

# GeoERA



Establishing the European Geological Surveys  
Research Area to deliver a Geological Service for  
Europe

## **PROJECT IMPLEMENTATION DOCUMENT NO.1**

### **REPORTING PROCEDURES AND MONITORING INDICATORS**

Joint Call on applied geoscience in the fields of:

- Geo-energy
- Groundwater
- Raw materials
- Information platform

Version no: 1.0  
15:42

Last change 5 September 2018



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 731166

**TABLE OF CONTENT**

- GENERAL INTRODUCTION ..... 3
- EXECUTIVE REPORT SUMMARY ..... 3
- 1 Abbreviations ..... 4
- 2 Reporting procedures ..... 5
  - 2.1 The role of Monitoring and Reporting Officer ..... 5
  - 2.2 Project Progress Report (PPR) ..... 5
  - 2.3 Project Review Meetings ..... 6
  - 2.4 Eligible costs ..... 6
    - 2.4.1 Supporting documents for Project Progress Reports ..... 7
  - 2.5 Reporting timetable for the Project ..... 7
  - 2.6 Reporting on organisation level ..... 8
  - 2.7 Annual obligations for the beneficiaries ..... 8
- 3 Monitoring procedures ..... 9
  - 3.1 Technical Review Report ..... 10
  - 3.2 Deviations and mitigation measures ..... 10
- 4 Monitoring indicators and Impact assessment ..... 11
  - 4.1 Monitoring indicators ..... 11
- 5 References ..... 13

**LIST OF TABLES**

Table 1: Abbreviations..... 4

Table 2: Reporting timetable for the Project ..... 7

Table 3: GeoERA Cumulative expenditure timetable..... 8

Table 4: Monitoring process..... 9

Table 5: GeoEnergy theme monitoring indicators ..... 11

Table 6: Groundwater theme monitoring indicators ..... 12

Table 7: Raw Materials theme monitoring indicators..... 12

Table 8: Information Platform theme monitoring indicators ..... 12



---

## GENERAL INTRODUCTION

GeoERA launched a Joint Call for Joint Research Projects [hereafter referred to as Projects] with the aim of enforcing a more integrated and efficient management and a more responsible and publicly accepted exploitation and use of subsurface resources. The Joint Call resulted in 15 GeoERA funded Projects running for three years from July 2018 until June 2021. With the Projects, GeoERA aims to achieve the objectives set in Description of work (DOW). Progress of the Projects will be monitored regularly, since GeoERA's objectives depend upon the success of these. This document introduces the reporting procedures and monitoring indicators, through which the progress of the Projects will be evaluated.

## EXECUTIVE REPORT SUMMARY

The GeoERA Work package 4, "Follow-up and monitoring of projects resulting from the Joint Call", is concerned with monitoring of the Projects to ensure timely delivery and quality of implemented Project activities, and whether they are in line with the Project's DOW and the strategic objectives, goals and scope of GeoERA (Joint call document no. 9: <http://geoera.eu/wp-content/uploads/2016/11/GeoERA-Call-Document-No.-9-SRTs-20171017.pdf>). The Projects will report on their effectiveness of implementation, overall progress, achieving scientific and professional goals and theme objectives two times during the Project duration. The procedure is described in Chapter 2, Reporting procedures. Project progress will be monitored and evaluated as described in Chapter 3. Administrative monitoring of the Projects is carried out by evaluating submitted Project Progress Reports, which Projects are required to submit every 18 months. The scientific review is carried out by evaluating the submitted deliverables and the Project Progress Reports made by GeoZS Reviewers. Theme coordinators will review the Projects progress in accordance with their theme objectives, except for GIP-P that as a cross-thematic theme will be reviewed by the three other theme coordinators. GeoERA Overall Progress Evaluation is reviewed by the GeoERA Stakeholder Council at two Review Meetings. The progress of the Projects will be summarized in a Technical Review Report, which represents a part of the GeoERA monitoring and evaluation process for Projects. The Technical Review Report consists of four sections, each representing one level of monitoring and evaluation of the Project described above.



---

## 1 Abbreviations

*Table 1: Abbreviations*

Project Agreement	The entire project agreement, including all its appendixes.
DOW	Description of work – The Project Plan (Appendix 3 of the Project Agreement)
EB	Executive Board of GeoERA
MRO	Monitoring and Reporting Officer
PPR	Project Progress Report
<i>MPPR</i>	<i>Midterm Project Progress Report (part of PPR, used for 1<sup>st</sup> Reporting Period)</i>
<i>FPPR</i>	<i>Final Project Progress Report (part of PPR, used for 2<sup>nd</sup> Reporting Period)</i>



## 2 Reporting procedures

Each Project has two reporting periods, first from M1 to M18 and the second from M19 to M36. Each Project is required to submit two Project Progress Reports:

- Midterm Project Progress Report in M18 (MPPR);
- Final Project Progress Report in M36 (FPPR).

Every Project is managed by a Project Lead. Templates for Projects Progress Report are annexed to IP doc no. 2: Reporting templates and e-tool. A Monitoring and Reporting Officer will be appointed by the Geological Survey of Slovenia to every Project, as an administrative contact point between GeoERA and the Project Lead of the Project.

### 2.1 The role of Monitoring and Reporting Officer

The appointed Monitoring and Reporting Officer (MRO) to a specific Project represents a contact point between GeoERA and the Project and is a member of a Monitoring and Reporting team. The MRO:

- Ensures proper and timely information flow as the main contact point for monitoring between GeoERA Secretariat and the Project;
- Guides the Project on administrative, financial and technical issues;
- Ensures that basic Project information inserted in the reporting e-tool is accurate and correct;
- Supports Project Leads in managing the Project activities, with the objective that the Project stays on track;
- Reviews Project Progress Reports and evaluates them from an administrative, financial and timing point of view;
- Monitors achieved indicators and objectives set by the Project in its DOW;
- Coordinates Review Meetings and cooperates with the Stakeholder Council in evaluation progress of the Project;
- Supports Stakeholder Council members when in writing the Review Reports and evaluating the research part of the Project, and contributes with administrative, time and financial evaluation;
- Communicates about corrective actions, if necessary, and;
- Participates in preparing the final Impact Assessment.

### 2.2 Project Progress Report (PPR)

The purpose of a Project Progress Report [hereafter referred to as PPR] is to ensure the effectiveness of the implementation of the Projects in respect to finance, timing, administration and quality of the results. GeoERA's reporting procedure requires the submission of a midterm PPR (MPPR) in M18 of the Project and a final PPR (FPPR) at the end of the Project. The reports should be written in the



context of the Project with due reference to the progress of all Project partners. Reporting is done through an Excel e-tool, based on the reporting templates annexed in the document “PI doc no. 2: Reporting templates and e-tool”. When filled in, the report must be sent to [monitoring.geoera@geo-zs.si](mailto:monitoring.geoera@geo-zs.si). Scientific and Professional goals, described in both PPRs, with respective submitted deliverables, are reviewed by GeoZS Reviewers and Theme coordinators.

A dedicated SharePoint for deliverable and reports is set-up for the Project Leads, where deliverables should be uploaded to a designated folder by Project Leads. The link to this SharePoint with username, password and instructions will be provided by the monitoring team to each Project Lead.

### 2.3 Project Review Meetings

After submitting the MPPR and the FPPR, the individual project consortia present their progress, results and highlights at Review Meetings, which will be organized in the third month following the end of each reporting period: Midterm Review Meeting in March 2020 and Final Review Meeting in September 2021). The goal of the Midterm Review Meeting is to evaluate the overall progress of the Projects and through recommendations influence and improve its excellence, while the Final Review meeting will target results and conclusions and compare these with the initial ambition of the individual projects. The Stakeholder Council will focus on Project progress towards achieving its objectives and reaching its impact and evaluate whether the Project is able to achieve or has achieved results as indicated in the Project DOW. Progress of the Projects will be reviewed by the Stakeholder Council with support from the relevant MRO. After the Review Meetings, the Stakeholder Council prepares progress evaluation for each Project, including general recommendations in case of deviations or insufficient quality, as input to the Technical Review Report.

### 2.4 Eligible costs

Eligibility criteria of GeoERA Projects are based on criteria of the Horizon 2020 programme, which can be found in the Annotated GeoERA Grant Agreement, Article 6.

Overview of General conditions for costs to be eligible:

- They must be actually incurred by a Project partner (or involved Linked Third Parties carrying out tasks);
- They must be incurred in the period of the Projects duration, with the exception of costs for final reporting and costs related to participation in the final Review Meeting;
- They must be indicated in the estimated budget;
- They must be incurred in connection with the action as described DOW of the Project;
- They must be identifiable and verifiable, in particular recorded in the partner’s accounts in accordance with the accounting standards applicable in the country where the partner is established and with the partner’s usual cost accounting practice;
- They must comply with the applicable national law on taxes, labour and social security, and;



- They must be reasonable, justified and must comply with the principle of sound financial management, in particular regarding economy and efficiency.

Eligible costs categories:

- Direct personnel costs (actual or unit);
- Direct costs for subcontracting;
- Other direct costs (Travel, Equipment, Other goods and services, Costs of large research infrastructure), and;
- Indirect costs (25 % flat rate on direct costs).

Costs incurred after the Project for the final PPR and for participation in the final Review Meeting will be reported in a separate document included in the reporting templates (PI doc. No 3).

### 2.4.1 Supporting documents for Project Progress Reports

Each Project partner is obligated to keep records regarding work done for every member of its Project team and all supporting documents for subcontracting and other costs in accordance with Horizon 2020 Rules of Participation. Project timesheets, invoices and other documentation supporting the costs declared must be kept and archived by every Project partner for a period of five years after the payment of balance of the GeoERA Project. The supporting documents should not be submitted together with the PPRs but should be available in case of a possible review.

### 2.5 Reporting timetable for the Project

*Table 2: Reporting timetable for the Project*

	Date	For period
<b>START DATE</b>	<b>1.7.2018</b>	
Kick-off Meeting projects	July 2018	
End of 1 <sup>st</sup> reporting period	31.12.2019	
Midterm Project Progress Report (MPPR)	31.1.2020	1.7.2018 – 31.12.2019
Midterm Review Meeting	March 2020	
<b>END DATE (End of 2<sup>nd</sup> reporting period)</b>	<b>30.6.2021</b>	
Final Project Progress Report (FPPR)	31.7.2021	1.1.2020 – 30.6.2021
Final Review Meeting	September 2021	





## 2.6 Reporting on organisation level

At M60 (end of GeoERA) all beneficiaries will have to fill in their final financial report for the organization as a whole (NB for the sum of all projects they have participated in, i.e. not on a project basis) in the Participant Portal.

## 2.7 Annual obligations for the beneficiaries

In addition to the midterm PPR and the final PPR, beneficiaries will be asked from the GeoERA coordinator to submit their estimated cumulative expenditure. This cumulative expenditure gathers information of all Projects regarding costs incurred in each calendar year in December in the year which it refers to. A template of this expenditure is part of the document PI doc no 2: Reporting templates and e-tool that can be found on GeoERA webpage (PI doc no.2A – Information on cumulative expenditures).

*Table 3: GeoERA Cumulative expenditure timetable*

	Date	For period
<b>1<sup>st</sup> Cumulative Expenditure</b>	15.12.2018	1.7.2018 – 31.12.2018
<b>2<sup>nd</sup> Cumulative Expenditure</b>	15.12.2019	1.1.2019 – 31.12.2019
<b>3<sup>rd</sup> Cumulative Expenditure</b>	15.12.2020	1.1.2020 – 31.12.2020
<b>4<sup>th</sup> Cumulative Expenditures</b>	15.11.2021	1.1.2021 – 31.12.2021



### 3 Monitoring procedures

Monitoring is considered as the on-going practice of checking activities and their context, inputs, processes and results, and communicating these to the GeoERA monitoring team and storing the information for future use in evaluation. The aim of monitoring is to provide an overview of implemented indicators, deliverables and objectives of the individual Projects in respect to finance, time, administration and quality of results.

The process of monitoring consists of four levels (Table 4):

Table 4: Monitoring process

Level	Monitor / Evaluator	Input	Aim
<b>1 – Monitoring of progress indicators</b>	Monitoring and reporting officer (GeoZS)	MPPR* FPPR**	Monitoring of the effectiveness of implementation Projects with respect to finance, time and administration.
<b>2 – Scientific review</b>	Reviewers (GeoZS)	Submitted deliverables MPPR FPPR	Quality review of the deliverables and review of achieving scientific and professional goals.
<b>3 – Review of the theme progress</b>	Theme coordinators	MPPR FPPR	Review of achieving theme objectives.
<b>4 – GeoERA Progress evaluation</b>	Stakeholder Council member(s)	Sections 1 and 2 of this report Review meetings	Overall Project progress and general recommendations.

\*MPPR = Midterm Project Progress Report (see PI doc no 2: Reporting templates and e-tool, template 2B)

\*\*FPPR = Final Project Progress Report (see PI doc no 2: Reporting templates and e-tool, template 2C)

For monitoring and evaluation, the Logical Framework Approach will be used, which provides a structured approach looking at the programme. It is based on the idea that there is a linked chain of logic that shows how the activities of an intervention can be expected to produce immediate outputs connected to longer-term effects and eventually the realisation of the objectives (the impacts). The Logical Framework Approach follows ERA LEARN 2020: Guide for P2P impact assessment, for more information follow the link: <https://www.era-learn.eu/publications/other-publications/guide-for-p2p-impact-assessment-1>.

Level 1: Administrative monitoring focuses on indicators, set and defined by the Project consortium within each Project, and described in the DOW. Indicators set in the Project documents will be integrated into monitoring tables of each Project – monitoring indicators. Administrative monitoring follows the progress of the Projects through the achievement of these monitoring indicators.

Level 2: Scientific Review is carried out based on the submitted deliverables and Project Progress Reports by GeoZS Reviewers. Reviewers will compare the Impact statement given in the PPRs to the



---

Expected impact statement in the DOW. Expected impact serves as the scientific indicator, which should be achieved by the Project.

Level 3: Theme coordinators will review the Project progress in accordance with the theme objectives set out in the overall GeoERA Description of Action. The expected impact of each theme is the monitoring indicator.

Level 4: GeoERA's overall progress evaluation is reviewed by the Stakeholder Council at two Review Meetings. The Stakeholder Council is familiar with GeoERA overall objective: to establish a common European Geological Knowledge Database, and to the joint provision of a Geological Service for Europe, focusing on geo-energy resources, groundwater, and raw materials. Stakeholders overall project progress and general recommendations are part of the Technical Review Report.

### **3.1 Technical Review Report**

Based on administrative monitoring and scientific review, the Technical Review Report is written by designated MRO, Reviewers, Theme coordinators and Stakeholder Council members. The Technical Review Report summarizes the progress of each Project and gives recommendations in case the Project could improve its activities or quality of deliverables. The Technical Review Report template is part of the document "Project Implementation doc. no. 2".

### **3.2 Deviations and mitigation measures**

The Projects must report on any deviations from their Project plan in their PPRs. If the deviations are large, e.g. changes in the content, scope, budget and intellectual property rights of the DOW or related to the evolution of the Project Consortium, the Project Lead has to follow the rules set out in the Project Agreement, Section 6.3.1.2.

Project consortia must adopt corrective measures according to their abilities and resources in order to ensure unhindered course of the Project. The Project Lead bears responsibility for overall achievement of the Project objectives, deliverables and indicators.

In case of major deviations from the proposed and accepted plan of the Project which the partnership cannot overcome, corrective measures will be applied. Major deviation is any financial, time, administrative or quality deviation with direct effect on GeoERA's overall objective or the Project period. Corrective measures can be proposed by designated MRO and/or members of the Stakeholder Council, depending on the deviation. Final decision on which measures are to be applied or on how to proceed is made in accordance with the conditions set out in the GeoERA's Project Agreement and Consortium Agreement.



## 4 Monitoring indicators and Impact assessment

### 4.1 Monitoring indicators

As stated above each monitoring level is following predefined indicators. At the first level (administrative monitoring) the indicators are defined in the DOW including the deadlines for deliverables and milestones, finances and dissemination activities.

At the second level the Reviewers review the progress based on the Expected impact, stated by each Project in the DOW. Quality of the deliverables will be reviewed with the aim of achieving scientific and professional goals.

Each theme has defined its own expected impact. The achievement of these impacts is reviewed by Theme coordinators. Monitoring indicators per theme are described in the Table 5 - 8:

Table 5: GeoEnergy theme monitoring indicators

Criteria	
GeoEnergy	Improved ability to predict potential subsurface contributions to secure future energy supply based on a transnational harmonized and unbiased inventory of hydrocarbon, solid fuel and geothermal resources and energy storage capacities;
	Improved evaluation of potential measures to limit further human-caused climate change, through improved and more comprehensive understanding of existing subsurface storage capacities for CO <sub>2</sub> ;
	Improved detection and anticipation of potential bottle-necks with respect to exploitation of geo-energy resources and storage capacities, based on an objective, science-based understanding of potential consequences from such exploitations (e.g. hazards, environmental impacts, conflicts and competitions);
	Improved basis for formulating and developing future research and innovation programmes through newly identified information and knowledge gaps and/or uncovered potential for technological developments;
	More comprehensive and scientifically supported basis for societal and economic cost-benefit analyses, subsurface spatial planning decisions and strategic environmental assessments;
	Increase opportunities for improving the dialogue with public, by providing transparent, unbiased, science- and evidence-based arguments for discussions on geo-energy uses



Table 6: Groundwater theme monitoring indicators

Criteria	
Groundwater	Improve support for the implementation of EU water policies taking into account the exploitation of geo-energy and raw materials
	Improve decision support for climate change adaptation by improved coupled climate and groundwater-surface water models
	Resource mapping to set the basis for an integrated Europe-wide monitoring system of groundwater
	Improve insight in the interactions of subsurface activities, climate change and groundwater abstraction and floods
	Assuring open access to modelling to develop new groundwater services
	Improve role of Europe in sustainable water management, conjunctive use and protection of freshwater resources, globally
	Improve access to downloadable hydraulic and (hydro)chemical parameters of main European aquifers and aquitards
	Developing tools for decision support that allow to elaborate the cost-effectiveness of measures and to support sustainable decision making in relation to the water-food-energy nexus.

Table 7: Raw Materials theme monitoring indicators

Criteria	
Raw Materials	Reinforcing synergy at international level and reduced fragmentation of raw materials research and innovation across Europe facilitating a more efficient use of natural resources, minimizing waste and improving recycling
	Providing technical solutions that enhance the exploration phase, making it more efficient and less invasive, and optimising deposit exploration
	Providing innovative solutions for mineral exploration and development, helping to optimise their investment
	Providing data and tools to facilitate the re-use and recycling of mineral based waste
	Reduction of the import dependency of Europe's industries for critical raw materials.

Table 8: Information Platform theme monitoring indicators

Criteria	
Information Platform	Improving access to integrated information and knowledge on subsurface resources and potentials, including functionalities to investigate such data, contributing to the dialogue between policy domains and subsurface stakeholders in support of subsurface spatial planning and decision making
	Improving the ability of GSOs to define future actions with regards to improving key knowledge on geo-energy, groundwater and mineral resources, through provision of a sustainable and expandable spatial information framework
	Improving the ability for end-users to combine geospatial databases with other environmental data and information sources through standardised access



---

Indicators on level 3 (tables above) will be additionally evaluated for Impact's assessment at the end of the Project, through a questionnaire that consists of 10 questions for the Project Leads, which will be available in month 36 of the Project duration.

At level 4, the Stakeholder Council evaluates overall project progress and gives general recommendations. At the end of the Project and before the final Review Meeting the Stakeholder Council will be asked to answer three questions to evaluate GeoERA's overall contribution to ERA-NET and Horizon 2020 objectives. At the final Review Meeting the Stakeholder Council will be invited to a short interview. Both questionnaires and interviews are part of GeoERA Impact assessment.

## 5 References

Horizon 2020 Annotated Grant Agreement

[http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/amga/h2020-amga\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf)