

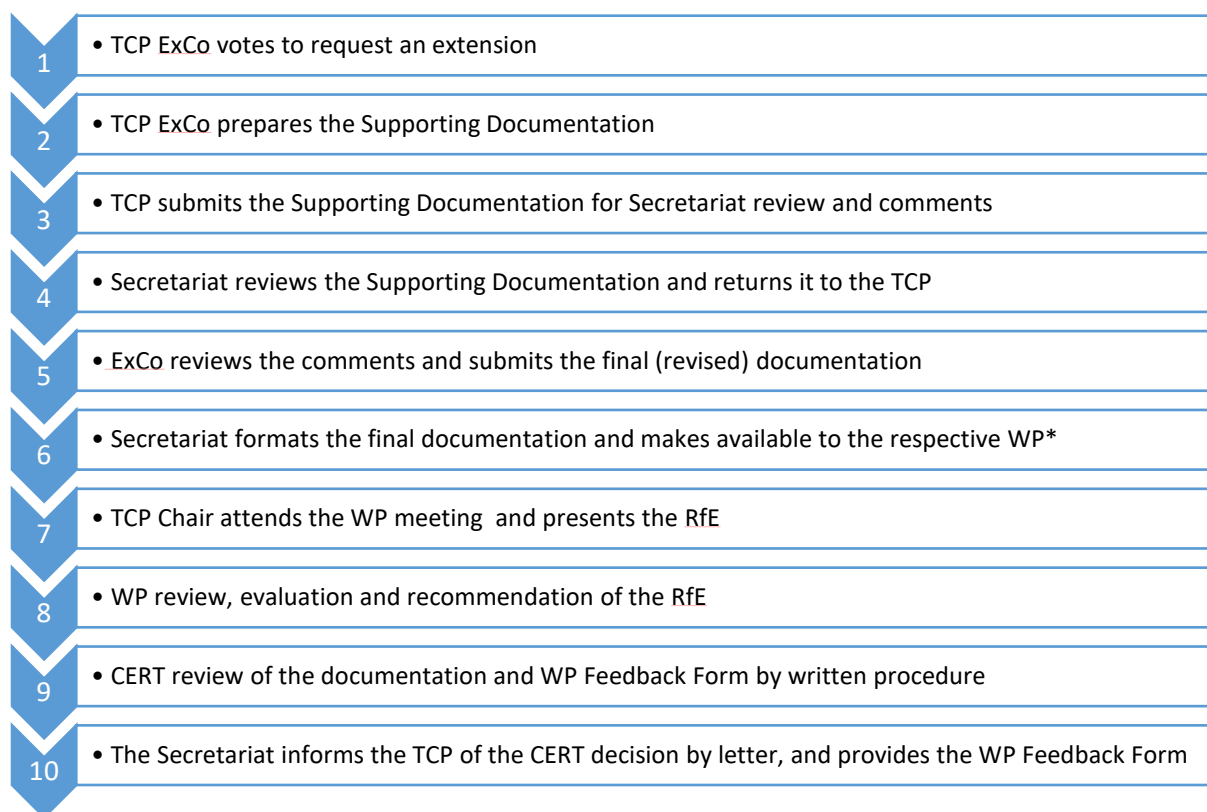
## **IEA Secretariat Suggested Guidance to TCPs: Preparing the Supporting Documentation for a Request for Extension**

The aim of this note is to provide additional guidance to TCPs to prepare the Supporting Documentation for a Request for Extension (RfE).

It draws on practice to date with TCP submissions, Working Party (WP) feedback, and Secretariat experience. The guidance is organised as follows:

1. Overview of the process
2. Frequently Asked Questions
3. General comments
4. End-of-Term Report
5. RfE Questionnaire
6. Strategic Work Plan
7. Presentation to the WP

### **1. Overview of the process**



\*The CERT evaluates and decides on the RfE for cross-cutting TCPs.

## 2. Frequently Asked Questions

### ***Whom should we contact with questions on our request for extension?***

For all communications relating to your request for extension, please contact [TCP@iea.org](mailto:TCP@iea.org) and your Desk Officer.

### ***Are there standard templates for the RfE documentation?***

There is an excel template for the Questionnaire, but the CERT did not specify a template for the End-of-Term report or the Strategic Work Plan. The CERT did, however, specify a *maximum length* of 5 pages for the End-of-Term report and 2 pages for the Strategic Work Plan.

Please see below for guidance on organisation and content.

### ***Does the End-of-Term Report and Strategic Work Plan require a cover page or appendices?***

No, please do not include a cover page or table of contents for either document. It is important to follow the length requirements for each document as closely as possible.

The Secretariat suggests limiting the number of appendices attached to the End-of-Term Report. Under the 2016 RfE Guidelines, TCPs may decide to include any two page annual reports, however, it is worth remembering that these reports have already been made available to all CERT delegates on publication.

### ***We are ready to submit all Supporting Documentation to the Secretariat. Who reviews and provides comments?***

TCP Desk Officers and the internal IEA TCP Coordination team principally provide comments. However, we may also seek input from other relevant colleagues.

Please submit all documents in Word format or Excel as the Secretariat will provide comments directly inline or in the margin.

### ***What types of comments may we expect from the Secretariat?***

The Secretariat will provide both substantive comments and suggestions relating to formatting and presentation. Comments may include suggestions for clarifying the lessons learned from each annex (RfE Questionnaire qualitative section), checking completeness and accuracy of the information provided in the RfE Questionnaire qualitative section, as well as considerations for the Strategic Work Plan.

### ***What happens after the TCP returns the final (revised) documents?***

The Secretariat finalises the formatting of the document, prepares the IEA cover page and submits them to the respective WP for review.

### ***Is there a standard template for the in-person presentation to the WP?***

The CERT did not specify a template for the in-person presentation. Following the same outline used in the End of Term Report would facilitate the evaluation, as the reviewers would be able to cross-reference the presentation with your Supporting Documentation.

### ***What is the process for the in-plenary review by the WP?<sup>1</sup>***

The TCP Chair will be invited to attend the meeting in person and to present the RfE. Following the presentation, delegates may have questions. Then the TCP Chair may be asked to leave the room during the discussion, evaluation and agreement on the recommendation. The TCP Chair will be informed of the recommendation.

### ***What happens after the WP review?***

The same documents that were submitted to the WP will be forwarded to the CERT, together with the WP Feedback Form summarising delegates' views. The CERT will review these documents by written procedure (email vote). Once the written procedure ends, and if no comments or objections have been received, the extension will be considered approved. The TCP Chair will

---

<sup>1</sup> Each WP may have alterations to this general overview. For example, the EUWP Vice-Chair for the TCP sector will carry out the in-plenary review.

receive a formal letter of notification of the CERT decision together with a copy of the WP Feedback Form, and the decision will be recorded at the next CERT meeting.

### 3. General comments

#### Communicating your messages

- Focus on the most important messages using less text: Under the 2016 CERT Guidelines, the End of Term Report and Strategic Work Plan are limited to five and two pages respectively. This is an important change from the previous 2010 Guidelines. Therefore choose your words carefully, focusing on the *most important outcomes or activities* rather than listing everything that was done. The RfE Questionnaire provides space to qualify - and quantify - the outcomes.
- Scientific terms: The target audiences for your texts are CERT and WP delegates. Not all of the delegates have a technical background, and those that do likely will not have specific expertise in the field of your TCP. Therefore, you should avoid highly technical terms where possible and instead use language understandable by non-experts. For each outcome, include the role of the TCP in achieving it (experiments, applied research, workshops, raising awareness, information sharing).

#### Terminology

- Common terms: To ensure understanding, below are definitions of the terms used for your Supporting Documentation, in particular the End of Term Report and the RfE Questionnaire qualitative section:
  - Activities (*what does your TCP do?*): Short-term or ongoing projects (annex, task); collaborative experiments; round-robin testing; exchanges of scientists or materials; managing experts' networks; carrying out studies; raising awareness of technology advancements (through the TCP and/or within the industry); contributing expertise to activities led by others (such as international organisations and fora); or creating and/or maintaining models, software, or calculating tools.
  - Outputs (*how are the activities disseminated/made known?*): Sharing the results of the activity through tangible means such as print (e.g. papers, publications, policy briefs, newsletters), electronic (e.g. websites, webinars, video), in person (e.g. symposia, workshops, conferences), or data-related (databases, models).
  - Outcomes (*what are the impacts?*): A measurable, quantifiable follow-on effect of the output. For example, feeding data/research results/expertise into creation of a new (or revising an existing) industry standard, building code or policy; greater harmonisation across markets; increased deployment of the technology following publication of how-to case studies; reduced greenhouse gas emissions from the technology; improved consumer confidence; deepening scientific understanding of phenomena; or expanding the knowledge base for your area.
  - Key messages (*what do you want policy makers to know?*).

#### Formatting

The following formatting tips will help to save space and ensure that your report is no longer than five pages.

- Single spacing and spaces between paragraphs: Single-spaced lines with a small space between paragraphs (e.g. 6pt) results in a document that is easy to read. If you find that you still cannot fit your information into five pages, consider shortening the text.
- Tables: Tables are useful to show information not reported elsewhere (i.e. the RfE Questionnaire) or that could not be easily summarised in one or two sentences. However, do not use tables to list information that could be replaced with one or two sentences.

*Ex: Replace a list of ExCo meeting dates and locations (several lines of text) with a sentence such as 'The ExCo held meetings [once/twice] each year with each Contracting Party hosting in turn' is sufficient. Additionally you may wish to highlight that '[Country], which joined on [date], hosted the [month and/or year] ExCo meeting'.*

However, including a table showing the Contracting Parties and/or Sponsors and the date they joined would be useful as this detail is not reported elsewhere.

- Graphics/font: The TCP will be evaluated solely on the content of the RfE Supporting Documentation. These documents are not designed to be made publicly available. Therefore there is no need to spend time or resources intricate layouts, graphical schemes or to use exotic fonts. Time would be better spent focusing on the content.

## 4. End of Term (EoT) Report

### **CERT requirements**

- **Purpose and content:** *The purpose of the EoT Report is to provide an overview of the current term and key TCP accomplishments. The content should highlight the added value, importance and relevance of the TCP's activities in the field of energy technology RD&D.*
- **Length:** *the CERT requirements specify an EoT to be no longer than five pages. The annual two-page WP reports may be attached.*

### **Suggested guidelines**

#### **Structure**

The CERT did not specify a specific structure for the EoT Report or provide a template. Based on experience, the following structure may be useful in guiding your thinking. This is provided as an example, and you should feel free to deviate from this suggested structure if there are particular points that your TCP would like to highlight.

- **Key Outcomes:** Highlight the 3-5 most significant takeaways from the previous term.
- **Strategy/Vision:** Summarise the overarching strategies or drivers for the previous term. This could take the form of the vision statement or a mission statement that guided your previous term.
- **Summary of Activities:** Explain at a high-level the most significant activities the TCP carries out, including any major international conferences, publications, and other highlights.
- **Collaboration:** Identify any collaborations with groups or entities outside the TCPs. Include joint work with other TCPs, with non-TCP international collaborations, with the IEA Secretariat, and with other organisations.
- **Governance:** Note any relevant actions related to the governance of the TCP, such as elections of Chairs and Vice-Chairs, selection processes for Secretariat or Operating Agent, any changes in membership, and any significant changes in procedures or management processes.
- **Assessment of Evaluation Criteria:** While the CERT did not set guidelines regarding the required content of the EoT report, they did include criteria for evaluation on the WP Feedback Form. We would suggest identifying the TCP's successes and challenges with respect to each of these criteria, if possible. There may be criteria that does not apply to your TCP and if not included you may be asked to explain why you have not dealt with it during the WP review.
  - Strategic Direction
  - Scope
  - Technology RDD&D
  - Environmental protection
  - Outcomes, successes and best practice
  - Policy relevance
  - Membership
  - Synthesising and disseminating results
- **Lessons Learned/Conclusion:** Identify any significant lessons learned from the previous term that you may be planning to address in the new term.

## 5. RfE Questionnaire

### **CERT requirements**

- **Purpose:** To provide additional information on the current term which is intended to supplement the EoT Report and to provide measurable, quantitative information on the outputs of the TCP.
- **Content:** The Questionnaire is divided into two parts:
  - A **qualitative** section which provides a summary of the Annexes, Tasks and/or key activities undertaken by the TCP during the current term; and
  - A **quantitative** section which provides measurable information regarding the TCP, its outputs, membership and costs during the current term. To note that this section of the questionnaire is used for information only and is not evaluated as part of the TCP's RfE. This information may also be used by the Secretariat for the purposes of its analysis but will not be published or disseminated further without the explicit consent of the TCP.
- **Length:** The exact length will depend on the amount of information included but should not exceed 6 pages.

### Suggested guidelines

#### **Qualitative section**

##### **Overview of categories:**

- **Activity name:**  
*Suggestions*
  - Task/Annex reference (number): Move the task/annex number to follow the activity topic (of more interest and recognizable to the WP and the CERT). For example *Measuring Emissions from High-Efficiency Boilers (Task 24)*.
  - Collaborative Tasks: if the TCP participates in Joint Annexes or Collaborative Tasks, suggest bolding that information to make it more prominent.
- **Activity type:** Enter the category that most correctly describes the primary goal of the activity: basic research, applied research, pilot/demonstration, data collection, modelling, raising awareness, other.
- **Objectives:** Provide a brief description of the main objectives of each activity.
- **Term:**  
*Suggestions*
  - Projects completed during the past term: Report the month and year it was completed.
  - Projects that will continue beyond the EoT date: List the beginning and end year (i.e. 2019-2021).
- **Total budget for term:** Insert the total budget for the RfE term rather than the total budget for the project term. This ensures that the combined project amounts will be comparable to the RfE term budget reported in the Quantitative Section. Task-shared activities should be marked accordingly.
- **Key findings and lessons learned:** The aim of the RfE questionnaire is to focus on the *why* and the *significance or impact* of your activity.

#### **Quantitative Section**

- **General comments**
  - Texts and notes should only be included in the TCP comments column.
  - If you need more space to indicate an 'Other (specify)' indicate this in the TCP comments column.
  - Indicate the change compared to the previous term for all items.
  - If a category does not apply to your TCP mark N/A. If you do not have the information requested, leave blank.

- **Work Programme**
  - **Experts' networks:** These are dedicated networks formally established as a network by the TCP. This would not include, for example, participants in an annex.
- **Outputs**
  - Number of publications and scientific journal articles should only include those wholly authored by members of the TCP (including annex reports).
  - Number of conferences or workshops may include webinars
- **Membership**
- **Costs of the collaboration**
  - Funding mechanism: Note if task-shared, cost-shared or mixed.
  - **Total annual budget:**
    - Cost-shared TCPs: The figure should be the total of Executive Committee support, substantive activities and efforts to raise awareness of your work.
    - Mixed: If your TCP is funded wholly or in part through in-kind contributions (task-shared), indicate only the cost-shared amounts (if/as relevant). For example a TCP which funds the Secretariat but the tasks are carried out in-kind would only report the Executive Committee support and the Total Annual Budget. In this case for substantive activities indicate in the Notes column 'activity is task-shared'.
    - Task-shared: If possible indicate the person-months.
  - **ExCo fees**
    - For cost-shared TCPs, indicate the total fees received from Contracting Parties or Sponsors, as relevant. In the Notes column provide details of the funding modality (e.g. fees paid per category of country).
    - Mixed: Enter the figure or n/a (if task-shared).
    - Task-shared: enter n/a.
  - **Full-time employees:** This should represent employees that dedicate all their time to the ExCo (analysis, raising awareness and/or administration).

## 6. Strategic Work Plan (SWP)

### ***CERT requirements***

- **Purpose:** The SWP should provide a high-level overview of the TCP's future strategy and its planned programme of work for the future term, and should provide an opportunity for the WP and CERT to advise on the strategic direction of the TCP and to develop linkages with other work programmes, where appropriate.
- **Content:** The SWP should highlight the added value, importance and strategic relevance of the TCP's proposed activities for the future term and the expected contribution to the field of energy technology RD&D. Where possible, highlight the relevance of the TCP to the IEA's mission in the areas of Energy Security, Economic Development, Environmental Awareness and Engagement Worldwide. The information included in the SWP may also help the WP and CERT to evaluate the strategic relevance of the proposed activities, in particular with regard to the IEA Medium-Term Strategic Plan for Research and Technology.
- **Length:** The CERT requirements specify the SWP as no longer than two pages.

### **Suggested guidelines**

#### **Structure**

The CERT did not specify a specific structure for the Strategic Work Plan or provide a template. Based on experience, the following structure may be useful in guiding your thinking. You should feel free to deviate from this suggested structure if there are particular points that your TCP would like to highlight.

- **Strategic Objectives for the next term:** List and explain the 4 – 5 strategic objectives foreseen for the next term
- **Reflections on TCP relevance in broader global developments:** Provide overview of current or upcoming global developments in the specific technology area or energy sector of the TCP and explain any links to the TCP's work
- **TCP alignment with the IEA mission:** using the IEA Mission and the relevant IEA Medium Term Strategic Plan for Research and Technology as guides, explain the alignment of the TCP's programme of work with each goal, for example, energy security and economic development.
- **Presentation of Strategic Objectives:**
  - Ideally in table format present in three columns the TCP's priority research areas, the high level actions being taken and the current or ongoing tasks that align with the research area, or
  - Provide a list of the current or foreseen activities under each of the strategic objectives



## 7. Presentation to Working Party

There are no specific requirements for the presentation of your request for extension to the Working Party or CERT. We recommend that the presentation track closely the format and structure of the EoT report and SWP. However, delegates will have access to the complete RfE documentation ahead of the meeting. The slide deck should focus only on the most important highlights and developments.

Suggested format:

- Past [term dates],
  - Overall strategic direction at the beginning of the term
  - Rationale for the work programme in the term just ending
  - Key achievements and successes
  - Membership changes—successes and challenges
  - Lessons learned for coming term
- Future [term dates]
  - Identify any significant changes from previous term
  - Strategic direction and rationale for the work programme
  - Expected outcomes and results
  - Membership goals for coming term

**ANNEX 1**  
**WORKING PARTY FEEDBACK FORM**

<b>CERT PROCEDURE FOR A TECHNOLOGY COLLABORATION PROGRAMME REQUEST FOR EXTENSION</b>									
<b>SUPPORTING DOCUMENTATION</b>									
<b>SUMMARY</b>									
<b>INFORMATION TO BE PROVIDED BY THE TECHNOLOGY COLLABORATION PROGRAMME</b>									
<b>Legal name of the TCP</b>	Implementing Agreement for ...								
<b>TCP acronym</b>					<b>Website</b>	[insert hyperlink]			
<b>Submitted by (name of Chair)</b>					<b>Funding mechanism</b>	[enter one: cost-shared, task-shared or mixed]			
<b>Date the TCP was created</b>	mm-yyyy								
<b>Date of current term</b>	dd-mm-yyyy		<b>Term requested</b>	dd-mm-yyyy					
<b>INFORMATION TO BE PROVIDED BY THE WORKING PARTY</b>									
<b>Working Party:</b> _____									
<b>WP Ratings in relation to the RfE request</b>									
<b>Criteria</b>	<b>End-of-Term report</b>				<b>Strategic Work Plan</b>				<b>Notes</b>
	Meets (M) or Exceeds (E) expectations	Improvements suggested	Serious issue identified	N / A	Meets (M) or Exceeds (E) expectations	Improvements suggested	Serious issue identified	N / A	
<b>Strategic Direction</b>									
<b>Scope</b>									
<b>Technology RDD&amp;D</b>									
<b>Environmental protection</b>									
<b>Outcomes, successes and best practice</b>									
<b>Policy relevance</b>									
<b>Membership</b>									
<b>Synthesising and disseminating results</b>									
<b>Totals</b>									
<b>Comments relative to the Questionnaire</b>									
<b>Quantitative Section</b>									
Work programme									
Outputs									

Membership	
Costs of collaboration	
<b>Qualitative Section</b>	
Activity 1 [name]	
Activity 2 [name]	
Activity 3 [name]	
Activity 4 [name]	
Activity 5 [name]	
Other comments	
<b>FEEDBACK</b>	
<b>RECOMMENDATION</b>	
Based on the WP ratings and feedback, the [full name of the WP] recommends that the Committee on Energy Research and Technology (CERT) approve the request for extension of the Implementing Agreement for ... for [nn years] from dd-mm-yyyy to dd-mm-yyyy	

1. For documents to assist in the planning, preparing, completing and submitting of this questionnaire, see:

[www.iea.org/tcp/forum/](http://www.iea.org/tcp/forum/)