

# Project Reporting Guidelines

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## Introduction

The vision of the Minerals Research Institute of Western Australia (MRIWA) is for minerals research to advance WA.

The reporting of research contributes to two key pillars within the MRIWA strategic plan:

- **IMPACTFUL RESEARCH** where applied research creates capability and delivers economic and social benefit for Western Australia;
- **KNOWLEDGE TRANSFER** so minerals research outcomes are implemented to deliver value for the State.

The Lead Investigator and representatives from the Participating Organisations are instrumental in achieving these goals.

MRIWA has issued this guidance to ensure clarity in expectations of reporting both during and after the conclusion of research activity.

In doing so, MRIWA seeks to:

- enable technical interchange between the research team and industry partners to ensure the results of the research are more likely to be applied in practice and lead to commercial application;
- support researchers to communicate their research findings broadly; and
- be able to assess impact and demonstrate how minerals research delivers benefit to the State.

The Lead Investigator and research team, in consultation with MRIWA and the Sponsor(s) may determine the means and level of communication throughout the project, but are required to meet the following formal reporting obligations:

- Progress Reports
- Financial Statements
- Sponsor Review Meetings
- Final Technical Report
- Project Evaluation Form
- Report Release Plan



## At Project Commencement

MRIWA seeks to maximise opportunities to communicate information on currently supported projects, while also protecting any confidential project information.

The public release of high-level information on current projects can assist with Knowledge Transfer regarding the challenge or issue being addressed.

### Project Summary

The Project Summary includes non-confidential information on the Project and is published on the MRIWA website.

This Summary includes the:

- project title;
- program and theme;
- start and end date;
- project participants; and
- budget.

MRIWA will work with the Lead Investigator and the Participating Organisations to prepare a brief project summary describing the challenge the Project will address, the solution the Project will deliver and potential impact of the Project's findings for Western Australia.

The summary should be written for a non-scientific audience.

### Environmental Scan

As part of the Application, the research team is expected to undertake a review of relevant peer-reviewed literature and current industry practice relevant to the challenge or issue to be addressed.

Unless otherwise agreed, the Lead Investigator is required to provide MRIWA with a detailed Environmental Scan within three (3) months of the project commencement.

This scene-setting report may describe current research and industry knowledge and practice and, where relevant, the economic, environmental, legal, sociological and technological contexts likely to impact the challenge or issue in the short, medium and long term.

This may include, but is not limited to identifying external opportunities and threats including trends occurring in industry that could influence the future direction of the project.

The report is intended for public release and should be written for a non-scientific audience.



## During the Project

The following reporting activities occur throughout the course of an Approved Project. All reporting obligations are included in the Conditions of Grant, which is negotiated between MRIWA and the Participating Organisations.

### Progress Report

The Progress Report:

- details the Project's progress against the scope, schedule and budget agreed between MRIWA and the Participating Organisations;
- provides an update on research findings and project deliverables;
- is submitted by the Lead Investigator to MRIWA and is circulated to all Sponsors participating in the Project;
- is submitted in accordance with the timing and frequency stated in the Conditions of Grant; and
- will be used by MRIWA to monitor the progress of a Project, with MRIWA's acceptance of a progress report a precondition for payment of research claims to the Grantee(s).

The Progress Report is an opportunity for the Lead Investigator and research team to engage with the Sponsors and to facilitate conversations to drive the research forward.

MRIWA does not require the Progress Report be submitted in a specified format but does require the following identifiers to be included on each report:

- Project name and number;
- Lead Investigator and Lead Organisation;
- Reporting period; and/or
- Milestone(s) achieved (if applicable).

In addition, MRIWA encourages the inclusion of key information pertinent to the progress of the Project. This may include, but is not limited to:

- key activities, findings and results to date, with reference to the research aims, milestones and deliverables agreed between MRIWA and the Participating Organisations;
- appointment and updates on the activity of any research students funded by the grant;
- any internal and/or external factors which have impacted the Project's progress, including emerging opportunities, risks and issues and the action(s) taken to mitigate any negative impact;
- activities to be undertaken and proposed use of Grant Funds for the upcoming period, including where revisions to original project plan may be required;
- additional support requirements identified for the upcoming period, if required;
- engagement activities with stakeholders/end-users, including the communication of research progress and results;
- progress on commercialisation activities, including patents filed/granted, invention disclosures, copyrights, licenses, where relevant; and
- details of publications and presentations (academic and lay) which include results obtained from this grant e.g., articles, meeting abstracts, conference presentations etc.



## Sponsor Review Meeting

The Sponsor Review Meetings are comprised of the kick-off meeting and regular review meetings held throughout the project with the Sponsors, MRIWA, and other Project Participants.

The Lead Investigator is responsible for scheduling Sponsor Review Meetings. Any Party, including MRIWA, may request additional meetings, where required.

### *Kick-off meeting*

The kick-off meeting should be held within one month of the execution of the Conditions of Grant.

Key topics to be covered include:

- briefing against the scope;
- proposed methodology;
- data requirements; and
- developments requiring changes to the approved Application, if any.

### *Regular review meetings*

Regular review meetings will generally be held at the time the Lead Investigator submits the Progress Report.

Key topics to be covered include:

- progress to date against milestones, scope, schedule and budget;
- key findings and project outputs;
- progress of research students funded by the grant;
- emerging risks to the successful execution of the research in accordance with the approved Application and Conditions of Grant; and
- proposed publications or presentations which include details of work undertaken or results obtained from this Project.

### *Record of meeting*

The Lead Investigator is responsible for capturing a written summary of the meetings, which should include:

- attendees;
- record of items discussed;
- decisions made at the meeting; and
- actions agreed to.

The meeting summary will be submitted to MRIWA and circulated to all Project Participants post the meeting.

## Financial Statement

Where payment of funds by MRIWA to a Grantee is requested, a Financial Statement must be submitted detailing the incurred expenditure.

The Financial Statement must also report on funds paid by Sponsors direct to the Grantee.

All payments by MRIWA are made in arrears, based on actual expenditure and will not exceed the cumulative agreed value in the research payment schedule outlined in the Conditions of Grant.

MRIWA reserves the right to request further evidence of expenditure prior to making a payment.

Financial Statements should be prepared using the Financial Statement Template and be submitted to MRIWA at the time of submitting the associated Progress Report.

### *Supporting Documentation:*

Financial Statement Template



## At completion of the Project

MRIWA actively encourages the communication and dissemination of research findings to foster the use and commercial application of research results.

All reporting obligations at the conclusion of the Project are incorporated into the Conditions of Grant, which is negotiated between MRIWA and the Participating Organisations.

This may include the provision of a technical report on the research findings which will be made publicly available.

Alternative final reporting options will be considered if it is able to be demonstrated they will result in greater utilisation of the research outcomes.

## Final Technical Report

The Final Technical Report (Technical Report):

- is a detailed report, written for public release and consumption;
- provides key background information, the Project's hypotheses, methods, data, results, analyses and interpretation, conclusions and applications of the research findings;
- should be a stand-alone document and not rely on previous Progress Reports or publications;
- represents a formal government document of record and should be prepared to standards of writing and presentation appropriate to that status;
- must be approved by all Participating Organisations and MRIWA prior to being finalised;
- should be prepared following the format and guidelines provided by MRIWA; and
- is submitted to MRIWA with the Final Financial Statement.

Acceptance of the Technical Report is a precondition for MRIWA to release the final payment.

The Technical Report will be made available for download on the MRIWA website

<https://www.mriwa.wa.gov.au/research-projects/project-portfolio/>

### *Formatting requirements*

The Technical Report should include:

- the pre-formatted MRIWA Cover Page;
- appropriate acknowledgement of the financial support provided by MRIWA and the Participating Organisations;
- a succinct Executive Summary
- a table of contents;
- list of tables and figures; and
- references.

At a minimum the Technical Report should cover the following topics:

- background to the issue;
- objectives of the research;
- methodology utilised;
- results and findings;
- discussion; and
- conclusions and recommendations.

The use of graphs and tables in the Technical Report to summarise data is strongly encouraged.

Where possible, MRIWA encourages the deposit of non-confidential data in an open access repository.

### *Supporting Documentation*

MRIWA Final Report Cover Page Template



## Final Financial Statement

MRIWA will only release the final payment for the withholding amount on acceptance of the Technical Report (or agreed alternative final deliverables) and following approval by MRIWA of the final Financial Statement.

MRIWA reserves the right to request further evidence of receipt of Direct Sponsor payments by the Grantee throughout the Project's duration.

The Financial Statement claiming the withholding amount should be submitted to MRIWA with the final version of the Technical Report.

## Report Release Plan

MRIWA has a strong focus on knowledge transfer from research into practice to enable the minerals community to benefit through the application of research results.

MRIWA will work with the Lead Investigator and the Participating Organisations to prepare a Report Release Plan to maximise knowledge transfer opportunities.

The Report Release Plan describes the information which will be communicated in relation to the publication of the Technical Report and the channels through which MRIWA will distribute the information.

The Report Release Plan will include a brief project summary, written for public release, describing the challenge the Project addressed, the key findings and impact of the Project's findings in Western Australia. The summary should be written for a non-scientific audience.

The Report Release Plan is generally developed in parallel with review of the Technical Report by the Participating Organisations.

Unless otherwise agreed, this information will be made available on the MRIWA website and may be used in the MRIWA annual report.

### *Supporting Documentation*

Financial Statement Template



## Project Evaluation Form

The Project Evaluation Form (Evaluation Form):

- summarises the Project's achievements, outputs and outcomes;
- is submitted by the Lead Investigator to MRIWA and is circulated to all Sponsors participating in the Project;
- should be prepared using the Evaluation Form and be submitted to MRIWA, within four (4) weeks of acceptance of the Technical Report; and
- may be used by MRIWA in conjunction with the Application and Project Evaluation Form – Addendum, to evaluate MRIWA's research grant funding program.

The Evaluation Form is intended to be written for a general audience and may be shared with the MRIWA Board and members of the MRIWA College.

## Follow-Up Project Evaluation Form

Knowledge transfer and the subsequent impact of the research occurs over a longer period of time following the completion of a research project.

For this reason, Lead Investigators are requested to provide MRIWA with an additional completed Follow-Up Evaluation Form after 12 months, or as otherwise agreed with MRIWA, following the submission of the Technical Report.

This report will be an opportunity for the Lead Investigator to update MRIWA on the impact of the research, dissemination activities and any commercial application of the research outcomes occurring following the Project's completion.

MRIWA may seek additional information from the Lead Investigator, Project Participants and Participating Organisations following this period and may use this information to undertake an economic impact assessment and evaluation of the overall MRIWA research grant funding program.

### *Supporting Documentation*

Project Evaluation Form



## Glossary

**Application** means the application submitted to MRIWA to obtain financial assistance in order to conduct the Project.

**Approved Project** means a Project which has been approved by the MRIWA Board for funding.

**Conditions of Grant** means the agreement entered into by MRIWA and the Participating Organisations when an Application is approved for funding.

**Grant Funds** means the combined MRIWA Commitment and Sponsor Organisation Commitments, including Direct Amounts to be paid in part or entirety over the Project to the Grantee(s).

**Grantee** means a Participating Organisation who will receive Grant Funds.

**Lead Investigator** means the Project supervisor and officer representing a Lead Organisation and directly responsible for the conduct of the Project.

**Lead Organisation** means the organisation responsible for submitting the Application and who will take responsibility for the research component of the Project.

**Letter of Support** means a formal document provided by the Sponsor as part of the Application with a written confirmation of the Sponsor's cash investment to the Project.

**MRIWA** means the Minerals Research Institute of Western Australia established under the MRIWA Act.

**MRIWA Act** means the *Minerals Research Institute of Western Australia Act 2013 (WA)*.

**MRIWA Board** means the board provided for in section 26(1) of the Act

**MRIWA College** means the persons appointed by the MRIWA Board to provide a pool of expertise on which MRIWA may call to assist with the assessment of Applications.

**Other Organisation** means an organisation named on the Application which is not the Lead Organisation, Research Organisation or a Sponsor.

**Participating Organisation** means an organisation named on the Application and may include the Lead Organisation, Sponsor Research Organisation or Other Organisation.

**Parties** means all Participating Organisations to the Conditions of Grant and **Party** means any one of them.

**Project** means the research project named and outlined in an Application.

**Project Participant** means a person named in the Application who will provide an important intellectual or practical contribution to the Project.

**Research Organisation** means an organisation named on the Application, which is not the Lead Organisation, who will be conducting research.

**Sponsor** means a Participating Organisation who will provide a cash contribution to the Project.

