Designated Officer (DO) will assign the complaint to a suitable Assessment Officer who should:

Prepare and retain records of the preliminary assessment	<input type="checkbox"/>
Obtain information provided by the complainant and seek further facts and information as required	<input type="checkbox"/>
Gather and secure facts and information	<input type="checkbox"/>
Clarify facts and/or information with the respondent if appropriate	<input type="checkbox"/>
Obtain facts, information and/or advice from across the institution if required	<input type="checkbox"/>
Determine if and how other institutions need to be involved in the matter	<input type="checkbox"/>
Provide written advice provided to DO that includes: <ul style="list-style-type: none"><li>• a summary of the process that was undertaken</li><li>• an inventory of the facts and information that were gathered and analysed</li><li>• an evaluation of facts and information</li><li>• how the potential breach relates to the principles and responsibilities of the Research Code and/or other institutional processes</li><li>• recommendations for further action</li></ul>	<input type="checkbox"/>
The DO will assess all facts and information to determine outcome	<input type="checkbox"/>
The DO will advise the outcome of preliminary assessment to the complainant, respondent and other relevant parties such as funding bodies, as appropriate	<input type="checkbox"/>