



Monitoring guidelines

2nd Call

July 2020

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2nd Joint Call

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Executive summary

These monitoring guidelines are intended for partners in GEOTHERMICA-granted projects, in particular, the Project Coordinator and the Country Coordinators in the respective participating countries. The guidelines and procedures in this report have been agreed amongst the partners to the first joint Call of GEOTHERMICA.

Since the GEOTHERMICA joint call is based on national contracts with national partners, the guiding principle of the monitoring is that national procedures for monitoring and payment will be in full force for all partners in GEOTHERMICA projects. On top of this, there will be a lean but frequent progress monitoring on the GEOTHERMICA-granted project level. Also, on this level, there will be a mid-term review. All large projects (> 2 M€ in funding) will be invited to the Mid-term review, while the other projects can be requested as well. The GEOTHERMICA-granted projects will be obliged to participate in the knowledge-sharing workshops organised by GEOTHERMICA, and evidently, there will be final reporting obligations.

The Appendixes in this report are the templates for monitoring on GEOTHERMICA-granted project level, and Guidelines for partners in GEOTHERMICA-granted projects.

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1 Introduction

Twelve countries are joining forces to make funds available for research and innovation actions related to geothermal energy. The initiative is under the umbrella of GEOTHERMICA - ERA NET Cofund Geothermal, which is supported financially by the European Commission.

The ambition of GEOTHERMICA is to accelerate the deployment of geothermal energy in Europe and beyond via transnational funding aimed at industry-led geothermal energy applications through targeted innovation and research activities.

The following, alphabetically listed countries and regions participate in GEOTHERMICA: Belgium/Flanders, Denmark, France, Germany, Iceland (coordinator), Ireland, Italy, the Netherlands, Portugal, Portugal/Azores, Romania, Slovenia, Spain, Switzerland and Turkey. Norway and the USA joined the second call.

The national and regional funding agencies participating in GEOTHERMICA are supported by funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 731117.

Further information can be found on the GEOTHERMICA website: <http://www.geothermica.eu/>.

2 General principles for monitoring and agreements in GEOTHERMICA

A GEOTHERMICA funded project will need to sign the agreement at three different levels:

- **At the GEOTHERMICA granted Project level.** The partners in the GEOTHERMICA-granted project must define their transnational collaboration in a consortium agreement (DESCA or similar).
- **At the transnational GEOTHERMICA level.** The Main Coordinator of the Consortium of a GEOTHERMICA-granted project (also referred to as the main applicant in the proposal stage) will need to sign an Implementation Agreements with the GEOTHERMICA-Coordinator (Orkustofnun, Iceland). The Implementation Agreement will state all obligations, requirements, and procedures that the GEOTHERMICA-granted project partners will need to follow at the transnational level.
- **At the national level of each participating country.** In each participating country of any GEOTHERMICA-granted project, there will be a National Grant Agreement between the National Funding Agency of that country and the participants from that same country in the GEOTHERMICA-granted project. These agreements may vary between countries; it is up to each Country Coordinator to ensure timely and accurate delivery of monitoring report in full conformity with existing national procedures. Above applies similarly to regions and the regional funding agencies.

The flow of agreements and money is shown in Figure 1.

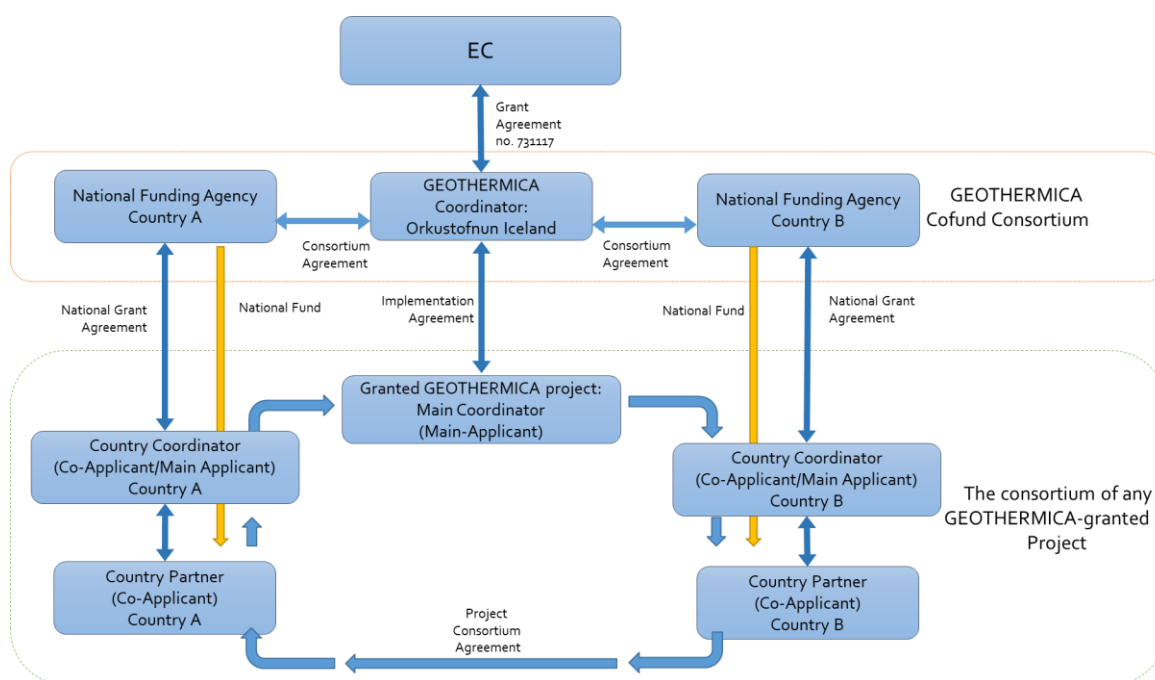


Figure 1 Contracts, agreements (blue) and money flows (yellow) in GEOTHERMICA.

The National Grant Agreements will form the basis for funding payments to the participants in any given GEOTHERMICA granted project. The money will flow from the National Funding Agency to the Country Coordinators of the awarded projects and their Country Partners, in full conformity with

existing national procedures. The national monitoring that will be part of the national grant agreements will guide the National Funding Agencies in their payment decisions to the Country Coordinators and partners of the granted projects. The Coordinator of GEOTHERMICA will not make any payments directly to the GEOTHERMICA-granted projects.

GEOTHERMICA-granted projects are obligated to report on the project progress to the GEOTHERMICA Coordinator, using simple and straight forward templates annexed to these guidelines. Importantly, the reporting should detect and remedy any delays quickly. The following progress reports are required to be submitted by the Main Coordinator to the GEOTHERMICA Coordinator, as stated in the Implementation Agreement:

Traffic light reports: GEOTHERMICA requires the Granted Project Coordinator to submit a very brief “traffic light report” every half year. The template for the traffic light report is given in Appendix 1.

Mid-term review: Large projects (> 2 M€ in funding) are required to prepare a mid-term review report which will be followed by a mid-term review meeting. Other projects (< 2 M€ in funding) can be invited to Mid-term review as well. It is a formal review meeting, which gives GEOTHERMICA the chance to evaluate the project progress and identify “tops and tips” for the remaining period.

Final report: Finally, projects will be obliged to submit a final report. The template for the final report is given in Appendix 6.

On top of this, Granted GEOTHERMICA Projects are expected to participate in relevant knowledge-sharing workshops organised by GEOTHERMICA. Suggested attendance will be the Main Coordinator of the GEOTHERMICA Granted Projects and the corresponding work package leaders. More participation is encouraged. Also, GEOTHERMICA will contact the Main Coordinators of all Granted GEOTHERMICA Projects in advance of any GEOTHERMICA meetings for an informal update. This will be arranged between the Main Coordinator of the Granted Project and the GEOTHERMICA National Contact Point in his/her country. The list of national contacts can be found Appendix 2.

Figure 2 shows the reporting flows. The black lines indicate reporting at a national level; the red lines indicate reporting at the GEOTHERMICA-granted project level. The GEOTHERMICA reporting procedure does not replace the national reporting requirements

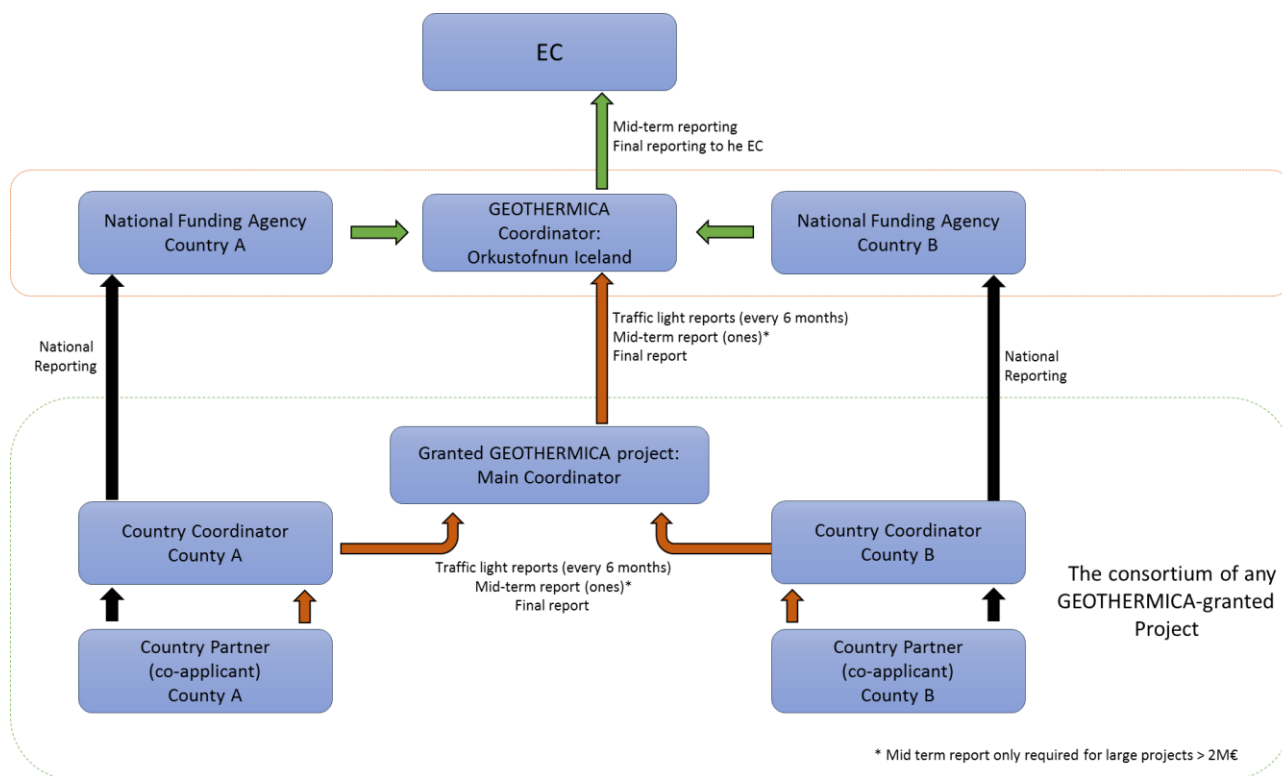


Figure 2 Formal reporting flows within GEOTHERMICA, national level (black) and GEOTHERMICA-granted project level (red). Green arrows reporting requirements of the GEOTHERMICA Consortium towards the EC.

3 Responsibilities of the partners in GEOTHERMICA-granted projects

All partners in GEOTHERMICA-granted projects will be responsible for delivering the tasks assigned to them, and for knowledge sharing, where relevant through participation in GEOTHERMICA workshops.

The Main Coordinator of a GEOTHERMICA-Granted Project has the ultimate responsibility to make sure that the project delivers what is stated in the project grant agreement and the project proposal. He or she must ensure timely delivery of any deliverables, including progress reporting. In case of deviations and delays, these should be reported immediately, and it is up to the Main Coordinator to propose remediating actions. The first contact point for the Main Coordinator of any granted project will be the GEOTHERMICA National Contact Point in his/her country.

The Country Coordinator of a GEOTHERMICA-granted project will be responsible for national reporting following national rules. Each partner should be active in bringing together the information required. The focus of the country coordinator’s reporting activity will be on financial reporting. Both financial report and progress reporting will be according to national rules, stated in the national grant agreement. The contact point for the Country Coordinator will be the GEOTHERMICA National Contact Point in his/her country. In some countries, each partner must report individually to the National Contact Point. In such cases, there will be no Country Coordinator in such a country.

All amendments to the project need to be requested and administrated at the GEOTHERMICA Coordinator and the relevant Funding Agency/Agencies. In case project changes are needed, the Main

Coordinator and the relevant national partner in the GEOTHERMICA-granted project should put forward a formal change request. A template for such a change request can be found in Appendix 3.

Decision on the request is based on consultation between the relevant Funding Agency/Agencies and the GEOTHERMICA Coordinator. When the decision has been made, communication will take place both at transnational GEOTHERMICA level and at National level in accordance with National procedures. This might include additional formal change requests on the national level in accordance to the national rules of the affected countries via the national contact points.

4 Kick-off

All projects should organise a kick-off meeting, where the GEOTHERMICA Partner at Funding Agency level from the Main Coordinators' country should be present, and all GEOTHERMICA Partners at Funding Agency level from other participating countries should be invited. From the GEOTHERMICA-granted project side, at least the Coordinator, Country Coordinators and Work Package leaders should be present.

The kick-off should be organised within 4 months after granting of the contract.

5 Procedure in case of deviations from project plan

As soon as any problem or deviation from the project plan occurs, the Main Coordinator is **obliged** to contact GEOTHERMICA Coordinator and his/her GEOTHERMICA National Contact Point to discuss potential corrective actions. Depending on the nature of the deviations, the respective Country Coordinators, respective GEOTHERMICA National Contact Points and relevant Partners in the GEOTHERMICA-granted project must be a partner in the discussion.

If necessary, amendments to the national grant agreements shall be made. Major changes jeopardise not only the funding of the project itself, but also the funding of the GEOTHERMICA project from the European Commission, so early action and strong commitment to find a solution is very important.

Appendix 3 provides a template for a formal change request of projects. This change request must be submitted to the GEOTHERMICA Coordinator by the Main Coordinator of the GEOTHERMICA-granted project. If a change has only material impact on a national level, the relevant National Funding Agency will handle the change request. If a change has a material impact at GEOTHERMICA transnational level, all funding agencies will be involved in making the decision on the change request. A record of approved changes will be appended to the project description.

6 Mid-term evaluation

The large GEOTHERMICA-granted projects (> 2M€ funding) will be subject to mid-term evaluation, and the other projects (< 2 M€ funding) may be invited to mid-term review, too. This will require a mid-term report to be submitted to the GEOTHERMICA Office and be followed by a meeting, bringing together the Main Coordinator of the GEOTHERMICA-granted project, the Work package leaders, the Coordinator of GEOTHERMICA and the GEOTHERMICA Consortium members, and

the EU project officer of GEOTHERMICA, on a project-by-project basis. The GEOTHERMICA consortium may also invite individual independent expert(s) to the meeting.

The mid-term evaluation report covering Month 1-18 of the project, is due 6 weeks after that period. The GEOTHERMICA Consortium will plan the mid-term evaluation meeting 12 Months ahead, aiming for a series of meetings in Month 21 of the granted projects (Mid 2022). The mid-term evaluation report will be distributed to all attendees of the evaluation meeting. If invited, the independent expert(s) will bring to the meeting their individual opinions on the progress of the project. Based on the mid-term evaluation report, meeting presentations, and discussions, the GEOTHERMICA Consortium and invited expert(s) will come to a consensus evaluation of the project. The GEOTHERMICA Office will share this evaluation with the project within one month after the mid-term evaluation meeting.

The template for the mid-term review report is given in Appendix 4 and Appendix 5 provides a template to facilitate feedback of the reviewers to the granted projects.

7 End of term

The end of term of the GEOTHERMICA granted projects will generally be Month 36 (31 August 2023). In this month, or in June 2023, there will most probably be a knowledge sharing workshop, where there will be an extensive presentation of the results by the Coordinator of the project and/or partners of the granted project. This workshop will be planned well in advance.

A final report is due in 60 days after the conclusion of the project.

8 Communication

All e-mail concerning project monitoring, all project deliverables and any mail concerning project changes should be sent to the GEOTHERMICA Office (info@geothermica.eu) on behalf of the GEOTHERMICA Coordinator, with a copy to the relevant GEOTHERMICA National Contact Point(s).

Communication and dissemination materials that are delivered by the funded projects should clearly mention and acknowledge the source of funding, including GEOTHERMICA, and the respective GEOTHERMICA-partners at Funding Agency level: *This project has been subsidised through the Cofund GEOTHERMICA by [Funding Agency A], [Funding Agency B] (including all national funding agencies contributing to the project).*

Appendix I: Template for the Half-yearly traffic light report

The traffic light report covers the following periods

- 1 September to 28 February
- 1 March to 31 August.

All half-yearly reports must be completed and delivered within 6 weeks of the end of the appropriate period throughout the duration of the project. You will receive a reminder E-mail at the end of each reporting period.

1. Identification of the project and report

Project title	
Project ID	
Coordinator	
Reporting date	

2. Traffic light indicators

Fill out the table with the names of all work packages and any other activities you want to report on, and tick the relevant box in the red, yellow, or green column on the progress: Red=problematic; yellow=minor problems; green=as planned. Reporting is as compared to the planned timeline.

Progress in:			
WP1 [WP title]			
WP2 [WP title]			
[add rows as necessary to cover all workpackages]			
Critical path			
Financial progress			
HSE issues			

3. Brief explanation of deviations and suggested corrective actions

For each item in yellow or red, explain the problem and suggest corrective actions.

Item	Explanation and corrective action
[specify..]	

4. List of deliverables and milestones with status

Number	Description	Date Due	Delivered

5. Results and Impact

WPxx	

6. Next major project meeting (face-to-face or virtual)

	Date..
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7. List of dissemination activities

Free format – consider scientific and business-related publications, and dissemination to the wider public through workshops, in newspapers, and through webinars, videos, radio and TV.

Appendix II: List of National Contacts Points

Country	Organisation	Name	E-mail	Phone
France	MTEC / DGEC	Paul Bonnetblanc	paul.bonnetblanc@developpement-durable.gouv.fr	+33 140 81 85 96
Germany	FZJ-PtJ	Stephan Schreiber	k.schreiber@fz-juelich.de	+49 2461 614 743
Iceland	Rannis	Sigurður Björnsson	sigurdur@rannis.is	+35 4 515 5800
Ireland	GSI	Aoife Braiden	aoife.braiden@gsi.ie	+35 3 (0)1 678 2650
Netherlands	RVO	Paul Ramsak	paul.ramsak@rvo.nl	+31 88 602 2275
Netherlands	RVO	Gerdi Breembroek	gerdi.breembroek@rvo.nl	+31 6 5256 4480
Norway	RCN	Per Arne Karlsen	pak@rcn.no	+47 917 27 669
Portugal	DGEG	Isabel Cabrita	isabel.cabrita@dgeg.pt	+35 1 96 900 3886
Portugal	DGEG	Paulo Partidario	paulo.partidario@dgeg.pt	+351 963 002 336
Romania	UEFISCDI	Cristina Cotet	cristina.cotet@uefiscdi.ro	+40 21 302 3876
Spain	AEI	Daniel Ruiz Iruela	daniel.ruiz@fecyt.es	+34 91 603 7968
Switzerland	DETEC	Gunter Siddiqi	gunter.siddiqi@bfe.admin.ch	+41 58 462 5324
Switzerland	DETEC	Céline Weber	cweber@focus-e.ch	+41 22 367 1763
Turkey	Tübitak	Kaan Karaöz	kaan.karaoz@tubitak.gov.tr	+90 312 298 9466
USA	DOE	Lauren Boyd	lauren.boyd@ee.doe.gov	+1 202 287 1854

Appendix III: Template for change request

This template must be used to request approval of changes to the project. You are obliged to inform GEOTHERMICA about essential changes. You can E-mail this form to the GEOTHERMICA Office on behalf of the GEOTHERMICA Coordinator and the national GEOTHERMICA National Contact Point in the country of the Country Coordinator, and other GEOTHERMICA National Contacts Points where relevant. National procedures for change requests remain in full force and need to be adhered to under any circumstances.

1. Identification of the project and change request

Project title	
Project ID	
Coordinator	
Date	

2. Identification of the requested changes

Administrative ¹ change:	
Organisational ² change:	
Changes in planning:	
Financial changes	<i>Add an updated budget table</i>
Description	
Why needed?	
Impact on the project	
Change of content	<i>Add an attachment to the project description, identifying the required changes, or updated project description with changes marked.</i>
Description	
Why needed?	
Impact on the project	

3. Statement of impact of the requested changes

These changes will have (*please tick one, as applicable*):

<input type="checkbox"/>	Minor impact on the project on a national level
<input type="checkbox"/>	Material impact on the project on a national level
<input type="checkbox"/>	Material impact on the project on the GEOTHERMICA level

¹ Contact details, address, bank account etc.

² Change of consortium, change of roles in consortium

Appendix IV: Template for mid-term review report

1. Identification of the project and report

Project title	
Project ID	
Coordinator	
Project website	
Reporting period	

Participants

Organisation	Main contact(s)	E-mail(s)	Phone
[Coordinator]			
[All other participants]			

2. Short description of activities and intermediate results

Describe the activities, and intermediate results on the work package and overall level limited to 3 pages per work package.

Present an overview of financial progress as well, per partner and work package.

3. Problems/ challenges/ deviations from proposal/work plan

List and comment problems, challenges and deviations pertinent to progress in the project. Explain any deviations from proposal/ work plan and impact on other tasks, as well as on available resources.

Describe corrective actions adopted or proposed for diversions from tasks.

Please also use this section for summarising any changes you propose to your project, compared to the original proposal/ work plan.

4. Progress on project impact

Comment on progress towards maximising the impact of the project; discussing items below, if relevant for the project. Include a discussion of relevant market and policy developments and their potential impact.

- *Demonstrating geothermal energy as a secure, sustainable, competitive and affordable energy source for Europe*
- *Demonstrating the significant role of geothermal energy within the energy system through novel concepts*
- *Strengthening the competitiveness and growth of European companies*

5. Collaboration and coordination within the Consortium

Describe the collaboration and coordination within the Consortium. Comment on the effectiveness of management structures and governance procedures. Add a particular focus on the added value of European transnational collaboration on geothermal energy.

6. Dissemination activities (including the list of publications where applicable)

The list published project progress/outcomes such as brochures, media coverage, publications, patents, presentations etc. and describe how they are made available on the project website.

Appendix V: Template for evaluators of the mid-term project review

1. Identification of evaluator and project

Evaluator	
Project title	
Coordinator	

2. Progress and conformity with objectives and schedule

Progress and conformity with initial objectives and schedule:			
WP1 [WP title]			
WP2 [WP title]			
[add rows as necessary to cover all workpackages]			
Specific comments:			

3. Progress on impact and quality of collaboration

Progress on maximising impact			
Specific comments:			
Quality of the collaboration and coordination within the Consortium			
Specific comments:			

4. Dissemination

Quality of the dissemination of the results			
Specific comments:			

Appendix VI: Template for the final report

1. Identification of the project and report

Project title	
Project ID	
Coordinator	
Project website	
Reporting period	

Participants

Organisation	Main contact(s)	E-mail(s)	Phone
[Coordinator]			
[All other participants]			

2. Short description of activities and final results

Describe the activities, and final results on the work package and overall level limited to 3 pages per work package. Explain any deviations from the proposal/ work plan. Include references to relevant publications, preferentially including hyperlinks.

Present an overview of financial results as well, per partner and work package.

3. Project impact

Comment on the impact of the project, discussing the items below, if relevant for the project. Include a discussion of relevant market and policy developments and their potential impact.

- Demonstrating geothermal energy as a secure, sustainable, competitive and affordable energy source for Europe
- Demonstrating the significant role of geothermal energy within the energy system through novel concepts
- Strengthening the competitiveness and growth of European companies

4. Collaboration and coordination within the Consortium

Describe the collaboration and coordination within the Consortium. Comment on the effectiveness of management structures and governance procedures. Add a special focus on the added value of European transnational collaboration on geothermal energy.

5. Dissemination activities (including the list of publications where applicable)

The list published project progress/outcomes such as brochures, media coverage, publications, patents, presentations etc. and make sure that these will be available through the project website as well.



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