

## 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	
Obtain information provided by the complainant and seek further facts and information as required	

Gather and secure facts and information

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