METS Innovation Program

Innovation Program
Grant Guidelines

Version 1.0
As of December 2023

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1 BACKGROUND INFORMATION

This document provides general information to assist with the preparation and submission of an application to the Minerals Research Institute of Western Australia (MRIWA) **METS Innovation Program**.

1.1 MRIWA and its objectives

MRIWA's vision is for minerals research to advance Western Australia.

To achieve this, MRIWA will:

- have an **IMPACTFUL RESEARCH** program where applied research creates capability and delivers economic and social benefit for Western Australia;
- provide **COLLABORATIVE RESEARCH LEADERSHIP** so industry, academic and government relationships can activate innovation and research networks attract investment in high value activities; and
- enable **KNOWLEDGE TRANSFER** so minerals research outcomes are implemented to deliver value for the State.
- ensure robust **GOVERNANCE** and contemporary fit-for-purpose corporate practices.

MRIWA is a statutory body established by the Western Australian Government under the Minerals Research Institute of Western Australia Act 2013 (WA).

1.2 MRIWA Research Priority Plan

The MRIWA Research Priority Plan identifies the medium to long-term resources-related knowledge and technology needs of Western Australia. The priorities included in the Research Priority Plan have been identified by industry, researchers and the MRIWA Board as presenting real and significant challenges inhibiting Western Australian from benefiting from the minerals sector to the fullest possible extent and where resolution of these challenges will create opportunities and deliver value to the State.

These priorities direct the MRIWA Board's decisions on grant funding and MRIWA may limit the call for Applications in a designated round to targeted priority areas.

All prospective Project Participants should familiarise themselves with the current Research Priority Plan prior to commencing an Application and should consult the MRIWA website for the latest information on targeted focus areas.

See Section 4 for information on the project eligibility criteria.

1.2.1 Focus Areas

Focus Areas are campaigns targeting specific areas which seek to stimulate and amplify activities of high value to the State.

Focus Areas may fall in areas specific to parts of the mining value chain or have impact across the entire value chain, with the benefit to be realised in Western Australia.

By identifying specific Focus Areas MRIWA seeks to activate innovation and research networks and attract investment in high value activities in the following areas:
- Net Zero Emission Mining
- Critical Minerals
- Green Steel
- Exploration Amplification
- Alternative Use of Tailings and Waste
- Precision and Low Impact Mining.

More information on the Focus Areas can be located on the MRIWA website.

1.3 Industry participation and co-investment

MRIWA strongly encourages METS industry-initiated research projects. All projects must demonstrate industry engagement.

The necessary technical interchange between the research team and industry representatives is intended to ensure the results of the research are more likely to be applied in practice and lead to commercial application.

Industry participation and financial contribution is an important factor in the MRIWA Board's assessment of an Application.

1.4 Project Facilitation

MRIWA, through the involvement of the Research Portfolio Managers (RPM), may work with Project Participants and potential Project Participants to initiate or develop proposals, with the consent of the respective Parties.

Potential applicants should seek advice on the suitability of their Project from a Research Portfolio Manager (RPM). The RPM may discuss:

- identify critical research areas for improvement (products, processes, and services).
- identify strategic research opportunities into new or existing markets.
- identify potential collaborators.
- find ways to work with the research sector and improve access to Science, Technology, Engineering and Mathematics (STEM) expertise where appropriate.

Such facilitation does not represent any guarantee MRIWA will fund the Application.

MRIWA may commission research in areas of high need, identify research opportunities and potential collaboration partners including research institutions, industry, or funding bodies, to develop consortia to finance and carry out Projects.

Any such facilitation of collaboration, including the release of Confidential Information, will be subject to prior consent of the relevant Party or Parties.

1.5 Grant Programs

Grant guidelines will be reviewed by MRIWA from time to time and may vary subject to specific grant programs underway.

When preparing an Application, all prospective Project Participants should ensure they are viewing the:
   a) latest version of the grant guidelines.
   b) Grant guidelines for the specific program they wish to apply for.

Updated grant guidelines will be published on the MRIWA website.

2   METS Innovation Program

2.1   Purpose/Intent

MRIWA recognises the role the Mining Equipment, Technology and Services (METS) sector plays in the mining innovation lifecycle by translating new knowledge created through research into solutions which can benefit Western Australia.

The MRIWA METS Innovation Program is intended to assist Western Australian based METS companies develop products and services which address issues in one or more of the Focus Areas outlined in section 1.2.1.

The METS Innovation Program consists of a grant scheme and project facilitation to assist in connecting with potential collaborators and sponsors, as well as navigating the innovation ecosystem and other available forms of support.

2.2   Project Funding

The METS Innovation Program will provide matched grant funding up to a maximum of $250,000 per Approved Project.

2.3   Eligible Activities

The Projects must meet the definition of minerals research as outlined in Section 4.1.

2.4   Eligible Companies

The following business criteria must be satisfied to be eligible.

2.4.1   Business Activity

Your business must be able to demonstrate it provides mining equipment, technology, or services to the mining sector.

2.4.2   Business Location

Your main business location must be in Western Australia.

2.4.3   Business Structure

Your business will:
- have an Australian business number (ABN).
- be registered for goods and services tax (GST).
- be a company incorporated in Australia or an incorporated trustee applying on behalf of a trust.

2.4.4   Business Size

Your business will have an annual turnover of less than $50m per annum.

3 Application Development and Assessment

3.1 Expression of interest

MRIWA is seeking to ensure Applications are aligned to its Focus Areas (refer section 1.2.1) and have the potential to deliver material benefit to Western Australia.

All Lead Investigators are encouraged to discuss their proposal with a RPM prior to commencing the development of an Application.

Such a discussion will canvass eligibility for MRIWA funding under the METS (or another) grant program and can help enhance the quality of the Application.

3.2 Application Development

MRIWA Research Grant Application Forms are accessible via the MRIWA website or by contacting MRIWA via phone or email.

These Guidelines and the Application Form refer to MRIWA policy and guidance documents which will need to be considered in developing an Application.

The RPM may provide the Lead Investigator with a copy of the standard Conditions of Grant and any other relevant documents during this consultation process. This information should be circulated to all Participating Organisations for discussion during the proposal development.

RPMs are available to discuss your application and respond queries as you draft your application.

3.3 Submitting an Application

Prior to submission, Lead Investigators should also consider and confirm whether:
1. Your business is able to demonstrate engagement with the mining sector to provide mining equipment, technology, or services (METS);
2. Your main business location is in Western Australia and has an ABN;
3. Your business has an annual turnover of less than $50m;
4. Your project requires no more than $250,000 in cash from MRIWA and has cash to match the MRIWA funding of 1:1; and
5. Your project directly benefits Western Australia.

Applications for funding must be made on the appropriate MRIWA Research Grant Application Form.

Only complete applications will be accepted for lodgement.

Applications are required to be lodged at least two months before it is presented to the MRIWA Board to allow sufficient time for the review process.

Closing dates and the calendar of Board meetings is available on the MRIWA website.

3.4 Assessment process

Internal Review

While Application development advice and feedback may have been provided to the applicant during the application development process, the eligibility review by an RPM will only occur once the Application has been officially submitted to MRIWA.

The eligibility review will include:

- Administrative review to ensure required fields have been completed.
- Quality review to ensure proposal is developed to a stage ready for consideration of a Grant Assessment Panel.
- Assessment against the Eligibility Criteria outlined in Section 3 of this document.

If there are any concerns relating to the application, Lead Investigators will have an opportunity to make the necessary adjustments to the application within a specified time period.

A Grant Application Summary Sheet will be prepared by the RPM for the Grant Assessment Panel.

The Research Portfolio Manager will identify relevant subject matter experts (SMEs) from the MRIWA College, based on the discipline area of the research proposal, to participate in the Grant Assessment Panel.

All requests for funding must meet the minimum requirements for assessment for each specific grant program prior to consideration.

Grant Assessment Panel Review

Applications which are accepted as satisfying the Eligibility Criteria will be assessed by a Grant Assessment Panel against the Merit Criteria outlined in Section 4 before submission to the MRIWA Board.

A Grant Assessment Panel is an advisory committee, convened by MRIWA. Panel members are selected from the MRIWA College, a broad cross-section of research and industry subject-matter experts, primarily from the minerals sector and minerals research fields. Information on the MRIWA College is available from the MRIWA Website.

The composition of a Grant Assessment Panel will vary from round to round, to ensure it includes an appropriate level of skills and expertise to effectively assess the Applications received. Core Members will review each application with additional subject matter expertise sourced as necessary for individual applications.

The Grant Assessment Panel assess all Applications against Merit Criteria and makes a recommendation to the MRIWA Board on whether the proposal is supported, or if conditions or actions are required by the Lead Investigator prior to a recommendation being provided to the MRIWA Board.

MRIWA may, at any time during the assessment process, vary the activities it undertakes when assessing an Application. These activities may include, but are not limited to:

- inviting the Lead Investigator and Project Participants to present the Application to a Grant Assessment Panel meeting;
- seeking further information or clarification from the Lead Investigator on matters pertaining to the Application at the request of the Grant Assessment Panel or the MRIWA Board; and
- contacting any relevant Commonwealth, State, Territory and international government agencies, Project Participants, Participating Organisations, or other relevant parties about the Application.

3.5 Confidentiality of information

- All members of the MRIWA Board, MRIWA College and Grant Assessment Panels and MRIWA staff must comply with the confidentiality provisions of section 70 of the MRIWA Act. This includes confidentiality of any data or information contained in the Application, or otherwise provided by the Project Participants and Participating Organisations.

To avoid any actual or perceived conflict of interest in the assessment of Applications, members of the MRIWA Board and Grant Assessment Panel must adhere to the MRIWA Code of Conduct and Managing Material Personal Interest Guidelines.

At the time the Application is submitted, the Lead Investigator may submit a request to restrict circulation of the Application from certain individuals or organisations, where there is a demonstrated concern around the protection of Intellectual Property and commercially sensitive information. All such requests will be reviewed by MRIWA staff, in consultation with the Lead Investigator.

3.6 Board decisions

When assessing the Application, the MRIWA Board will consider the recommendations of the Grant Assessment Panel but is not required to act on its advice. The MRIWA Board may:
- request further information;
- approve an Application as presented;
- approve an Application with an offer of a reduced contribution by MRIWA;
- conditionally approve an Application, subject to specified conditions, for example but not limited to timeframe within which the Conditions of Grant must be executed; increased industry co-investment, changes to the scope of the research, or pending the decisions of another co-funding body;
- decline an Application and invite the applicant to resubmit with amendments as suggested; or

- decline an Application.

As part of the deliberations, the MRIWA Board may consider the level of risk associated with the Project, current and previously funded MRIWA research projects and the distribution of funding across the Programs of the Research Priority Plan.

The MRIWA Board may elect to not fund an otherwise meritorious Application if:
- the aims or outcomes are similar to existing or previous research;
- funding the Application would cause MRIWA to exceed its target annual funding allocation or not meet its financial leverage target; or
- the Project does not align to the targeted priority area(s) determined by the Board.

A list of MRIWA-funded projects is available from the MRIWA website along with information on any current focus areas.

The decision on whether funding will be offered to a Lead Organisation will be made by the MRIWA Board and this decision will be final.

The MRIWA Board will only approve funding for an Application where MRIWA holds the full amount of the funds requested from MRIWA in the Application at the time of the MRIWA Board's decision.

3.7   Notification of outcomes

The Lead Investigator and Lead Organisation will be notified in writing of the outcome of the assessment of their Application, including the amount and nature of the funding support by MRIWA and any conditions attached.

An Application will only become an Approved Project once all conditions have been met. The MRIWA Board reserves the right to withdraw support for an Application where conditions are not met within the specified timeframe.

See section 6 for information on Approved Projects.

All Lead Investigators may request feedback from MRIWA on the merit of their full Application at the conclusion of the assessment process if unsuccessful.

3.8   Public announcement of outcomes

Non-confidential Project Information on Approved Projects may be made available on the MRIWA website and published as part of the MRIWA annual report.

MRIWA reserves the right to distribute Non-confidential Project Information on Approved Projects to the Minister's Office, media outlets and via its social media channels (Facebook, X [aka Twitter] and LinkedIn).

4   ELIGIBILITY CRITERIA

Applications must meet all Eligibility Criteria to be considered by the Grant Assessment Panel in the first instance before proceeding to the MRIWA Board.

The level of detail provided in an Application should be relative to the scale of the Project and the level of funding requested.

4.1   Research activity

The activity outlined in the Application must be minerals research

Minerals research, is defined in the MRIWA Act as the:

(a) *investigation undertaken in order to acquire new knowledge relating to; or*
(b) *systematic work drawing on existing knowledge that is directed to the development of,*
any process, technique, method, design, or apparatus to locate, extract, transport, or market minerals.

4.2   MRIWA Research Priority Plan

The activity outlined in the Application must align to the current MRIWA Research Priority Plan

All Applications must align to at least one Program and Theme from the current Research Priority Plan and must clearly demonstrate how the proposed research activity will deliver the intended outcome for the relevant Theme as detailed in the Research Priority Plan.

Where the proposed research activity will contribute to more than one Program and/or Theme, additional Program and Themes may be nominated, provided this is substantiated in the Application itself.

Where MRIWA has issued a call for Applications in a specific focus area or areas, only Applications addressing one or more of those focus areas will be considered for funding in the nominated round.

4.3   MRIWA Focus Areas

The activity outlined in the Application must align to one of the current MRIWA Focus Areas.

All Applications must align to at least one Focus Area outlined in Section 1.2.1.

4.4 Participating Organisations

All organisations named on the Application must be eligible organisations

Each Application must include, and maintain for the duration of the Project, a Lead Organisation and may include a Sponsor, or Sponsors.

The Application may also include additional Participating Organisations, including:
- Research Organisations; and
- Other Organisations.

These organisations are not required to provide a cash contribution, where they contribute expertise or in-kind contributions to the Project, including provision or analysis of samples, access to data, equipment, exploration and/or mine sites.

To be an eligible organisation, a Participating Organisation must comply with the following mandatory requirements and confirm:
- the cash contributions to be made if it is a Sponsor;
- the organisation is financially sustainable and will contribute (subject to the Application being successful) the staff, funds and other resource indicated in the Application;
- no current directors of the organisation have been convicted of fraud or declared bankrupt;
- they are an organisation which complies with the *Workplace Gender Equality Act 2012* (Cth); and
- a commitment to enter into agreement with MRIWA and other Participating Organisations, including the requirement to enter into arrangements regarding Intellectual Property which do not unreasonably prevent or delay the publication of academic outputs, including the final report.

All Participating Organisations must disclose any current, pending or threatened arbitration proceedings (whether as claimant or defendant) or any prosecution or enquiry pending by a government or official body involving the organisation, where such proceedings have the potential to affect either:
- the organisation's capacity to undertake the proposed Project, or
- the organisation's reputation.

4.5 Freedom to operate

The research activity will not infringe on the Intellectual Property rights of a third-party

The Lead Organisation must certify it has ownership of, access to, or the beneficial use of, any Intellectual Property (IP) rights, including moral rights, necessary to carry out the Project.

The Application must identify any Background IP required for the Project, including but not limited to patents, confidential knowhow (i.e. information not already in the public domain) and documents (i.e. copyright protected material) and provide details on ownership and any restrictions on use.

Where permission to utilise the Background IP has not been confirmed at the time the Application is submitted, the MRIWA Board may require confirmation from the Lead Organisation prior to approving the Application, including the requirement to provide evidence they have the necessary rights to any IP required to undertake the Project.

4.6   Compliance with requirements

*The Application must be complete and demonstrate compliance
with relevant policies*

Applications must include a response to all questions with sufficient
information to allow an assessment against the Eligibility Criteria and
Merit Criteria and provide assurance to the MRIWA Board of the
ability of Participating Organisations to comply with MRIWA's policies,
as amended from time to time, including but not limited to:

- Code of Conduct
- Risk Appetite Statement
- Intellectual Property Policy

All required attachments must be provided at the time the Application
is submitted.

All Project Participants are required to carry out the project in
accordance with the Grant Guidelines and the Project Reporting
Guidelines.

5   MERIT CRITERIA

All Applications meeting the Eligibility Criteria will be assessed for overall value and risk against the Merit Criteria.

5.1   Advancing Western Australia

The extent to which anticipated outcomes of the research activity will deliver tangible economic, environmental, and social benefit for Western Australia

While the research does not have to be undertaken in Western Australia, Applications must clearly demonstrate the significance of the identified knowledge or technology need and the impact and benefit the proposed research will deliver to Western Australia.

The extent to which the proposed research will deliver benefits for Western Australia will be assessed in terms of, but not limited to, the:

- contribution the anticipated research results will make to the intended outcomes for the relevant Research Priority Plan Theme(s).
- magnitude of the challenge or issue and the consequences of not addressing it;
- value gained by successfully resolving the challenge or issue;
- mainstream or peripheral applicability to industry;
- anticipated timeframe for expected benefits; and
- how the research outcomes can be applied or implemented in Western Australia.

Examples of the types of benefits MRIWA is seeking are outlined below.

The **economic benefit** minerals research can deliver to Western Australia including, but not limited to:	
Productivity and efficiency	Increased industry productivity and global competitiveness through: - efficient use of inputs (i.e., labour, supplies); and/or - alternative processes (i.e., automation); and/or - utilisation of broader ore grades.
Employment	Increased sustained employment in addition to that generated by conducting the actual research activity
Investment	Increased investment (both domestic and international) in: - innovation, research, and development; and/or - exploration and mining projects; and/or - infrastructure (i.e., roads, rail, power) which enables mining with cascading benefits to other industries/communities.
Economic performance	Enables the state to capitalise on its comparative advantage (mineral endowment and skills) to increase revenue from companies and government (royalties and other sources of state revenue) without detracting from other sectors of the economy.
Diversification	Increased mineral production via: - a broader range of commodities mined; and/or - value adding of existing ores leading to downstream processing; and/or - Increased growth in mining equipment, technology, and services (METS) sector

The **social benefit** minerals research can deliver to Western Australia including, but not limited to:	
Innovation and human capital	Attracting, building, and retaining skilled workers Developing entrepreneurial mindset sustaining an industry focus on innovation Critical mass of innovation start-ups resulting in clusters of METS companies supporting the sector Understanding potential disrupters and appropriate response strategies
Reputation and brand	Increased profile for the: - State's mining and METS sector providing access to global conversations on trade and broader industry matters; - Industry demonstrating positive models of mining and contribution to wider community
Wellbeing	Increased wellbeing of the Western Australian community and regional development
The **environmental benefit** minerals research can deliver to Western Australia including, but not limited to:	
Energy generation and consumption	Improved energy efficiency and lower energy costs through improved operating practices and/or adoption of alternative technologies.
Land quality	Improved land use and management with reduced - effects on environment during and post mining; - legacy issues and liabilities on the State
Waste	Increased re-use and recycling of by-products and waste generated by mining and mineral processing

Application questions addressing this criterion
- What challenge or issue facing the minerals sector in Western Australia will the project address?
- What is the proposed solution to the challenge or issue?
- What anticipated outcomes will occur as a result of the proposed solution?
- What impact and benefit for Western Australia will the anticipated outcomes deliver?

5.2 Project design and methodology

The technical and scientific strength and clarity of the Application, and the likelihood the research activity will lead to the anticipated outcomes

Applications must describe the proposed activities in sufficient detail to demonstrate the quality and feasibility of the design and mitigation of risks, in order to successfully deliver the Project.

The strength and clarity of the proposed Project purpose, description and design will be assessed in terms of, but not limited to the:
- rationale for the Project and need for further research in the area;
- evidence the proposed activity is novel or innovative;
- appropriateness and robustness of the technical design or methodology including identification of key tasks/proposed activities and timeline;
- inclusion of objectively verifiable milestones which reflect achievement of significant stages in the research;
- clarity in the intended deliverables to be produced as a result of the research activity; and
- identification and management of potential risks identified in accordance with the MRIWA Risk Appetite Statement.
-

Milestones are used by MRIWA to monitor the progress of a Project and will be included in the Conditions of Grant.

Milestones must be SMART (Specific, Measurable, Attainable, Relevant and Time Bound).

Application questions addressing this criterion:
- In what ways is the proposed activity novel or innovative?
- Describe the technical design or methodology to be used, making it clear how the activities will lead to the anticipated research outcomes.
- Provide a Gantt chart indicating the proposed milestones, tasks, deliverables, and stage gates (if applicable), and an indicative timeline for the proposed activities.
- Identify all major risks to the project and strategies or controls to be implemented to mitigate their impact.

Application questions addressing this criterion:
- List all members of the research team and provide details of project support staff to be funded by the Project.
- Provide a Statement of Expertise for the Lead Investigator and each Key Personnel.
- Provide details for all Participating Organisations, including a Letter of Support confirming their commitment to the Project.

5.3 Research team and Sponsors

The ability of the named personnel and organisations to undertake the proposed activities and achieve the Application's anticipated outcomes

Applications must clearly demonstrate the capacity and capabilities of the Participating Organisations and Project Participants to undertake the proposed Project.

The strength and appropriateness of the proposed research team will be assessed against criteria including, but not limited to, the:
- skills and experience, relative to opportunity, of the named personnel to undertake the proposed activity;
- incorporation of multidisciplinary skills to encourage diversity of thought, collaboration, and synthesis of information;
- appropriate inclusion of early-career researchers and women as Key Personnel and appropriate involvement of research students in the Application.

The capacity and commitment of the Sponsors to the project will be assessed against criteria including, but not limited to their:
- relative financial contribution;
- level of engagement in the proposed activities; and
- demonstrated desire to address the challenge or issues.

5.4 Knowledge transfer

The proposed plan for the dissemination and utilisation of the anticipated research deliverables by industry and/or relevant stakeholders

The key outputs and deliverables for individual projects will vary and should be clearly identified in the Application and the project Gantt chart.

Applications must demonstrate a clear plan for disseminating the key outputs and deliverables and communicating research results to relevant stakeholders, including both the research community and industry. This plan must identify opportunities to encourage the utilisation and commercial application of the research results.

The extent to which the proposed plan will lead to the dissemination and potential adoption of the research outcomes will be assessed in terms of, but not limited to, the:

- appropriateness of the key output and deliverables given the research being undertaken;
- identification of relevant stakeholders and end-users;
- plan to disseminate results, including beyond the Participating Organisations (to the extent commercial sensitivities allow);
- proposed application of the research results in an operating environment and documented 'pathway to adoption', including identification of any steps required within this pathway that extend beyond the scope of the project;
- likelihood the research will be adopted and the potential magnitude of commercial benefit; and
- potential to commercialise the research outcomes and potential industry impact.

Application questions addressing this criterion:
- What are the key outputs and deliverables which will result from the project?
- What steps will you take to ensure commercial application of the research results?
- Will any of the project outputs be licensed, sold, or otherwise commercially exploited? If yes, outline the expected pathway to and an indicative timeframe for commercialisation of the research results.
- What barriers or issues may limit or prevent the adoption of research results and how will these be addressed?
- Briefly outline any current or planned projects or commercialisation activities relevant to, but not part of, this project and the proposed research deliverables.
- What data will be generated or created from the proposed activities and how will this be managed during and following the project's completion?
- How will the research progress and results be communicated to relevant stakeholders?

5.5   Budget

The appropriateness of the budget to undertake the proposed research activity and provide value for Western Australia

Applications must demonstrate the Project is financially viable and represents value for money.

The MRIWA Board requires a minimum cash contribution from the Participating Organisations relative to the MRIWA contribution and may give preference to Applications with a higher financial leverage.

For the purposes of the METS Innovation Program refer to Section 2.2 for information on the financial leverage requirements.

The appropriateness of the budget will be assessed in terms of, but not limited to, the:
- total project value and the amount requested from MRIWA;
- inclusion of reasonable costs, commensurate with the proposed research activity. Refer to item 7.1 Eligible Expenditure for details on allowable expenses; and
- economic and/or social value of the anticipated outcomes relative to the total cost of the Project.

> *Application questions addressing this criterion:*
> -   Provide details of cash contributions by each of the Sponsors.
> -   For each payable milestone, provide an indicative costing for all associated project activity relating to the successful delivery of the milestone.
> -   Briefly describe the in-kind contribution of the Project Participants and Participating Organisations.

6   APPROVED PROJECTS

6.1 Funding agreement

Following approval of an Application by the MRIWA Board a funding agreement must be executed between the respective Parties before any payment of funds.

The MRIWA Conditions of Grant will be negotiated and executed between MRIWA and all Participating Organisations providing a cash contribution to be managed by MRIWA.

Where an Application is made to MRIWA and funding is to be provided by Sponsors direct to the Applicant, MRIWA may enter into an Agreement solely with the Applicant. However, evidence of the agreement with the Sponsors will be required.

A pro forma of the Conditions of Grant is available from MRIWA on request. Lead Investigators are encouraged to provide a copy of the Conditions of Grant to all Participating Organisations during the development of the Application. Advance familiarisation with the form of the contract can expedite the negotiation if the Application is approved by the MRIWA Board.

The Conditions of Grant must be executed by all Participating Organisations and MRIWA within four (4) months from the date of the MRIWA Board's approval of the Application. Where the Conditions of Grant has not been executed within the required period, MRIWA reserves the right to withdraw funding for the Project.

6.2 Intellectual Property

MRIWA's Board has endorsed an Intellectual Property Policy (the IP Policy) which highlights MRIWA's approach to Intellectual Property (IP) management. The IP Policy is contained within the Intellectual Property Policy and Guidance Notes.

The Lead Organisation must certify it accepts the IP Policy as part of the Application process.

Details of the arrangements for managing IP associated with a Project should be negotiated between all Participating Organisations and discussed with MRIWA as part of the Application development process, consistent with the Intellectual Property Policy and Guidance Notes . These arrangements will be specified in the Conditions of Grant (or equivalent funding agreement).

Background IP
The Conditions of Grant includes particular requirements for identification of Background Intellectual Property (Background IP) made available by a Party for the Project.

Background IP must be set out in the relevant Schedule to the Conditions of Grant or otherwise must be notified by a Party to the other Parties before, or at the time, it is made available (the notification must identify the Background IP and the ownership of it, the providing Party's right to make it available, and details of any restrictions on use). If the Grantee or a Sponsor does not give this notice to MRIWA, the relevant Background IP will be taken to be Project IP unless MRIWA otherwise agrees in writing.

Under the Conditions of Grant:

- Each Party licenses its Background IP to the others, on a non-exclusive, royalty-free basis, as necessary to enable the Parties to carry out the Project; and
- Each Party grants to the others a non-exclusive, royalty-free, perpetual, irrevocable licence to use its Background IP during and after the Project, for the purposes of, and only to the extent necessary to enable, any use (including dissemination, adoption, or commercialisation) of the Project IP by the other Party or Parties as contemplated in the Conditions of Grant.

Project IP
For Projects where MRIWA is the primary grant funding body, the pro-forma Conditions of Grant provides seven possible options for arrangements regarding Intellectual Property arising out of the Project (Project IP):

- Version A, Ownership by Grantee
- Version B, Ownership by Sponsor
- Version C, Joint Ownership all Parties
- Version D, Joint Ownership (MRIWA and Grantee)
- Version E, Joint Ownership (MRIWA and one or more Sponsors)
- Version F, Ownership by Intellectual Property type
- Version G, Ownership by MRIWA.

Lead Organisations, Sponsors and MRIWA will need to decide on which version will be used for the Project prior to finalisation of the Conditions of Grant.

Project IP anticipated to result from the Project will be identified in the Conditions of Grant, as well as potential uses of that IP.

Information on MRIWA's position in regard to commercialising Intellectual Property developed, improved, or modified during the Project is available in the Intellectual Property Policy.

As MRIWA has a responsibility to ensure Project's it supports benefit Western Australian, the party (or parties) who own the Project IP will be required to seek adoption, dissemination and/or commercialisation outcomes which maximise this benefit.

In addition, to enable MRIWA to maintain visibility in relation to the Project IP, any owner of Project IP who wishes to sell, assign, transfer or otherwise dispose of its ownership interest in Project IP will require the prior written consent of MRIWA (such consent not to be unreasonably withheld).

Even if MRIWA does not co-own any Project IP, it may still be entitled, for a specified period, to receive a share of the revenue arising from commercialisation of the Project IP. If applicable, this will be specified in the Conditions of Grant, including associated reporting obligations on the commercialising party.

6.3 Grant funds

The Conditions of Grant (or equivalent funding agreement) will provide details of the:
a) MRIWA cash contribution to the Project;
b) schedule of required cash contributions payable by the Participating Organisations, where applicable;
c) total grant funds to be administered by MRIWA;
d) maximum amount of funding to be paid by MRIWA to the Grantee(s); and
e) grant funds not administered by MRIWA, to be paid directly by a Sponsor to the Lead Organisation for the purposes of the Project.

MRIWA will only release grant funding after the Conditions of Grant (or equivalent funding agreement) has been signed by all Participating Organisations and MRIWA.

Funding will only be provided for work carried out after the MRIWA Board's approval of the Application subject to execution of the Conditions of Grant.

Where MRIWA is to receive Project funds from Participating Organisations, MRIWA will invoice as per the schedule set out in the Conditions of Grant. These funds will then be disbursed to the relevant Grantee according to the schedule in the Conditions of Grant.

During the course of an Approved Project, payment against research claims requests will only be made when:
1. MRIWA holds sufficient funds against the project; and
2. demonstration of milestone delivery has been confirmed.

All grant funds, including any funds paid by the Sponsor directly to the Lead Organisation must be appropriately acquitted.

6.4 Payment of funds

MRIWA will pay on a milestone-based schedule, as negotiated with Participating Organisations, and specified in the Conditions of Grant (or equivalent funding agreement). Lead Investigators are to provide details of how they will demonstrate and verify achievement of milestones.

Payments are made on demonstration of the satisfactory achievement of milestones and following receipt by MRIWA of a financial statement detailing incurred expenditure.

Following milestone verification and approval of the reporting period's financial statement by MRIWA, a claims requests/purchase order will be sent by MRIWA to the relevant contact at the Participating Organisation specified in the Conditions of Grant.

The Grantee can then invoice MRIWA as per the financial statement approved. Payments are made in arrears, based on actual expenditure, and will not exceed the agreed cumulative value in the research payment schedule outlined in the Conditions of Grant.

Where a final technical report is included as the final milestone, the final payment will not be made until the final report has been approved by MRIWA. The amount withheld will be specified in the Conditions of Grant but will usually represent 15% of the MRIWA Commitment to the total grant funds.

6.5 Addition of new participating organisations

MRIWA supports in-principle inclusion of new parties to previously approved Projects subject to the terms and conditions in the Conditions of Grant.

Any such change will be included in a variation to the original Conditions of Grant subject to approval of other Participating Organisations where required and the terms contained within the Conditions of Grant.

6.6   Project commencement activities

All Approved Projects are required to undertake reporting activities at the commencement of the Project and be provided to MRIWA.

These requirements are outlined in MRIWA's Project Reporting Guidelines and should be considered when preparing an Application and developing a timeline for the proposed activities. Reporting activities include:

Project summary
All Projects are required to prepare a summary of the proposed project, identifying the challenge, the proposed solution and intended benefits.

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

This information will be made available on the MRIWA website and may be used in the MRIWA Annual Report.

Environmental scan
Unless otherwise advised by MRIWA, projects are required to undertake a comprehensive environmental scan on the proposed Project area, identifying relevant peer-reviewed literature and current industry practice.

The environmental scan may to be released publicly as part of the project to assist with the Knowledge Transfer of the challenge or issue being addressed.

6.7   Routine reporting

All Approved Projects are required to undertake reporting activities related to the technical progress and administration of the Project. Routine reporting requirements will be scheduled in the Conditions of Grant.

These requirements are outlined in MRIWA's Project Reporting Guidelines and should be considered when preparing an Application and developing a timeline for the proposed activities. These reporting activities include:

Progress reports
A summary report delivered at specified intervals demonstrating the Project's progress against the scope, schedule, budget, and achievement of milestones must be provided by the Lead Investigator to MRIWA for transmission to all Project Participants.

Financial statements
A statement detailing the incurred expenditure against the total budget and in relation to the completed milestones, funds paid by Sponsors directly to the Grantee and the amount to be claimed from MRIWA.

Financial statements should be submitted using the appropriate MRIWA template available from MRIWA's website.

Sponsor's review meetings
Regular meetings, commencing with a kick-off meeting at the beginning of the Project, will be held with representatives from the Sponsors, MRIWA, and Project Participants.

6.8   End of project reporting

At the conclusion of a Project funded in part or entirety by MRIWA, the Lead Investigator must meet all reporting requirements, as specified in the Conditions of Grant (or equivalent funding agreement).

These requirements are outlined in MRIWA's Project Reporting Guidelines and include:

Final financial statement
   A statement detailing the actual expenditure of Grant Funds during the entire Project. and receipt of any direct amounts, if relevant.

   The final financial statement should be submitted using the appropriate MRIWA template.

Project evaluation form
   At the conclusion of the research activity, a brief evaluation report is provided to MRIWA summarising the Project's achievements, outputs, and outcomes.

   The form may be used by MRIWA to evaluate the research grant funding program. See item 6.10 for further information.
   Project evaluation report should be submitted using the appropriate MRIWA template.

Output release plan
   A plan describing the information which will be communicated in relation to the outputs and deliverables and the channels through which the information will be distributed if this has not already occurred throughout the project.

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

Subject to agreement on the key outputs, required deliverables and milestones, end of project reporting may also include:

Final technical report
   A detailed report, written for public release, providing key background information, the Project's hypotheses, methods, data, results, analyses and interpretation, conclusions, and applications of the research findings. The report should be a stand-alone publication.

   Where a final technical report is required, this report must be approved by all Participating Organisations and MRIWA prior to being finalised. Confidential Information may be excluded following approval by MRIWA.

   The publication of the final technical report may be deferred, at the request of a Sponsor or the Lead Organisation, for up to one year following the project completion date, provided there are justifiable reasons for such a request. The final decision as to timing of publication rests with MRIWA.

   Other final reporting options will be considered if it can be demonstrated they will result in greater utilisation of the research outcomes.

6.9 Publicity and promotion

Non-confidential Project Information from the periodic progress reports may be made available on the MRIWA website and published as part of the MRIWA annual report to provide a statement on the progress of the Project.

MRIWA reserves the right to distribute Non-confidential Project Information on in-progress and completed Projects to the Minister's Office, media outlets and via its social media channels (Facebook, X [aka Twitter] and LinkedIn).

6.10 Evaluation

MRIWA is required to evaluate the overall effectiveness of the research grant funding program to determine the extent to which the program activities deliver on the objectives of MRIWA and the Government.

MRIWA may use information from the Application, progress reports, and final technical and project evaluation reports for this purpose. In addition, MRIWA may contact Project Participants and Participating Organisations during the Project, and following completion of the Project, to assist with this evaluation.

A follow-up evaluation report is sought from the Lead Investigator 12 months, or as otherwise agreed with MRIWA, following the submission of the final technical report or other agreed output.

This evaluation 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.

7 FURTHER INFORMATION

7.1 Eligible expenditure

Salary and wage costs only for the time personnel spend working on activities directly related to the Project and at the appropriate level for the employing organisation. Salary on-costs are capped at 30%.

Salary/wage costs for the following *may* be requested:
- Research team personnel who will be making a significant contribution (> 0.3 FTE).
- Teaching relief for tenured research team personnel.
- Project support staff (e.g. postdoctoral research associates, research assistants, technicians, plant operators).
- Stipends for higher degree research students, where the student project is integral to the proposed research, and they are appointed specifically for the Project.
- Third-party services, where integral to the proposed activity.

To maximise the value of funding, MRIWA does not generally cover the salary costs of tenured university staff, company executive staff, research institution staff or similar, whose salaries are already paid from other sources. MRIWA reserves the right to request evidence of employment arrangements, should the Application be successful.

Consumables and analytical work as reasonably required for project delivery. All costs should be itemised including where tax credits are claimed if relevant.

Travel essential to the Project's activities. Reasonable travel expenses for field work and site visits associated with the Project are accepted, but overseas or interstate travel to conferences etc. will generally not be funded by MRIWA.

Equipment may be purchased where the need is satisfactorily demonstrated in the Application. The MRIWA Board has discretion over the amount of any funds contributed by MRIWA towards the cost of research equipment associated with an Application. All equipment requests over $10,000 (ex. GST) must include an official quotation as part of the Application.

Any equipment purchased becomes an asset of the Lead Organisation who is responsible for the proper care, utilisation, and maintenance of the research equipment and for its security and insurance cover, throughout the duration of the Project.

MRIWA encourages the use of such equipment for further research and requires acknowledgement of MRIWA's contribution in relation to the purchase on an ongoing basis.

Maintenance costs essential to the Project's activities. MRIWA encourage the re-use of existing equipment and may contribute to costs associated with the refurbishing of essential equipment which is to be re-utilised for the proposed Project, or the maintenance of pre-existing plant, or maintenance necessary during the course of the Project. All maintenance requests over $10,000 (ex. GST) must include an official quotation as part of the Application.

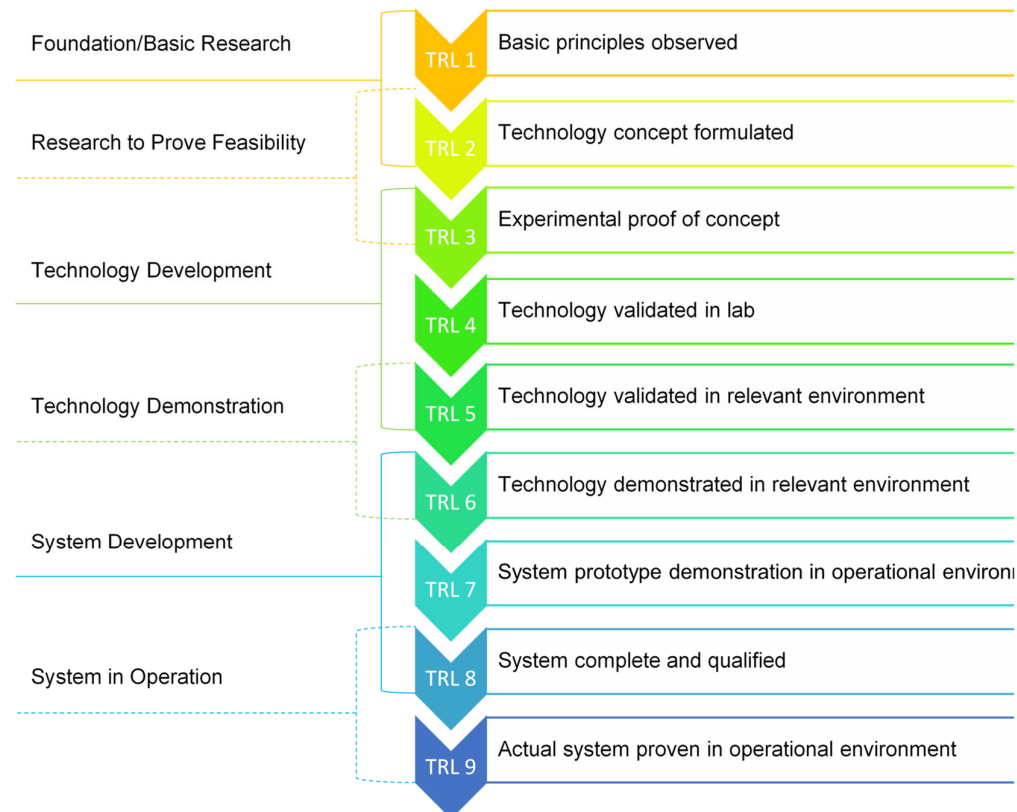**Other costs** should be included for any items that do not fall within any of the above categories. This includes administrative overheads and charges for the use of facilities (including rent) and equipment, library services etc., which are directly attributable to the Project, are accepted as an infrastructure charge. The amount included in this category must not exceed 10% of the total cash cost of the Project.

7.2 Technology Readiness Level (TRL)

The Technology Readiness Level (TRL) describes the maturity of a given technology. This scale is used to identify where on the innovation value chain a project lies, and what the level of investment risk is for MRIWA.

As the nature of research is unpredictable, MRIWA does not require outcomes to achieve a specific TRL by the end of the Project. However, The METS program is focussed on funding projects from the Technology Development to System in Operation levels (TRL3-TRL8). All applications should demonstrate a plan to progress beyond the starting TRL to over the course of the Project.

Foundation/Basic Research	TRL 1	Basic principles observed
Research to Prove Feasibility	TRL 2	Technology concept formulated
	TRL 3	Experimental proof of concept
Technology Development	TRL 4	Technology validated in lab
Technology Demonstration	TRL 5	Technology validated in relevant environment
	TRL 6	Technology demonstrated in relevant environment
System Development	TRL 7	System prototype demonstration in operational environment
System in Operation	TRL 8	System complete and qualified
	TRL 9	Actual system proven in operational environment

7.3   In-kind contributions

While MRIWA appreciates the value of in-kind contributions to the Project, the financial value of in-kind contributions is not considered when assessing an Application or determining the financial leverage rate for the Application.

7.4   Letter of Support

The Sponsor's Letter of Support must be provided on the Sponsor's formal letterhead, be signed by the person with authority to commit the funds to the Project and include the information as outlined below.

The Letter of Support template is available for download from the MRIWA website.

A Letter of Support is not required for the Grantee's contribution to the Project.

7.5   Resources to confirm freedom to operate

	Trade marks	Patents	Registered Designs
Australia	Australian Trade Mark Search *(for Australian trade mark records only)*	AusPat *(for Australian patent literature only)*	Australian Design Search *(for Australian design literature only)*
United States	TESS *(for US trade mark records only)*	USPTO PatFT/AppFT *(for US patent literature only)*	USPTO PatFT/AppFT *(for US design patent literature only)*
Europe	eSearch plus *(for EU trade mark records only)*	Espacenet *(for EP patent literature and a range of foreign patent literature (e.g. Australia, China, Japan, US etc))*	eSearch plus *(for EP design literature and a range of foreign design literature (e.g. Australia, China, Japan, US etc))*
General	Global Brand Database *(for brand data from multiple national and international sources)*	- PATENTSCOPE *(for PCT patent literature and patent documents of related national/regional patent offices)*	Global Design Database *(for design details from multiple national and international sources)*

8   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.

Associate Investigator means a person who provides an important contribution to the project and would warrant inclusion in research publications etc but does not meet the definition of Key Personnel.

Background Intellectual Property or **Background IP** means all Intellectual Property owned by a Party, or which a Party is licensed to use, prior to the commencement of the Project made available for the conduct of the Project, including the Intellectual Property described in the Application.

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

Confidential Information means all information disclosed by a Party (Discloser) to another Party (Recipient) for the purposes of or in connection with a Project that:
   a) if provided in writing is marked or identified in writing at the time of disclosure as being confidential;
   b) if provided orally is identified as confidential at the time of disclosure and which is subsequently confirmed by the Discloser in writing to the Recipient to be confidential; or
   c) however, provided, by its nature should have been understood by the Recipient to be confidential,
but excludes any information that:
   d) the Recipient can prove was known to the Recipient prior to receipt from the Discloser, and which is not subject to an existing obligation of confidence;
e) is in or enters the public domain otherwise than as the result of a breach by the Recipient of this Agreement or other obligation of confidence; or
f) is lawfully obtained by the Recipient from a person who is not under an obligation of confidence to the Discloser in respect of that information.

Eligibility Criteria means the criteria an Application must meet in order to be considered for funding by the Grant Assessment Panel and the MRIWA Board.

Grant Assessment Panel means the members of the MRIWA College selected to participate in the assessment of an Application.

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.

Intellectual Property or **IP** includes all copyright and neighbouring rights, registered and unregistered trademarks, registered designs, all rights in relation to inventions (including patents), plant varieties, Confidential Information (including trade secrets and know-how), circuit layouts, moral rights and all other rights resulting from intellectual activity.

Key Personnel means a person integrally involved in carrying out the Project and providing a significant contribution throughout the Project. Key Personnel are named in the Conditions of Grant and are not able to be replaced without the prior written approval of MRIWA.

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.

METS means mining equipment, technology, or services.

Merit Criteria means the qualitative criteria against which an Application will be assessed.

Minister means the member of the Government of Western Australia responsible for MRIWA.

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.

MRIWA Commitment means the portion of funds approved by the MRIWA Board to be contributed by MRIWA to a Project.

Non-confidential Project Information means the Project title, Participating Organisations, and total grant amount. It may also include summary information provided by the Project Participant in the Application or periodic progress report which has been clearly identified as information to be made available to the public.

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 or Other Organisation.

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

Program means the broad research areas identified in the Research Priority Plan.

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

Project Intellectual Property or **Project IP** means all Intellectual Property created during the course of and as a result of carrying out the Project. For the avoidance of doubt, Project Intellectual Property does not include Background Intellectual Property.

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.

Research Priority Plan means the research priority plan as prescribed under the MRIWA Act.

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

Technology Readiness Level or **TRL** means the level of maturity of a given technology and is used to identify where on the innovation value chain a project lies.

Theme means the narrow research areas identified in the Research Priority Plan which include an associated intended outcome.