

# **GUIDELINES FOR THE REQUEST FOR EXTENSION (RfE) PROCESS CONCERNING IEA TECHNOLOGY COLLABORATION PROGRAMMES**

**applicable to Technology Collaboration Programmes with  
an end-of-term date of 1 November 2016 or later**

In accordance with the *IEA Framework for International Energy Technology Co-operation* (the **Framework**), an Implementing Agreement, or IEA Technology Collaboration Programme (**TCP**), may request an extension to its current term for a period of up to five (5) years<sup>1</sup>.

The purpose of these guidelines is to provide additional information about the request for extension (**RfE**) procedure and the supporting documentation that is requested by the IEA Committee on Energy Research and Technology (**CERT**).

The RfE process should be completed before the TCP's term expires. In general, the process begins at least one year before the date of the end of the current term to allow sufficient time for discussion, recommendations and decision-making by the TCP itself, the relevant IEA Working Party (**WP**) and the CERT.

The IEA Secretariat guides this overall process by providing advice to the TCP and additional information to the WP and to the CERT, as required. The main steps involved for the RfE procedure and additional information about the documents which should be prepared by the TCP are outlined below.

## ***PART A: Key Steps in the RfE process***

### **1. The Executive Committee (ExCo) of the TCP:**

- (a) contacts the Office of the Legal Counsel/IEA Secretariat approximately 18 months before the end of the TCP's current term to confirm the timetable for the RfE process.
- (b) takes a decision on whether to seek an extension to its term for an additional five (5) years, or for a shorter period of time if desired. The ExCo must take this decision in accordance with the legal text of the TCP (normally either by a unanimous or majority vote) and record the decision in the ExCo's minutes.
- (c) discusses the accomplishments of the past term and plans for the future term in order to prepare the following documentation for the RfE process:
  - a. An End-of-Term Report (**EoT Report**);
  - b. An RfE Questionnaire (**the Questionnaire**) ; and
  - c. A Strategic Work Plan (**SWP**),

together the "**Supporting Documentation**".

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<sup>1</sup> Under Article 4.2 of the Framework, the IEA Committee on Energy Research and Technology (CERT) may grant an extension for a period of more than five years, based on exceptional circumstances and sufficient justification.

- (d) prepares and approves the Supporting Documentation which is then submitted to the IEA Secretariat.
- (e) makes arrangements for the ExCo Chair (or his/her designee) to present the RfE at the relevant WP meeting before the end of term date. Cross-cutting TCPs will arrange to present the RfE to the CERT.

2. The **WP**:

- (a) evaluates the RfE on the basis of the Supporting Documentation, the presentation it receives from the TCP and the discussion between the TCP and delegates at the WP meeting in which the RfE is discussed. The WP may also take into account past WP recommendations and CERT decision from the previous RfE, if any.
- (b) records its ratings and comments in the **WP Feedback Form** and decides on whether to recommend an extension of the TCP and if so, for what duration (this may be for a shorter period than the ExCo requested). WP ratings include: *Exceeds Expectations*, *Meets Expectations*, *Improvements Suggested*, *Serious Issue Identified* and *Not Applicable* and cover eight (8) different categories.
- (c) submits a copy of the WP Feedback Form to the ExCo for the TCP's records and to the CERT.

3. The **CERT**:

- (a) reviews the Supporting Documents and the WP Feedback Form that it receives from the WP.
- (b) considers the TCP's RfE and the WP's recommendation and takes a decision on whether to approve the RfE. CERT will normally take this decision by a Written Procedure. A standard Written Procedure will take 21 days.
- (c) records the decision in the minutes of the subsequent CERT meeting. If the Written Procedure was not successful, CERT will consider the RfE at a CERT meeting and may invite a representative of the WP and/or TCP to be present.

4. The **IEA Secretariat**:

- (a) provides guidance to the TCPs, WP and CERT throughout the RfE process.
- (b) uploads all Supporting Documentation to the password-protected area of the IEA's website which is for use by WP and CERT delegates.
- (c) sends a letter of notification to the ExCo Chair and WP Chair, confirming the decision of the CERT.

## ***PART B: Guidelines for RfE Supporting Documentation***

The RfE process is an opportunity for the ExCo to discuss the TCP's accomplishments over the past term, to set the strategic direction of future work and to discuss the TCP's activities and plans.

This important information should be captured in the Supporting Documentation which is requested as part of the RfE process and which is used as the basis of the WP recommendation and CERT decision regarding the RfE.

It should be noted that the Supporting Documentation is not programme management documentation, and is therefore not intended to replicate the more detailed task and management plans inherent to ExCo and WP functional oversight of TCPs. Instead, the Supporting Documentation is intended to facilitate the review of TCP accomplishments and strategic alignment with IEA, CERT, and Energy Technology Network (ETN) priorities.

The Supporting Documentation will be made available to WP and CERT delegates through a password-protected webpage on the IEA's website and will not be used or further disseminated without the TCP's permission.

The EoT and SWP are intentionally unstructured documents, so that the TCPs can communicate past successes and forward strategy in a manner most relevant to the specific TCP. However some guidelines are provide below to facilitate preparation of the Supporting Documentation:

### **1. The End of Term Report (EoT Report):**

**Purpose:** To provide an overview of the TCP's current term and to provide an overview of key TCP accomplishments.

**Content:** Highlight the added value, importance and relevance of the TCP's activities in the field of energy technology research, development and deployment. Where appropriate, the EoT Report may also consider the relevance of the TCP to (i) the IEA's mission in the areas of *Energy Security, Economic Development, Environmental Awareness and Engagement Worldwide*; and (ii) to the IEA Medium-Term Strategic Plan for Research and Technology.

**Length:** Limit to five (5) pages in length but may include any annual two-page summaries previously submitted to the WP and/or CERT as appendices.

### **2. The RfE Questionnaire (the Questionnaire)**

**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 measureable 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:** There are two parts to the Questionnaire, the exact length will depend on the amount of information included but should not exceed 6 pages. The Questionnaire includes a broad set of questions, which may not all be relevant to each TCP. Accordingly, fields which do not apply may be left empty.

### **3. The Strategic Work Plan (SWP):**

**Purpose:** To provide a high-level overview of the TCP's future strategy and its planned programme of work for the future term. The SWP should also 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:** 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 research, development and deployment.

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:** Limit to two (2) pages in length.

### **4. The WP Feedback Form**

**Purpose:** To provide a summary and record of the evaluation and feedback provided by the WP/CERT in relation to the RfE. The WP Feedback Form is completed by the WP but will be shared with both the TCP and CERT to ensure transparency.

**Content:** Assessment of the TCP's EoT Report and SWP across eight (8) different categories, as well as the any key comments, remarks and recommendations from the WP.

**Length:** Limit to two (2) pages in length.

### **Other TCP reports and Strategic Communication**

In addition to the RfE process described in this document, TCPs are required to submit formal reports to the IEA during their term. These requirements are specified under Article 6 of the Framework. TCPs should contact the IEA Secretariat if they have any questions about these requirements and/or how to fulfil them.

Regular communication between the TCPs, WPs, the CERT and IEA Secretariat is also extremely important. These efforts are a key part of a broader strategy to help to ensure that the results of TCP activities are communicated to policy makers in an appropriate manner and that where possible, synergies are maximised.

## The RfE Questionnaire Template – Qualitative Section

CERT PROCEDURE FOR A TECHNOLOGY COLLABORATION PROGRAMME REQUEST FOR EXTENSION	
KEY FINDINGS OR LESSONS LEARNED FROM ACTIVITIES	
TCP acronym	
Activity name	
Activity type	[Pilot/research (basic, applied)/field study/model/database/network/manual/other (specify)]
Objectives	
Term	
Total budget for the term	
Key findings, lessons learned	
Activity name	
Activity type	[Pilot/research (basic, applied)/field study/model/database/network/manual/other (specify)]
Objectives	
Term	
Total budget for the term	
Key findings, lessons learned	
Activity name	
Activity type	[Pilot/research (basic, applied)/field study/model/database/network/manual/other (specify)]
Objectives	
Term	
Total budget for the term	
Key findings, lessons learned	
Activity name	
Activity type	[Pilot/research (basic, applied)/field study/model/database/network/manual/other (specify)]
Objectives	
Term	
Total budget for the term	
Key findings, lessons learned	
Activity name	
Activity type	[Pilot/research (basic, applied)/field study/model/database/network/manual/other (specify)]
Objectives	
Term	
Total budget for the term	
Key findings, lessons learned	
Activity name	
Activity type	[Pilot/research (basic, applied)/field study/model/database/network/manual/other (specify)]
Objectives	
Term	
Total budget for the term	
Key findings, lessons learned	
Activity name	
Activity type	[Pilot/research (basic, applied)/field study/model/database/network/manual/other (specify)]
Objectives	
Term	
Total budget for the term	
Key findings, lessons learned	
Activity name	
Activity type	[Pilot/research (basic, applied)/field study/model/database/network/manual/other (specify)]
Objectives	
Term	
Total budget for the term	
Key findings, lessons learned	

*Note: additional rows can be added to the template as necessary, depending on the number of activities carried out by the TCP.*

## The RfE Questionnaire Template - Quantitative Section

QUANTITATIVE INFORMATION/INDICATORS <sup>1</sup>			
TCP acronym	During the current term	Change compared to the past term ( + / - )	TCP comments
<b>WORK PROGRAMME</b>			
Number of studies (annex, task, subtask, survey, other study)			
Number of databases or models			
Number of experts' networks			
Other (please specify)			
<b>OUTPUTS</b>			
Number of in-person 'Status Updates' to the CERT			
Number of publications			
Number of scientific journal articles			
Number of conferences or workshops organised (and number of participants)			
Number of executive summaries or policy briefs			
Other (please specify)			
Number of two-pagers or annual reports submitted			
IEA Secretariat activities (number of contributions/peer reviews):			
<i>Energy Technology Perspectives</i>			
<i>Technology Roadmaps</i>			
<i>Activities under the IEA Technology Platform</i>			
<i>Market reports (gas, oil, renewables, energy efficiency)</i>			
<i>Periodic IEA publication on TCP achievements</i>			
<i>OPEN Bulletin</i>			
<i>Topical workshops</i>			
<i>Activities organised with Partner countries</i>			
<i>Other (please specify)</i>			
<b>MEMBERSHIP</b>			
Total number of participants			
<i>Contracting Parties (located in OECD member countries)</i>			
<i>Contracting Parties (located in OECD non-member countries)</i>			
<i>Contracting Parties (intergovernmental organisations)</i>			
<i>Sponsors (located in OECD member countries)</i>			
<i>Sponsors (located in OECD non-member countries)</i>			
<b>COSTS OF THE COLLABORATION</b>			
Funding mechanism (task-shared, cost-shared, mixed)	[enter one: cost-shared, task-shared or mixed]		
Total annual budget (please note currency)			
<i>Executive Committee support (Secretary, Operating Agent, other)</i>			
<i>Substantive activities (annex, task, model, network, other)</i>			
<i>Efforts to raise awareness of your work</i>			
ExCo fees			
<i>Contracting Parties</i>			
<i>Sponsors</i>			
<i>Special conditions (please specify)</i>			
Number of full-time equivalent (FTE) employees			

*Note: Information provided in the Quantitative Section of the RfE Questionnaire may be consulted (but not evaluated) by Working Parties as part of the RfE. It may also be used by the IEA Secretariat for its analysis of TCP activities, resources, capacities and outputs. The information will not be published and disseminated further without explicit consent of the TCP.*

## WP Feedback Form Template

CERT PROCEDURE FOR A TECHNOLOGY COLLABORATION PROGRAMME REQUEST FOR EXTENSION									
SUPPORTING DOCUMENTATION									
SUMMARY									
INFORMATION TO BE PROVIDED BY THE TECHNOLOGY COLLABORATION PROGRAMME									
Legal name of the TCP	Implementing Agreement for ...								
TCP acronym		Website	[insert hyperlink]						
Submitted by (name of Chair)		Funding	[enter one: cost-shared, task-shared or mixed]						
Date the TCP was created	mm-yyyy								
Date of current term	dd-mm-yyyy	Term requested	dd-mm-yyyy						
INFORMATION TO BE PROVIDED BY THE WORKING PARTY									
Working Party: _____									
WP Ratings in relation to the RfE request									
Criteria	End-of-Term report				Strategic Work Plan				Notes
	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	
Strategic Direction									
Scope									
Technology RDD&D									
Environmental protection									
Outcomes, successes and best practice									
Policy relevance									
Membership									
Synthesising and disseminating results									
Totals									
Comments relative to the Questionnaire									
Quantitative Section									
Work programme									
Outputs									
Membership									
Costs of collaboration									
Qualitative Section									
Activity 1 [name]									
Activity 2 [name]									
Activity 3 [name]									
Activity 4 [name]									
Activity 5 [name]									
Other comments									
FEEDBACK									
RECOMMENDATION									
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									

*Note: for additional information and assistance in the planning, preparation, completion and submission of the Extension Documents, see also [www.iea.org/tcp/forum/](http://www.iea.org/tcp/forum/).*