

Guidelines for MinEx CRC Reports, Publications, Theses and Presentations: Approvals and Formats

1. Introduction

Publication of papers and other forms of dissemination of information by MinEx CRC researchers is encouraged. However, it is necessary to ensure that the benefits of publication and presentation outweigh the potential loss of commercially valuable Intellectual Property rights and that confidential information is protected. It is also necessary to ensure and that MinEx CRC is duly acknowledged and that reports, publications, theses and presentations are registered with a MinEx CRC Document/Presentation reference number, stored in the central database and made available to Participants and Affiliates. It is also important, both for the MinEx CRC's brand and for ease of use by a wide variety of end-users, that internal MinEx CRC reports have a uniform appearance and structure.

This document contains guidelines for obtaining approval of reports, publications, theses and presentations from the MinEx CRC. The form for obtaining the required approvals is attached as Appendix A. This document also contains formatting guidelines for MinEx CRC reports and presentations (Appendices B & C).

TYPE OF DOCUMENT	CIRCULATION ONCE APPROVED	APPROVER
Quarterly Project Report	Internal (CRC only)	Project Leader submits
Interim Technical Report	Internal (CRC only)	Project Leader, Program Leader or CEO
Final Project Report	Internal (CRC only)	Project Leader, Program Leader or CEO
Scientific Publications	Public	Project Leader, Program Leader or CEO
MinEx CRC Annual Report	Public (but notably DIISR)	CEO
PhD Thesis	Embargoed then Public	Project Leader, Program Leader or CEO
Internal Presentation	Internal (CRC only)	None
External Presentation	Public	Program Leader or CEO
Other Publication	Public	Project Leader, Program Leader or CEO

Summary of MinEx CRC document types, their circulation and required format and approvals. Note that in all cases except Quarterly Project Reports, Annual Report and Internal Presentations, the form for 'Approval of Reports, Publications, Theses and Presentations' must be completed. An author cannot authorise their own document/presentation.

2. Types of Documents

Quarterly Project Reports

Quarterly Project Reports are by Project Leaders. The reports are reviewed by Program Leaders, Chairs of Project Review Panels and the CEO. No further information on quarterly project reports is included in this document.

Interim Technical Reports

Interim Technical Reports are prepared as required by Project Milestones or on an *ad hoc* basis if required. A template is provided for these reports in Appendix B. These reports are confidential to the CRC and its Participants and Affiliates so may contain information that would not be released in

public documents. Note that in some cases confidential data provided by companies to CRC projects cannot be circulated even internally within CRC technical reports and only derived results may be circulated. If companies have provided confidential data please check the conditions for the provision of such. Interim Technical Reports may be approved by Project Leaders, Program Leaders or the CEO. Interim Technical Reports must not be circulated outside of the MinEx CRC without the approval of the CEO. The form for 'Approval of Reports, Publications, Theses and Presentations' must be completed for Interim Technical Reports. As specified in the Participants Agreement, authors must allow 30 days for approval of reports and publications.

Final Project Reports

Final Reports are required for all projects. The template for these reports is the same as for interim technical reports and is provided in Appendix B. These reports are confidential to the CRC and its Participants and Affiliates so may contain information that would not be released in public documents. Note that in some cases confidential data provided by companies to CRC projects cannot be circulated even internally within CRC technical reports and only derived results may be circulated. If companies have provided confidential data please check the conditions for the provision of such. Final Project Reports may be approved by Project Leaders, Program Leaders or the CEO. Final Project Reports must not be circulated outside of the MinEx CRC without the approval of the CEO. The form for 'Approval of Reports, Publications, Theses and Presentations' must be completed for Final Project Reports.

MinEx CRC Annual Reports

MinEx CRC's annual report to DIISR will be produced by the CRC Head Office staff based on the quarterly, reports and other information submitted during that year. Additional input will be sought from Program Leaders, Project Leaders and Researchers as required. A short form annual report is also likely to be produced for publicity purposes. No further information on annual reports is included in this document.

Scientific Publications (including Conference Abstracts)

Scientific publications refer to the reporting of MinEx CRC projects in scientific journals and conference proceedings (including conference abstracts). The format of such must follow that required by the journal. This category of document will have circulation outside of the CRC and there are requirements that must be met in terms of the seeking approval to publish, notably regarding IP, confidentiality, the use of logos and acknowledgement. These requirements are summarised below and extracted from the MinEx CRC's Participants Agreement. The form for 'Approval of Reports, Publications, Theses and Presentations' must be completed for Scientific Publications.

Other Publications

Other publications include articles for trade press, items on web pages, advertising material, brochures/flyers and any material other than scientific publications that are in the public domain. The format of such will generally be prescribed by where it is being published or developed in collaboration with the MinEx CRC's communications consultants (e.g. in the case of brochures and flyers). This category of document will have circulation outside of the CRC and there are requirements that must be met in terms of the seeking approval to publish, notably regarding IP, confidentiality, the use of logos and acknowledgement. These requirements are summarised below and extracted from the MinEx CRC's Participants Agreement. The form for 'Approval of Reports, Publications, Theses and Presentations' must be completed for Scientific Publications.

MinEx CRC Limited

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ABN: 66 625 533 913

PhD Theses

See also Research Student Commencement form regarding the submission of PhD theses and making such publicly available.

A PhD thesis may be submitted for examination in accordance with the normal procedures of the University at which the student is enrolled, provided that the:

- form for 'Approval of Reports, Publications, Theses and Presentations' has been completed;
- examiners are subject to written obligations of confidentiality;
- the thesis is embargoed for the maximum period stipulated in the University's rules unless specifically exempted from such, and;
- CEO is provided with a copy of the thesis.

It is good practice for the student researcher to inform the CEO, Program Leader and Project Leader of the impending submission, to enable the University and CRC sufficient time to implement these confidentiality requirements.

Presentations

This category includes presentations within the MinEx CRC and presentations to external audiences. Presentations within MinEx CRC do not require formal approval, but it is strongly recommended that Internal Presentations are reviewed and 'dry-run' with Project and/or Program Leaders. Note that in some cases confidential data provided by companies to CRC projects cannot be circulated even internally within CRC presentations and only derived results may be presented. If companies have provided confidential data please check the conditions for the provision of such.

For presentations given outside of the MinEx CRC (i.e. to audiences that include non CRC Participants and Affiliates), there are requirements that must be met in terms of the seeking approval to present, notably regarding IP, confidentiality, the use of logos and acknowledgement. These requirements are summarised below and extracted from the MinEx CRC's Participants Agreement. The form for 'Approval of Reports, Publications, Theses and Presentations' must be completed for External Presentations.

External Presentations, often produced close to the deadline for presentation, present perhaps the greatest risk of inappropriate public exposure of commercially sensitive IP or data provided confidentially. MinEx CRC particularly requests all its researchers consider such in preparing external presentations. In recognition of this risk and to maximise chance of observance of this policy:

- the review (approval) period for External Presentations has been reduced from the 30 days required in the Participants Agreement to 7 days, and;
- it is not critical that presentations be in their final format, but it is vital that any IP or data being presented be clear so that approvers can ensure that no potentially commercially valuable IP or confidential data are inappropriately divulged in a public forum.

An author may not approve their own document/presentation. Hence if a Project Leader authors an interim report, approval must come from the Program Leader or CEO. If a Program Leader authors a scientific publication, the CEO must approve it.

3. MinEx CRC Approvals

The purpose of the MinEx CRC approvals process is to ensure that:

- commercially valuable Intellectual Property rights are not compromised by the release of confidential information or the premature publication of research results and in particular that researchers do not publish or disclose IP so as to preclude the grant of a patent (or other Intellectual Property protection);
- information provided confidentially to MinEx CRC is not inadvertently released in either internal or external Reports, Publications, Theses or Presentations;
- internal reports and papers submitted for publication are sufficiently meritorious and professionally prepared;
- MinEx CRC and the CRC Program receives proper acknowledgment of its contribution to published results, and;
- Reports, Publications, Theses and Presentations are registered with a MinEx CRC reference number, with copies stored in the central database and made available to Participants and Affiliates.

The MinEx CRC recognises that individual researchers, their Participant organisations and notably journals themselves (via referees and editors) are concerned with ensuring that publications are sufficiently meritorious and professionally prepared. MinEx CRC does not wish to institute parallel processes to these regarding the quality of publications. However, these processes are not geared to covering off on IP considerations, confidentiality, appropriate acknowledgement and records keeping. Those with the authority to approve MinEx CRC publications are requested to give these matters particular consideration.

Authors must allow 30 days for approval of reports and publications and 7 days for approval of External Presentations.

Form of Acknowledgement of MinEx CRC in Reports, Publications & Theses

Publications should include MinEx CRC and institutional affiliations in the address block of authors and acknowledge MinEx CRC and the CRC Program in the acknowledgements as follows. If such are unacceptable to the Journal, please contact the CEO to approve a variation.

Address Block

Preferably: "Mineral Exploration Cooperative Research Centre, School of Earth & Environmental Sciences, University of Adelaide"
"Mineral Exploration Cooperative Research Centre,, CSIRO, Queensland Centre for Advanced Technologies, Australia"
Or: MinEx CRC, Department of Petroleum Engineering, Curtin University, Australia"

Acknowledgements

"The work has been supported by the Mineral Exploration Cooperative Research Centre whose activities are funded by the Australian Government's Cooperative Research Centre Programme. This is MinEx CRC Document 20**/****"

MinEx CRC Document/Presentation Reference Number

A Document/Presentation reference number will be assigned upon approval.

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Form of Acknowledgement of MinEx CRC in Presentations

As above.

Databases

The MinEx CRC will make all documents and presentations available to Participants and Affiliates via online databases and is also obliged to submit all publications to the National Library of Australia via Legal Deposit.

4. Extract from Participants Agreement

This document provides guidelines for implementing the regulations with respect to Reports, Publications, Theses and Presentations to which all Participants have agreed in the Participants Agreement. The relevant sections of the Participants Agreement are reproduced below.

32. Student involvement

Participants who have enrolled students who are involved in the Activities, or who have students under their supervision, acknowledge and agree that:

- (a) they must ensure that those students comply with clause **Error! Reference source not found.**;
- (b) they must ensure that Project IP developed by the student is owned in accordance with clause **Error! Reference source not found.**, provided that the student will own the copyright in his or her thesis;
- (c) the only restrictions on publishing a student's thesis will be those reasonably necessary to protect Confidential Information of a Party, Background IP and Project IP;
- (d) an examiner may be required to sign a confidentiality agreement to protect Confidential Information; and
- (e) before a student becomes involved in any Activities, MinEx may require that the student and the research organisation or Participant in which the student is enrolled enter into a written agreement, in a form approved by MinEx, setting out the terms on which the student is involved in the Activities, which will be consistent with the principles in this clause 0.

33. Publications

- (f) The Parties acknowledge that the dissemination of knowledge is an important function of the Centre. Nonetheless, the Parties must not publish any information or material arising from the Activities except in accordance with this clause 0, provided always that MinEx may note the identity of the Participants in any Centre-related publication.
- (g) MinEx may publish information or material arising from the Activities if it decides at its absolute discretion that the benefits of publication, having regards to the Centre Objectives, outweigh any potential loss of commercially valuable Intellectual Property or other potential disadvantage for MinEx, the Participants or the Centre.

- (h) At least 30 days prior to any submission for a publication, a Participant wishing to publish information or material arising from the Activities (**Requesting Party**) must forward a request in writing to MinEx, seeking permission to publish the information or material, and specifying in the request any Project IP or Confidential Information contained or referred to in the proposed publication.
- (i) MinEx must notify the Requesting Party of its decision as to publication of the relevant information or materials within 30 days of receipt of a request. MinEx's permission may be subject to any conditions that MinEx may reasonably impose, including a requirement that the publication comply with any relevant provisions of the Grant Agreement, and include acknowledgements of:
 - (i) the Centre's role in and contribution to the creation of the information or material in the publication; and
 - (ii) the Requesting Party's affiliation with the Centre.
- (j) If MinEx decides in its absolute discretion that the benefits of the Requesting Party's publication, having regards to the Centre Objectives, outweigh the potential loss of commercially valuable Intellectual Property or other potential disadvantage for MinEx, the Participants or the Centre, then MinEx will notify the Requesting Party that permission to publish has been granted, and notify the other Participants to that effect.
- (k) If MinEx decides in its absolute discretion that the benefits of publication, having regards to the Centre Objectives, do not outweigh the potential loss of commercially valuable Intellectual Property or other potential disadvantage for MinEx, the Participants or the Centre, then MinEx will notify the Requesting Party to that effect, giving reasons for the decision, and either:
 - (i) suggest alterations to the publication so that it does not disclose information affecting the commercially valuable Intellectual Property; or
 - (ii) if altering the publication is impractical, delay publication for a stipulated period as determined by the Board, but not exceeding 18 months from the date of the request in the case of a student thesis.
- (l) Notwithstanding the other provisions of this clause 0, no Party may publish any information or material containing Confidential Information of a Party unless authorised by that Party or unless an exception in clause **Error! Reference source not found.** applies.
- (m) Subject always to clauses **Error! Reference source not found.** and **Error! Reference source not found.**, each Participant must ensure that any publication which it makes pursuant to this clause 0 acknowledges the contributions (if any) made by other Participants and the support of the Commonwealth and MinEx:
 - (i) unless directed otherwise by a Participant to be acknowledged or by the Commonwealth or MinEx (as the case requires); and
 - (ii) provided that a Participant may not use the logo of any other Party without the prior written consent of that Party.

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34. Notices and other communications

Service of Notices

A Notice must be:

- (n) in writing, in English and signed by a person duly authorised by the sender; and
- (o) hand delivered or sent by prepaid post or by electronic means to the recipient's address for Notices specified in **Error! Reference source not found.**, as varied by any Notice given by the recipient to the sender.

1.2 Effective on receipt

A Notice given in accordance with clause 0 takes effect when it is taken to be received (or at a later time specified in it), and is taken to be received:

- (a) if hand delivered, on delivery;
- (b) if sent by prepaid post, on the third Business Day after the date of posting (or on the seventh Business Day after the date of posting if posted to or from a place outside Australia); or
- (c) if sent by email, as provided under sections 14 and 14A of the *Electronic Transactions Act 1999* (Cth),

but if the delivery, receipt or transmission is not on a Business Day or is after 5:00 pm on a Business Day, the Notice is taken to be received at 9:00 am on the next Business Day.

35. Public announcements

- (d) MinEx is principally responsible for making public announcements about the Centre and a Participant must not make any public announcement in relation to the Centre or this Agreement without obtaining MinEx's approval, except if required by law or a regulatory body (including a relevant stock exchange), in which case the Participant required to make an announcement must, to the extent practicable, first consult with, and take into account the reasonable requirements of, MinEx and each other Participant.
- (e) Nothing in this clause 0 prevents a Participant from making a general disclosure that it is a Participant in the Centre and the nature of its participation in the Activities.

Appendix A

Proforma for Approval of Reports, Publications, Theses and Presentations

Please read the Explanatory Notes on the following page before completing this form. All entries except the approval and acknowledgement entries and reference number (i.e. bottom two rows) are to be completed by the Contact Author.

Authors Names and Research Institutions:
E-mail Address of Contact Author:
MinEx CRC Project to Which the Document/Presentation Relates
Document/Presentation Title:
Type of Document/Presentation (indicate type, referring to table below and/or explanatory notes if necessary):
Is the Document/Presentation in the Correct Format for its Type (refer to explanatory notes if necessary):
Intended Destination of Document/Presentation (e.g. Journal or Conference):
Submission Deadline or Conference Date if Applicable:
Describe Any Potentially Commercially Valuable Intellectual Property Included:
If Any Potentially Commercially Valuable Intellectual Property is Included, Has It Been Previously Revealed or Protected (e.g. via patent):
Is Any Confidential Information Included (consider confidential data or background IP provided for the research):
Is MinEx CRC Appropriately Acknowledged in the Address Block and Acknowledgements (see notes below):
Date Submitted for Approval:
Approver (see notes below for relevant approver)
Name:
Signature:
Date:
MinEx CRC Document/Publication Reference Number (this is assigned when approved, please include in final acknowledgements as indicated in notes below): MinEx CRC Document 20**/** or MinEx CRC Presentation 20**/**

Explanatory Notes

The following is a synopsis of key information from the MinEx CRC document ‘Guidelines for MinEx CRC Reports, Publications, Theses and Presentations: Approvals and Formats’. Approval should be sought 30 days before required for reports and publications and 7 days before required for external presentations. It is not critical that presentations be in their final format, but it is vital that any IP or data being presented be clear so that approvers can ensure that no potentially commercially valuable IP or confidential data are inappropriately divulged in a public forum.

The above form should be submitted to the relevant approver and copied to MinEx CRC Head Office (anna.porter@minexcrc.com.au) along with a copy of the publication/presentation as a read-only Acrobat document. Any dispute over the decision on approval to publish will be referred to the Commercialisation Committee.

TYPE OF DOCUMENT	CIRCULATION ONCE APPROVED	APPROVER
Quarterly Project Report	Internal (CRC only)	Project Leader submits
Interim Technical Report	Internal (CRC only)	Project Leader, Program Leader or CEO
Final Project Report	Internal (CRC only)	Project Leader, Program Leader or CEO
MinEx CRC Annual Report	Public (but notably DIISR)	CEO
PhD Thesis	embargoed then Public	Project Leader, Program Leader or CEO
Internal Presentation	Internal (CRC only)	None
External Presentation	Public	Program Leader or CEO

An author may not approve their own document/presentation.

Form of Acknowledgement of MinEx CRC in Reports, Publications, Theses

Documents should include MinEx CRC and institutional affiliations in the address block of authors and acknowledge MinEx CRC and the CRC Program in the acknowledgements as follows. If such are unacceptable to the Journal, please contact the CEO to approve a variation.

Address Block

Preferably: “Mineral Exploration Cooperative Research Centre, School of Earth & Environmental Sciences, University of Adelaide”
 “Mineral Exploration Cooperative Research Centre, CSIRO, Queensland Centre for Advanced Technologies, Australia”
 Or: “Mineral Exploration Cooperative Research Centre, Department of Petroleum Engineering, Curtin University, Australia”

Acknowledgements

“The work has been supported by the Mineral Exploration Cooperative Research Centre whose activities are funded by the Australian Government's Cooperative Research Centre Program. This is MinEx CRC Document 20**/****”

MinEx CRC Document/Presentation Reference

A Document/Presentation reference number will be assigned upon approval.

Form of Acknowledgement of MinEx CRC in Presentations

As above

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**PhD Theses**

A PhD thesis may be submitted for examination in accordance with the normal procedures of the University at which the student is enrolled, provided that the:

- form for 'Approval of Reports, Publications, Theses and Presentations' has been completed;
- examiners are subject to written obligations of confidentiality;
- the thesis is embargoed for the maximum period stipulated in the University's rules unless specifically exempted from such, and;
- CEO is provided with a copy of the thesis.

It is good practice for the student researcher to inform the CEO, Program Leader and Project Leader of the impending submission, to enable the University and CRC sufficient time to implement these confidentiality requirements.

Appendix B

Interim Technical Report/Final Project Report

Project #: Project Title

Additional Report Title if Required

Author(s):

**Researcher X,
Mineral Exploration Cooperative Research Centre, University/CSIRO
Affiliation**

**Researcher Y,
Mineral Exploration Cooperative Research Centre, University/CSIRO
Affiliation**

Date: Month/Year

MinEx CRC Report 20/****"**

**Confidential: not to be distributed beyond MinEx CRC Participants and
Affiliates without the consent of the CEO, MinEx CRC**



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EXECUTIVE SUMMARY

This section of the report will be the most widely read. It is therefore important that it succinctly summarises the project’s aims, results and outcomes. About a third of a page is recommended depending on the size and complexity of the project and the nature of the results. Please keep this tabulated summary to one page overall.

OBJECTIVE(S)	RESULT(S)
---------------------	------------------

List the objectives of the research	List results against objectives
-------------------------------------	---------------------------------

NEXT STEP(S)	TIMING
---------------------	---------------

List the next step(s)	List timing against next steps
-----------------------	--------------------------------

MINEX CRC MILESTONES

Insert the number and name of the relevant output milestone from the Commonwealth and/or Project Agreement

UTILISATION/COMMERCIALISATION OPPORTUNITIES
--

List utilisation/commercialisation opportunities that the results present.

IP

List any IP resulting from the research that needs protection.

CONFIDENTIALITY

List any confidential data in the result. Note that in some cases confidential data provided by companies to CRC projects cannot be circulated even internally within CRC technical reports and only derived results may be circulated. If companies have provided confidential data please check the conditions for the provision of such.

APPROVED BY

Name of person who approved the report and date of approval. Interim Technical Reports and Final Project Reports can be approved by Project Leader, Program Leader or CEO.

Approval should be sought 30 days before required. A copy of the report should be submitted along with the ‘Proforma for Approval of Reports, Publications, Theses and Presentations’ to the relevant approver and copied to MinExCRC Head Office (anna.porter@minexcrc.com.au).

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Table of Contents

Provide, on a separate page, a table of contents listing Sections and Sub-sections with page numbers.

MinEx CRC Limited

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1. Introduction

Text.

2. Previous Research and Literature

Text.

2.1 Research and Literature Review

Text.

2.2 Gaps in Current Knowledge

Text.

2.2.1 Example of Sub-Sub-Heading

Text.

3. Methodology

More text here

3.1 Example of Sub-Heading

More text here.

3.1.1 Example of Sub- Sub-Heading

More text here.

4. Results

More text here. Structure should be clear by now. Insert Sub-Headings and Sub-Sub-Headings as required.

5. Discussion

6. Conclusions and Recommendations

7. Acknowledgements

In this section, acknowledge those to whom thanks are due. Please also include the following.
"The work has been supported by the Mineral Exploration Cooperative Research Centre whose activities are funded by the Australian Government's Cooperative Research Centre Program. This is MinExCRC Document 20**/****"

8. References

Insert your references here. Follow a journal style for references recognised in your field.