

anlecr&d

Australian National Low Emissions Coal
Research & Development

REPORTING and PUBLICATIONS MANUAL

April 2019

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1. Introduction

The Australian National Low Emissions Coal Research and Development Ltd (ANLEC R&D) governing agreements were established in 2010 to implement a national program for low emissions coal research and development, to address research priorities identified in the National Low Emissions Coal Council (NLECC) strategy. These agreements set out how \$150M funding from the Commonwealth Government's Clean Energy Initiative and ACA Low Emission Technologies Ltd (ACALET) will acquit an approved research program to 2020.

ANLEC R&D's primary objective is to accelerate the technology development cycle by making accessible the knowledge and skills that reduce the risk and/or cost of developing and deploying Low Emissions Coal Technology (LECT) in Australia. In particular, ANLEC R&D's objective is to provide the independent and objective analysis, data and expertise that will most effectively facilitate the fast tracking of the design, permitting and operation of LECT plant using Australian coal under Australian conditions.

Whilst ANLEC R&D has the desire to publish as much of its funded research as possible in the public domain to achieve its objectives, it also recognises the need for commercial confidence and protection of Intellectual Property (IP) in certain cases and over certain periods of time. As such, all abstracts, extended abstracts, publications, reports or presentations etc. related to ANLEC R&D funded research (ANLEC R&D research products) shall first be submitted to the ANLEC R&D review and publication approval process described in this manual. Intellectual Property terms and conditions are determined by ANLEC R&D's Research Funding Agreements with the Commonwealth and ACALET and are specified in the ANLEC R&D Research Pro-forma Funding Agreements. Where required, this manual will make reference to relevant sections of those documents.

2. Report and Publication Classification

This manual details the procedures for obtaining approval from the General Manager, Research (GMR) and Managing Director (MD) for dissemination of results from ANLEC R&D funded research. The types of reports and publications that are discussed in the manual are within the following categories:

1. Technical Reports and Publications
 - a. Conference paper abstracts
 - b. Conference presentations
 - c. Journal and conference paper extended abstracts, full manuscripts and other public domain publications (such as notes or articles in trade magazines or book chapters)
 - d. Research project technical reports, including technical milestone reports
2. ANLEC R&D Compliance Reports
 - a. Overseas travel reports
 - b. Quarterly financial reports
 - c. Progress reports
 - d. Other ad hoc reports

Each category of report or publication follows a different process for its ANLEC R&D review, approval and dissemination. They are summarised in Table 1 below and discussed individually in the following sections of this manual. The review, approval and dissemination processes for technical reports and publications are also demonstrated in Figure 1.

Classification	ANLEC R&D External Technical Review Needed	ANLEC R&D Approval Needed
Conference Paper – Abstracts	No	No
Conference Presentations	No	Yes
Journal and Conference Paper – Extended Abstracts, Full Manuscript and Other Public Domain Publications	Yes	Yes
Research Project Technical Reports, including Technical Milestone Reports	Yes	Yes
Overseas Travel Reports	No	Yes
Quarterly Financial Reports	No	Yes
Progress Reports	No	Yes

Table 1: ANLEC R&D Reports and Publications review and approval summary

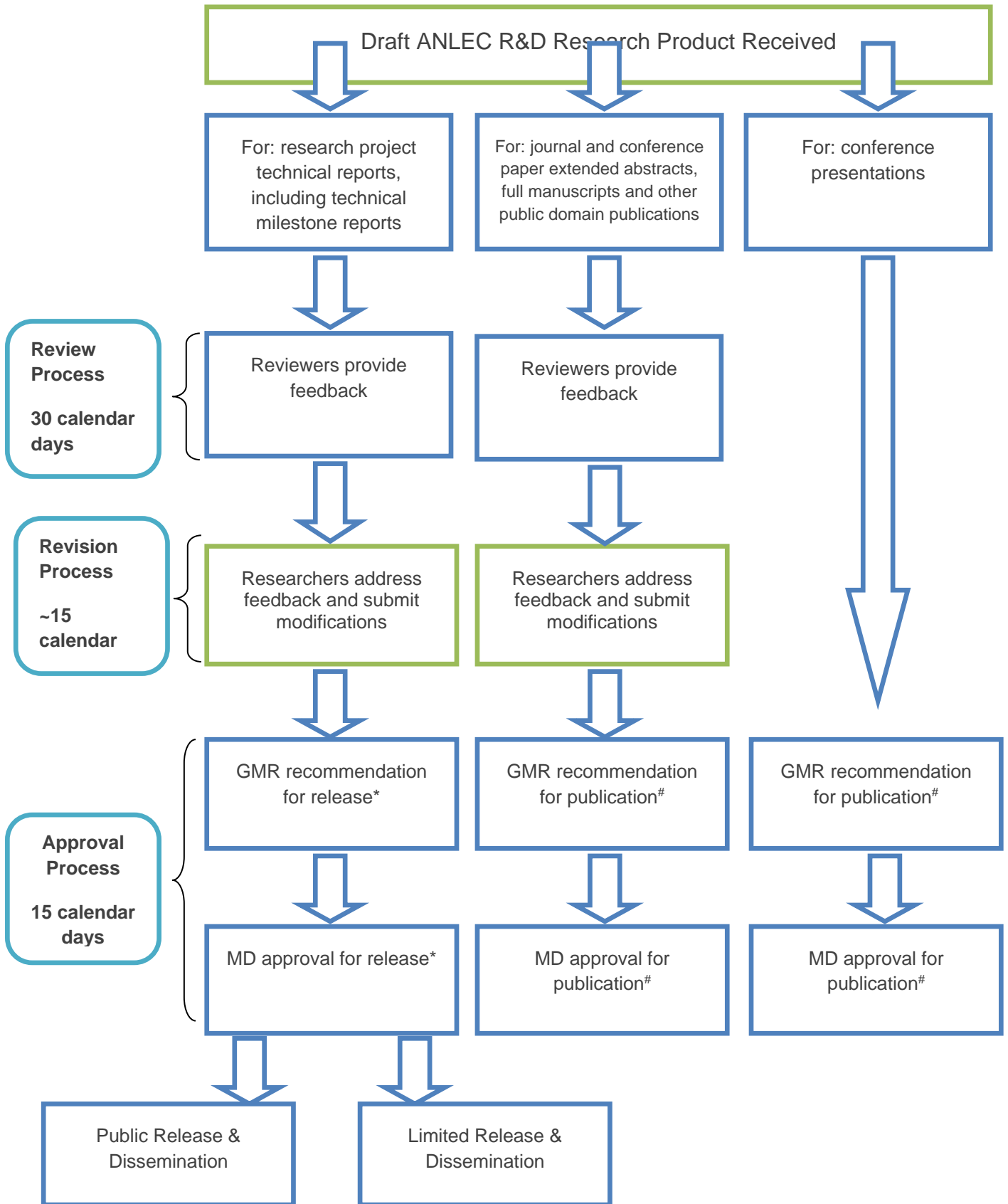


Figure 1 ANLEC R&D Review, Approval and Dissemination Process

* Note: As a result of Intellectual Property and Confidentiality Reviews, the GMR’s recommendation and MD’s approval may be for limited distribution only, or they may request a “public release version” of material being created.

Note: As a result of Intellectual Property and Confidentiality Reviews, the GMR and MD may decide not to approve the release and publication of journal and conference presentations or proceedings.

3. Review and Approval of ANLEC R&D Technical Reports and Publications

3.1 General

ANLEC R&D's key communication objective is to ensure that industry and policy makers are kept abreast of the latest LECT research results and outcomes so as to inform strategic business and policy decisions. Dissemination of research results and outcomes in the form of ANLEC R&D research products achieves this and is highly desirable.

In the event that projects are co-funded by other organisations or Government Departments, special conditions arising from such funding organisations relating to publication of results must be outlined in all submissions to ANLEC R&D with the necessary ANLEC R&D research product approval documentation from co-funders. It is a requirement that ANLEC R&D project leaders obtain the approval of all co-authors for any ANLEC R&D research product arising from the research project.

In all cases, it is expected that the author will have sought a review within the author's own organisation prior to submission to ANLEC R&D. To the extent possible, it is preferred that ANLEC R&D is included as part of (or is made aware of) this review process. This could shorten the time required for the subsequent ANLEC R&D review and approval process. On submission to ANLEC R&D, the lead author should indicate the details of this review and editorial process including the names of the technical reviewers. It is at the ANLEC R&D MD's discretion whether the prior review process is sufficient and ANLEC R&D reserves the right to seek additional science quality and editorial review if it is deemed necessary.

In order to reduce the inherent investment risk of first-of-a-kind plant and to support the demonstration of LECT's, it is very important to develop and maintain the trust of the relevant demonstration proponents who will inform the ANLEC R&D research agenda. One component of maintaining this relationship is to ensure the demonstration proponents have the opportunity to provide input to, and comment on, relevant ANLEC R&D research products. ANLEC R&D will achieve this by seeking review of technical reports and publications by the appropriate Embedded Technology Manager (ETM) and/or demonstration project personnel when the ANLEC R&D research products have relevance to demonstration projects. When ANLEC R&D research products are not demonstration project relevant, ANLEC R&D may seek an alternative industry reviewer to be included in the review process.

To ensure the process of writing, submission, review, revision, re-submission (if required) and dissemination goes smoothly, the following sections provide an overview of the report and publication review and approval process with guidance on layout and advice on general aspects of writing and style.

3.2 Format Requirements

Most journals and conference proceedings have detailed format requirements for the preparation of papers which must be followed. ANLEC R&D chooses to have its technical reports including technical milestone reports published under the authors home organisation branding. This ensures responsibility for the ANLEC R&D research product lies with the respective science service providers. If an ANLEC R&D format is required, the preferred structure and format requirements for ANLEC R&D technical reports are stated in Appendices A&B respectively.

3.3 Acknowledgement

All publications, promotional, advertising materials, public announcements, events and activities in relation to the Research Project, or any products, processes or inventions developed as a result of the ANLEC R&D Research Project) requires acknowledgements of all organisations that provide funding (cash and in kind) for the project. The required format for acknowledgement to ANLEC R&D is:

“The authors wish to acknowledge financial assistance provided through Australian National Low Emissions Coal Research and Development (ANLEC R&D). ANLEC R&D is supported by COAL21 Ltd and the Australian Government through the Clean Energy Initiative.”

3.4 Confidentiality and Intellectual Property

In the event that results and/or project outcomes are of a confidential nature or contain encumbered Intellectual Property, it is the responsibility of the project leader to bring this to the attention of the ANLEC R&D MD.

In accordance with ANLEC R&D funding requirements, the lead author of ANLEC R&D research product shall seek the consent of the ANLEC R&D MD prior to circulating results. This is especially important if such material:

- Has not had the opportunity to receive feedback from relevant ANLEC R&D stakeholders;
- Is in the draft stage and under review;
- Publishes or discloses Background Intellectual Property or confidential information without the written consent of the owner; or
- Has not been approved by all authors/co-authors.

3.5 Evaluation Criteria

The criteria used to evaluate the quality of the technical reports and publications include:

- A. Confidentiality Review: Ensures there is no potential for breach of the confidentiality obligations imposed by the Project Funding Agreement. In particular, approval in writing or by email from the relevant owner of confidential material should be obtained. Further information regarding confidentiality is discussed in section 3.4.
- B. Intellectual Property Review: Ensures there is no potential for compromising project Intellectual Property resulting from the work. In particular, approval in writing or by email from the relevant owner of encumbered Intellectual Property should be obtained. Further information regarding Intellectual Property is discussed in section 3.4.
- C. Quality Assurance Review: Ensures the proposed technical report or publication is of the highest science quality and relevance and satisfies those criteria necessary to proceed to public release.
- D. Integrity Review: Ensures the data collected is accurate and precise and the methods of collection are documented, the interpretations are presented clearly and without apparent bias, appropriate references are included and prior efforts are acknowledged.
- E. Objectivity Review: Ensures the conclusions are based on accurate data interpreted with sound scientific reasoning.
- F. Accomplishment Review: Ensures that the report accomplishes the associated objectives and tasks specified against it in the Project Funding Agreement.

3.6 Conference Publication for Abstracts and Presentations

Abstracts generated from ANLEC R&D funded projects do not require a full review and approval process. They need, however, to be submitted to ANLEC R&D for information prior to its submission to the nominated conference.

Presentations such as PowerPoint files generated from ANLEC R&D funded projects need to seek approval prior to the conference. Intellectual Property and Confidentiality Reviews will be conducted within ANLEC R&D as part of the approval process. No technical review is normally required in this case, unless deemed otherwise by the ANLEC R&D GMR. Every effort will be made to provide a decision (yes, no or deferred) within 30 calendar days from submission.

In accordance with ANLEC R&D funding requirements, the acknowledgement (see section 3.3) should be placed on the second slide of the presentation.

The following process applies to all ANLEC R&D sponsored presentations for technical conferences or public seminars:

- A. The ANLEC R&D Publication Approval Request form (Appendix C) for Conference Presentation shall be completed and submitted to the ANLEC R&D GMR, via ANLEC R&D administration (admin@anlecrd.com.au), with the presentation being provided. The original of the form will be retained for administration purposes and a copy will be returned to the authors for their records.
- B. ANLEC R&D will notify the requesting author, whether permission has been granted, not granted or delayed within 30 days of receipt of a request for publication of an abstract or a presentation. The ANLEC R&D GMR may seek advice from the stakeholders/contributors in respect of any request for permission to present.

3.7 Journal or Conference Publication for Extended Abstracts, Full Manuscripts and Other Public Domain Publications

All submissions for publication in journals and/or conferences must remain consistent with the conditions set out in the Project Funding Agreement.

Note that all extended abstracts, full manuscripts and other public domain publications are required to contain the ANLEC R&D acknowledgements as described in section 3.3.

The following process applies to all ANLEC R&D sponsored manuscripts for journals or conference proceedings. Note that abstracts and presentations for technical conferences or public seminars are discussed separately in section 3.6.

- A. The ANLEC R&D Publication Approval Request form (Appendix C) for Journal/Conference Publication shall be completed and submitted to the ANLEC R&D GMR, via ANLEC R&D administration (admin@anlecrd.com.au), with the manuscript being provided. The original of the form will be retained for administration purposes and a copy will be returned to the authors for their records.
- B. ANLEC R&D will notify the requesting author, whether permission has been granted, not granted or delayed within 30 days of receipt of a request for publication. The ANLEC R&D GMR may seek advice from the stakeholders/contributors in respect of any request for permission to publish.
- C. If upon expiry of this period the author has not received written (or email) notification, the authors may request the approval from the ANLEC R&D Board.
- D. If the ANLEC R&D Board does not notify the authors of its decision within 60 days that ANLEC R&D Board receives such a request, the request shall be deemed as approved.
- E. In the event that a publication is amended after the request for publication is submitted, or after approval to publish is received, the principal author shall ensure that a copy of the amended publication is provided to the ANLEC R&D GMR and his attention drawn to the substantial changes.
- F. An electronic copy of the final paper, as published in the scientific journal/conference proceeding, is to be provided to ANLEC R&D within two weeks of the publish date.

3.8 ANLEC R&D Technical Reports

Important outputs from ANLEC R&D are the science and technology reports arising from research and other activities. Project leaders and ANLEC R&D researchers are encouraged to actively seek opportunities for disseminating information that will advance its overall research, education and technology transfer objectives and the specific interests of low emissions coal technology. Reports will preferentially bear the brand of the primary author's research organisation.

ANLEC R&D research project technical reports include technical milestone reports and ad hoc technical reports as required from time to time. The submission dates of milestone reports are specified in the Project Funding Agreement and IP Deed Poll for each individual project. Reports identified as the final technical milestone of any

given project are required to achieve their review and approvals prior to its final project payment. It is the project leader's responsibility to produce a publication-ready report.

In accordance with ANLEC R&D funding requirements, the acknowledgement (see section 3.3) should be placed on the second page of the report.

Process A to F described in section 3.7 will also apply to the ANLEC R&D technical reports discussed in this section. The titles of the technical reports may not exceed 12 words and/or 80 characters in total. The flow diagram in Figure 1 shows the review and approval process within ANLEC R&D.

Once a technical report is approved through the ANLEC R&D review process, it may either be released in the public domain (including but not limited to the ANLEC R&D website and GCCSI website), or to a limited list of recipients, depending on the level of commercially sensitive information involved in the report. An ANLEC R&D email newsletter will announce the release of any approved non-confidential reports on a regular basis. ANLEC R&D retains the right to produce and distribute hard copies of approved technical reports (and references to publications) to the broader audience as is deemed necessary.

4. Approval of ANLEC R&D Compliance Reports

4.1 General

ANLEC R&D research projects are monitored routinely for expenditure tracking and progress against milestones in the form of compliance reports. ANLEC R&D compliance reports include overseas travel reports, quarterly financial reports, progress reports, and other ad hoc reports as required.

4.2 Overseas Travel Reports

ANLEC R&D project leaders and researchers may be required to conduct overseas travel one of the following reasons:

A. Project Related International Travel

ANLEC R&D will approve overseas travel against a project in rare cases where there is material justification that it is necessary for completion of the project. Approval of a project funding agreement that has international travel detailed within it will be considered as evidence of approval for the international travel.

ANLEC R&D researchers undertaking ad-hoc international travel not already included in the project funding agreement must seek approval by the ANLEC R&D MD before the time of the travel.

B. Non-Project Related International Travel

There may be occasions where an individual is requested by ANLEC R&D to attend an overseas event, with ANLEC R&D full or partial funding.

In compliance with ANLEC R&D Travel Policy, researchers are requested to submit an overseas travel report (Appendix D) on completion of the travel. Overseas travel report sign-off from the ANLEC R&D MD is a pre-requisite to reimbursement of travel costs.

4.3 Quarterly Financial Reports

The proponent organisation or nominated project secretary must provide a quarterly financial report, including:

- a. A statement of the funds received and spent during the preceding quarter; and
- b. A description of the activities carried out during the preceding quarter.

The primary purpose of this report is for ANLEC R&D to comply with its funding agreement with ACALET. The details from these reports are consolidated and provided to ACALET for inclusion in income tax returns of ACALET members in relation to R&D tax concessions.

Further instruction can be found in the 'Project Proposal Template'. The template emailed to the researcher each quarter by ANLEC R&D should be used to complete and return the quarterly financial reports.

Quarterly financial reports are to be provided to the Project Coordinator, Research using the ANLEC R&D template, and submitted by 28th January, 28th April, 28th July and 28th October each year, or as otherwise specified in the Project Agreement for individual projects.

Quarterly financial reports are not designed to be exhaustive, but should provide sufficient detail to ensure that ANLEC R&D can make an objective assessment of the project progress against its plan, as well as providing tax related information to ACALET. These reports also afford added opportunity for the researcher to alert ANLEC R&D of any known changes and/or issues relating to the project.

4.4 Quarterly Progress Reports

Similar to the quarterly financial reports, the project leader is expected to provide four progress reports each year by the 28th January, 28th April, 28th July and 28th October each year, or as otherwise specified in the Project Agreement for individual projects.

Each progress report should include a “traffic light”, (red, amber, green), indication of progress against milestones achieved, a brief description of science highlights, and an explanation for any project delays or failure to achieve planned milestones and objectives. Further instruction can be found in the ‘Progress Reporting Template’ that is emailed to the project leader at the end of the quarters. The templates are required to be used to complete the progress reports.

Progress reports should provide sufficient detail to ensure that the ANLEC R&D executive can report to the ANLEC R&D Board and other stakeholders, an objective assessment of the project progress against its plan.

5. Public release of ANLEC Reports

5.1 General

ANLEC R&D technical milestone reports are placed on the ANLEC website after they have been approved, and verified to not contain any information that is confidential and/or sensitive to researchers or Demonstration Projects. IP and confidential information associated with an ANLEC milestone report is contained in the Research Product Approval Request Form (Appendix C), which is to be submitted with every milestone report. Researchers may use this form to request a delay in the public release of a milestone report due to sensitivities with the information contained. Public release of ANLEC reports will only occur with the express permission of the relevant Project Leader.

Not all milestone reports will be publicly released. Some milestone reports will be written with ANLEC as the audience and will not contain information in a form that is suitable for public release. The decision to publicly release a report will be made by the Administrative Assistant, Research (AAR) and General Manager, Research (GMR).

5.2 ANLEC Newsletter

The ANLEC Newsletter is sent out every four months and contains details of publications and reports that have recently been released by ANLEC and reports released by ANLEC related organisations (IEACCC, IEAGHG, CO2CRC).

APPENDIX A ANLEC R&D REPORT STRUCTURE REQUIREMENTS

All ANLEC R&D Technical Reports will be published according to a standard design which should contain but not be limited to the following:

a. Title Page

The Title Page will have a standard format which shows the following information:

- Title
- Project number
- Authors and affiliations
- Proposed form of publication, related project, etc (as appropriate)
- Date of Submission (month/year)

b. Acknowledgement and Disclaimer

Acknowledgement is to be made to ANLEC R&D funding following the required format specified in section 3.3.

c. Response to Reviewer's Comments (if relevant)

d. Executive Summary

The Executive Summary shall be 1-2 (max) pages long identifying the context and purpose of the work and highlighting the critical findings of the report.

e. Table of Contents

The format for ANLEC R&D Reports will typically include the following major headings:

- Introduction
- Previous Work / State of the Art (if relevant)
- Methodology (if relevant)
- Results and Discussion
- Conclusions
- Recommendations
- List of Abbreviations
- References

f. List of Tables

g. List of Figures

APPENDIX C ANLEC R&D RESEARCH PRODUCT APPROVAL REQUEST

TO: ANLEC R&D General Manager, Research

SUBMISSION DATE:

RESEARCH PRODUCT TITLE (12 WORDS MAX):

ANLEC R&D PROJECT REFERENCE NUMBER:

AUTHOR(S) AND AFFILIATION:

Author	Affiliation

RESEARCH PRODUCT CATEGORIES:

- ANLEC R&D Research Project Technical Reports
- Conference Presentations
- Journal and Conference Paper – Extended Abstracts
- Other Public Domain Publications
- Journal and Conference Paper – Full Manuscript

RECOMMENDED JOURNAL/CONFERENCE MEETING (if applicable):

TITLE:

DATE:

PLACE:

RESEARCHERS ORGANISATION INTERNAL TECHNICAL/EDITORIAL REVIEW (if applicable):

Reviewer	Organisation

INTELLECTUAL PROPERTY AND COMMERCIAL-IN-CONFIDENCE INFORMATION:

- 1. Confidential material or Intellectual Property has been
 - Provided by ANLEC R&D to the research project YES/NO
 - Provided by a demonstration project or other stakeholder to the research project YES/NO
 - Developed within the research project YES/NO
 - If yes, is this reported in the 6 monthly Project Intellectual Property register? YES/NO
- 2. The research product material contains information which
 - May impact on current or potential patenting actions YES/NO
 - Would prejudice current or future commercialisation/marketing activities if released now YES/NO
 - May breach a confidentiality agreement YES/NO
 - Is in a form which any stakeholder might consider sensitive YES/NO
- 3. The research product has been approved by all co-authors and contributors YES/NO
- 4. Are there any scientific/technical reasons why public domain release is not appropriate? YES/NO
- 5. Do you recommend that the research product be kept confidential? YES/NO
 - 5a. If yes, please specify the confidentiality period required: ___ months

I hereby provide permission for this research product to be circulated to ANLEC R&D stakeholders following ANLEC R&D approval

Project Leader	Signature	Date

ANLEC R&D OFFICE USE ONLY

- | | |
|--|---|
| <input type="checkbox"/> External Review Completed | <input type="checkbox"/> Approval by an ANLEC R&D ETM/demonstration project personnel or collaborator for release |
| <input type="checkbox"/> Demonstration project related | <input type="checkbox"/> Recommended for Approval |
-
- | | |
|---|--|
| <input type="checkbox"/> Approval for Public Release | <input type="checkbox"/> To be placed on website |
| <input type="checkbox"/> Approval for Selected Stakeholders | <input type="checkbox"/> Communications Package required |

General Manager, Research	Date

Managing Director Approved	Date

APPENDIX D OVERSEAS TRAVEL REPORT

TO: ANLEC R&D Managing Director

SUBMISSION DATE:

TRAVEL REPORT TITLE:

ANLEC R&D PROJECT
REFERECE NUMBER:

OVERSEAS TRAVEL PERSONNEL:

Name	Organisation

OVERSEAS TRAVEL SCHEDULE:

Origin	Destination(s)	Duration of Trip

TRAVEL OBJECTIVES:

TRAVEL FOLLOW-UPS: *(could include a list of contacts for potential collaborative project opportunities)*

ACTIVITY REPORT:

A succinct and insightful summary of the activities should be attached including the following where relevant:

1. Low emissions coal technology intelligence and emerging issues
2. Global energy trends and perspectives
3. Research and collaboration opportunities
4. Research management initiatives and opportunities
5. Meeting program
6. Conference program
7. List of available literature

ANLEC R&D OFFICE USE ONLY

Managing Director Approved

Date