

Governance of shallow geothermal energy resources

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Abstract

Successful electrification of cities heating and cooling demands depends on the sustainable implementation of highly efficient ground source heat pumps (GSHP). During the last decade, the use of shallow geothermal energy (SGE) resources in urban areas has experienced an unprecedented boost which nowadays is still showing a steady 9% market growth trend. However, the intensive market incorporation experienced by this technology entails different responsibilities towards the long-term technical and environmental sustainability in order to maintain this positive trend. Here we present a SGE management framework structure and a governance model agreed among 13 European Geological Surveys, providing a roadmap for the different levels of management development, adaptable to any urban scale, and independent of the hydrogeological conditions and the grade of development of SGE technology implementation. The management approach reported is based on the adaptive management concept, thus offering a working flow for the non-linear relationship between planning, implementation and control that establishes a cyclical and iterative management process. The generalized structure of the SGE management framework provided allows the effective analysis of policy to identify and plan for management problems and to select the best management objectives, strategies and measures according to the policy principles proposed here.

Keywords: Shallow geothermal energy, thermal management policies, renewable energy resources, resource governance

1. Introduction

Evidences of anthropogenic climate change with detrimental consequences for human health and world's ecology requires urgent action on a global scale. Specifically, the reduction of CO₂ emissions is one of the main needs and worries (IPCC, 2013). Pursuing the decarbonisation of the energy sector is recognised as a decisive measure, which will need to transform the global energy sector from fossil-based to a zero-carbon system, also known as “sustainable energy transition” (IRENA, 2014). Electrification, when combined with electricity production coming from renewable sources, is an emerging key driver for the acceleration towards a sustainable energy transition. Geothermal heat pumps use the shallow subsurface as a heat source/sink for the air-conditioning of buildings and other human infrastructures. This technology an efficient thermal energy transference from the internal energy of rocks, soils and groundwater to the infrastructures, and vice versa. The amount of thermal energy contained within a depth up to a 400 m is known as shallow geothermal energy (SGE). There are two main categories or technologies exploiting SGE resources (Sanner et al., 2003). The first type, known as ground-coupled heat pumps (GCHPs) or , simply, closed loop systems, uses borehole heat exchangers (BHEs) to transfer thermal energy between the installation and the surrounding subsurface acting as a heat source/sink. The BHE typically consists of a 50-150 m vertical (or horizontal) borehole where u-pipes or coaxial pipes, connected to the heat pump and filled with a circulating heat carrier fluid, are introduced into the subsurface. The second type, known as groundwater heat pumps (GWHP) or open loop systems, extracts groundwater to take advantage of its great heat capacity, thus creating an efficient heat exchange with the installation. Once heat has been extracted or dissipated, water is usually reinjected back into the aquifer.

The number of SGE systems has been steadily rising for the past two decades (Bayer et al., 2012; Lund et al., 2011; Rybach, 2015; Sanner et al., 2013). Between 2010 and 2015, the total installed capacity of geothermal heat pumps on a global scale increased at an annual rate of 13.2%, reaching 50,258 MWt (Lund and Boyd, 2016), which represents 4.19 million equivalent installed 12 kW units (typical for residential/domestic use).

Inevitably, any heat transfer produced during the operation of a SGE will produce a temperature change in the subsurface media (Banks, 2012; Rivera et al., 2017; Stauffer et al., 2013). Most systems documented present subsurface and groundwater temperature changes in the range of 4 to 8 K above or below the undisturbed subsurface temperature. Nevertheless, greater changes of 13 and 25 K can also be found (García-Gil et al., 2016b; García-Gil et al., 2014). These thermal impacts do not only induce changes in temperature-dependent physical properties of groundwater (Carslaw and Jaeger, 1986; Hecht-Méndez et al., 2013), but also hinder the design, optimization, and performance of both GCHP (Li and Lai, 2015; Yang et al., 2010; Zhang et al., 2014) and GWHP (Lo Russo et al., 2014; Lo Russo et al., 2012; Piga et al., 2017; Pophillat et al., 2018) systems. Indeed, temperature anomalies in the subsurface produced by the systems can affect their own performance (Casasso and Sethi, 2015; Galgaro and Cultrera, 2013) or that of other nearby SGE systems. Such processes in general are referred to as “thermal interferences” and have been identified and modelled in different cities (Epting et al., 2013; García-Gil et al., 2014; Herbert et al., 2013; Mueller et al., 2018; Sciacovelli et al., 2014). The intensive use of the shallow subsurface in urban areas with high density of SGE installations can lead to thermal overexploitation of subsurface resources, thus endangering its regeneration. In this context, technical sustainability refers to reaching and maintaining the high performance of a geothermal system, i.e., to sustain production levels over long periods (> 30 years) (Rybach and Mongillo, 2006; Shortall et al., 2015) and

maintain the thermal potential of SGE resources. In very low-enthalpy (shallow) reservoirs, stable production levels depend highly on the local hydrogeological conditions, which will influence the steady state regime during operations (Banks, 2009; García-Gil et al., 2015a; Hähnlein et al., 2010). Nevertheless, thermal interference between systems might also compromise technical sustainability of the systems, especially in urban environments where SGEs are affected by and contribute to subsurface urban heat island (SUHI) effects (Menberg et al., 2013; Zhu et al., 2011).

Thermal anomalies produced SGE systems will change kinetics and thermodynamic equilibria of existent geochemical reactions (Appelo and Postma, 2005; Langmuir, 1997). Endothermic and exothermic reactions controlling major elements, heavy metals and trace elements contents have all been related to geothermal exploitation in the field (García-Gil et al., 2016b; Saito et al., 2016) as well as in both column (Bonte et al., 2014) and batch laboratory experiments (Griebler et al., 2016). In addition, GWHPs where extracted groundwater is re-injected into the aquifer after heat transfer could also cause the exsolution of CO₂ or a gain in O₂ by inducing mineral precipitation (Abesser, 2010; García-Gil et al., 2016a) or preserving existing emerging organic contaminants (García-Gil et al., 2018a), if groundwater is not properly insulated from oxic atmospheric conditions, as well as many other temperature-driven geochemical reactions. During GWHPs systems operation mixing processes in groundwater can also be triggered (Bonte et al., 2011).

All subsurface ecosystems, together with groundwater-dependent ecosystems on the surface, can be affected by thermal impacts produced by SGE exploitation. It has been shown that elevated groundwater temperatures downgradient from GWHP systems impacted the composition of microbial communities in groundwater, as well as their diversity in an oligotrophic aquifer (Briellmann et al., 2009). Although subsurface temperature changes of

up to ± 6 K have been assumed to be acceptable by the latter authors, wider ranges have not been studied. Microbiological contamination studies assessing the effect of GWHPs on pathogen bacteria contents have shown a relative decrease of their concentration inside thermally affected areas (García-Gil et al., 2018b).

An overview of the legislation framework on SGE at the European level (Haehnlein et al., 2010; Tsagarakis et al., 2018) has shown an extremely heterogeneous legislation as well as discordant regulations, standards, and institutional support. Existing regulations show a high inconsistency in case of such aspects as: minimum distances between systems (5–300 m) and tolerable temperature changes in the subsurface (3-10 K). Furthermore, most countries in Europe have no legally binding regulations or even guidelines. The lack of an unified and scientifically-based policy among the European countries acts as a barrier for the development of the SGE market (Jaudin, 2013). This fact highlights the urgent need for the improvement of the legal framework for regulation of SGE installations and subsurface heat more widely.

Nevertheless, effort has been invested by the scientific community to develop sustainable management concepts addressing this problem. A first sustainable geothermal energy use strategy based on the precautionary principle, which implies an intrinsic principle of the European Water Framework Directive (EU-WFD, 2000), was proposed by Hähnlein et al. (2013). The strategy follows a systematic licensing procedure based on the type, usage and heating capacity of the exploitation system considered. Depending on these variables, the procedure would require more or less exhaustive technical and/or environmental assessment before licensing. To perform any technical or environmental assessment it is necessary to understand the thermal regime of the subsurface and to describe its “*present state*” with reference to a derived potential natural state (Epting and Huggenberger, 2013). The

complexity of thermal regimes, especially in urban areas, has become a rising challenge since there are a high number of transient boundary conditions to account for, such as river-level variations (García-Gil et al., 2014), deep and hydro-insulated building foundations and infrastructure (Attard et al., 2016; Epting et al., 2017c), heat-transfer processes of the unsaturated zone (Rock and Kupfersberger, 2018), and the impact of SGE systems themselves (Lo Russo et al., 2014; Muela Maya et al., 2018). As an introduction of the equity policy principle, a relaxation factor was included and applied to a generalised licensing procedure using new thermal impact indicators (García-Gil et al., 2015b). The relaxation factor concept which was originally tested for the city of Zaragoza, Spain, (García-Gil et al., 2015b) was also successfully applied for the city of Basel, Switzerland (Epting et al., 2017a; Epting et al., 2018). In addition, a balanced sustainability index (BSI) was proposed as a management indicator applicable to GWHP systems where a quantitative value of sustainability is assigned to each system considered in order to evaluate the intrinsic potential to produce thermal interferences (García-Gil et al., 2019). A methodology to establish a market of SGE usage rights was applied to the city of Barcelona in Spain (Alcaraz et al., 2016). Other management concepts in SGE exploitation include the following: the subdivision of aquifers into smaller bodies considered as management units for thermal resources in order to effectively manage urban aquifers, the definition of the thermal propagation lag concept due to the differences of the timing of thermal signals with respect to groundwater flow; the thermal memory effect accounting for the time required to achieve a new thermal equilibrium in the aquifers managed, and the thermal fingerprints concept with regard to other temperature fluctuations in the subsurface due to boundary conditions in the managed groundwater body that are not genetically related to geothermal activity (Epting et al., 2017b).

The management of SGE resources is a collective action problem (and solution) requiring the involvement of governments, stakeholders, businesses and communities to integrate their activities to achieve the SGE sustainable development goals. In this context, the governance of SGE resources is crucial to establish the distribution of power and responsibilities between the science, policy, and civil society spheres in order to define the process of decision-making and implementation. To our knowledge, the current governance of SGE in Europe has not been addressed to a sufficient degree in the literature to date, and it is important to discuss the establishment of the governance principles and fundamental rules that will guide decisions to build consensus and market stability.

The main purpose of this paper is to analyse and identify the elements of proper governance for SGE resources management. To achieve this goal, first an exhaustive complete and novel management framework structure based on four policy principles was investigated and proposed. The management structure provided by this work prioritizes each policy into plausible management strategies, management objectives and management problems, followed by a list of management measures (or tools) that decision-makers can analyse during their management planning phase. All management concepts considered in this structure were included in a questionnaire designed to measure their degree of relevancy, based on the assessment of experts representing 13 European geological survey organizations. The results of the questionnaire were used to assign a relevancy score to each management concept listed. The final contribution of this research is a novel harmonized management structure and a governance model of SGE resources based on an adaptive management approach. This approach is constituted by the interaction of a management planning cycle combined with an implementation and control cycle, both specifically oriented to SGE resources and implemented taking into account its specific features as a renewable natural resource. This

contribution aims to be useful for the management process that is introduced and discussed in this manuscript, according to the relative relevancy scored by the experts and obtained from the questionnaire's survey. The key output from this work is a set of principles that will be used as a basis for adaptive SGE resources governance and will serve to establish a road map for the development of SGE management plans in urban environments.

2 Governance of shallow geothermal energy resources

2.1 Policy principles

To achieve a holistic management system for SGE resources, the first step is to define a number of key policy principles, and for that reason four main ways in which the use of SGE resources can preclude sustainable development presented below.

Firstly, the intensive and biased exploitation of SGE energy resources towards heating or cooling in urban areas can be interpreted as a reduction (or deficit) of renewable energy reserves. The scarcity associated could then compromise the access to this resource for a few decades. The first policy principle proposed is the “*Sustainable development and exploitation of SGE resources*”. This policy attempts to prevent the following management problems; (I) geothermal overexploitation and unsustainable development, (II) negative thermal interferences and (III) inefficient use of geothermal resources.

Secondly, SGE use can result in threats to human health or in a reduction of the quality of the natural environment in general. The management problems arising around this issue include the (I) hydrodynamic mobilization of existing contamination of the aquifers due to pumping and injection of groundwater (changing groundwater dynamics), drilling and installation of wells. In contaminated areas, these wells can trigger the movement of contaminant plumes, due to groundwater flow. SGE use can also unleash homogeneous and heterogeneous geochemical reactions which eventually might increase the contents of

existent (II) inorganic trace metals, (III) organic and (IV) microbiological contamination as additional management problems. (V) Thermal groundwater discharge to surface water bodies might lead to a management problem affecting groundwater-dependent ecosystems. Furthermore, SGE activity could make a (VI) contribution to SUHI effect. These six management problems would require a second policy response; consequently, the “*Environmentally friendly use of SGE resources*” is proposed to deal with these issues.

A third way to achieve sustainable development goals of SGE is to address potential conflict between new and other pre-existing or higher priority uses of the subsurface in urban areas. Management problems arising from this issue are as follows: SGE systems could compromise (I) groundwater quality as water supply or other (II) groundwater use conflicts such as irrigation, industrial, recreational uses, among others. Furthermore, SGE use can compromise (III) geochemical impacts associated with induced subsidence or generate different (IV) impacts on subsurface infrastructure. Potential conflicts with other urban subsurface uses should be coordinated and, therefore, the “*SGE coordination with other urban subsurface uses*” is introduced as a third key principle policy.

Finally, the sustainable development of SGE depends on the successful application of the management approaches planned. Therefore, the fourth policy proposed is to adopt a “*Successful SGE management approach*”. The different management problems compromising the successful application of management plans considered in this work are: (I) managing in the context of data-poor urban subsurface bodies, (II) conflicts of interests, (III) inefficient management of SGE resources, (IV) applying appropriate management measures whilst keeping in balance with site-specific conditions, (V) disabling environment, (VI) uncertainty and (VII) illegal activity and heavy enforcement costs.

2.2 Structure of the SGE management framework

The general structure of the proposed management framework stems from the conceptual development of each of the management policies described above using a hierarchical system (Fig. 1). The highest rank level is assigned to management policies. A management problem can be assigned to each policy as a second rank level. Since management problems are identified within the system, decision-makers are expected to establish their own policies. Once a policy has been defined, decision-makers could propose management objectives following the policy's direction. Considering that one or more objectives can be assigned to rectify a management problem, here we propose the management objective as a third level. To achieve each management objective, decision-makers can enact different strategies (fourth level) for which specific management measures (fifth level) can be proposed. As an example, following the branch developed in Figure 1, the strategic allocation of SGE systems, licensing procedures and planning of district heating grids are three possible measures to follow the strategy of sustainable development. This strategy can be adopted to fulfil the objective of preventing overexploitation. This objective will contribute to the management problem of geothermal overexploitation and unsustainable development if detected in a managed system. Then, all those management measures would be justified by the "*sustainable development and exploitation*" policy. This structure provides clarity in the decision, thus making this process transparent to stakeholders (including the systems users).

An exhaustive conceptual review of all management concepts has given rise to a complete list of 289 management elements or concepts organized in 5 hierarchical management levels: 4 SGE management policies; 21 management problems; 27 management objectives; 58 management strategies; and 179 management measures considered of importance.

Management policies and problems are provided above and a complete list of objectives, strategies and measures that complete the structure of the management framework proposed here are provided as supplementary material (Table S1).

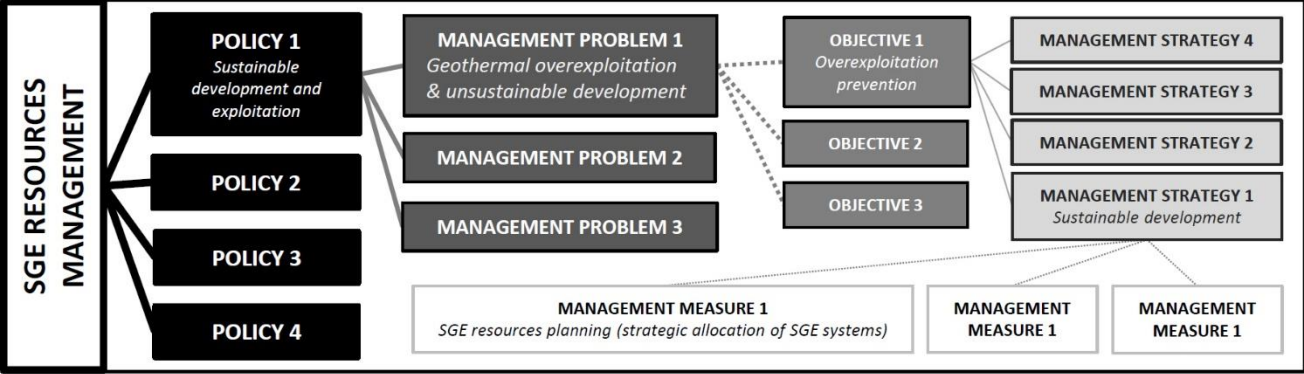


Fig. 1. Simplified structure of the management framework proposed for shallow geothermal (SGE) resources, showing 5 management levels. Only the management measures proposed following one of the four management strategies are represented in this example. This simplification is applied to the rest of the management levels. Only extended management levels developed in the diagram are named. The complete structure of the management framework arranged in tables for each management policy is provided in the supplementary material (Table S1).

2.3 Governance model of SGE resources

The adaptive management approach (Holling and Programme, 1978; Walters, 2001) is the most accepted and applicable path to govern natural and renewable resources in highly dynamic and complex environments. This approach offers a working framework for non-linear relationships between planning, implementing and controlling, thus establishing a cyclic and iterative activity during the management process. Therefore, in order to define the decision-making and the decision-implementation processes of SGE resource management, it is proposed to follow the adaptive management cycle introduced for renewable resources, e.g., Savenije and Van der Zaag (2008) for water resource management (Fig. 2).

ADAPTIVE MANAGEMENT OF SGE RESOURCES

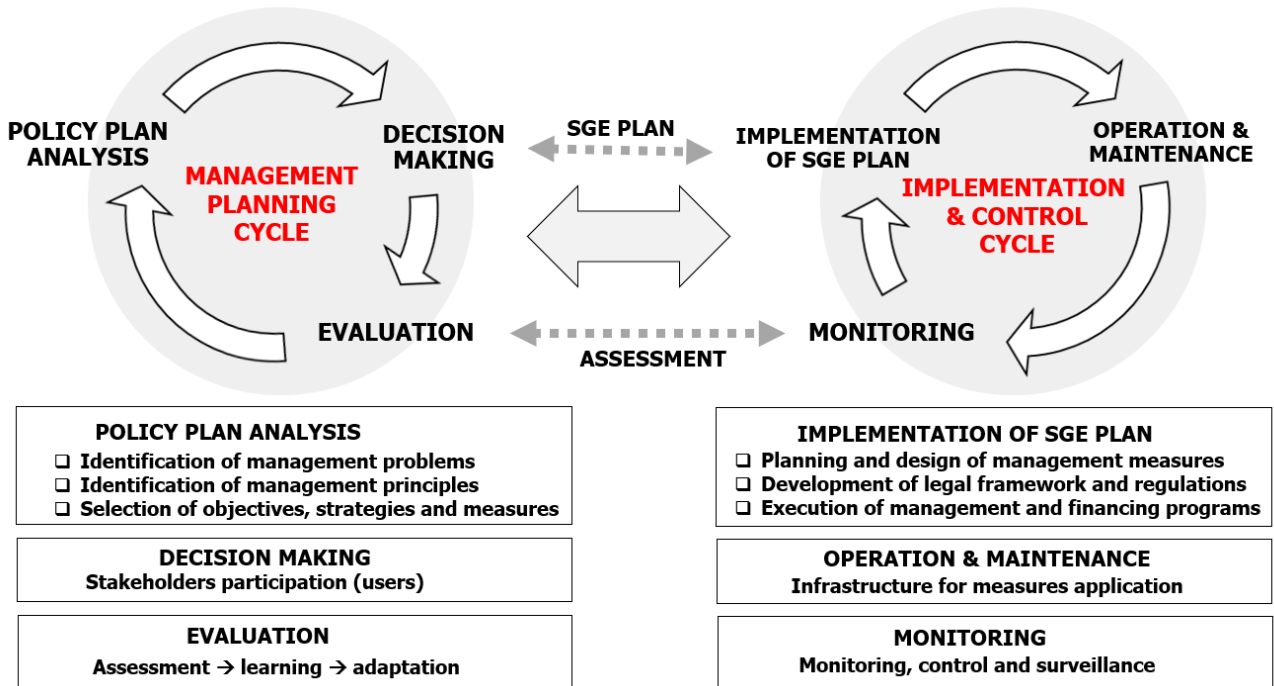


Fig. 2. Conceptual diagram of the proposed double-adaptive management cycle concept for SGE resources based on Savenije and Van der Zaag (2008) .

In the case of SGE resource management, two main activities or processes are proposed: the process of management planning and the process of implementation and control.

Management planning consists of three cyclic and iterative tasks (Fig. 2). The first task is to perform a policy plan analysis identifying appropriate management problems and selecting the proper management objectives, strategies and measures according to established policy principles. This task is crucial and thus it also has to provide a generalized structure for the SGE management framework as a checklist or roadmap to set the foundations for the SGE management plan (Table S1). Decision-makers can select the management concepts from this general management framework structure affecting their specific conditions. Furthermore, decision-makers can also find it useful as a checklist to assess all possible issues related to SGE exploitation that might not have been considered in a first approach. During

the planned policy analysis, it is also necessary to obtain a holistic view of SGE exploitation in the local context. This gathers knowledge on the existing SGE systems, estimates the SGE potential (resource assessment) and obtains a view of the existing socioeconomic framework. Once an initial assessment has revealed the existing problems, SGE resources exploitation trends and management policies to follow need to be analysed. The second task is to go through a decision-making process to prepare and adopt a strategic action plan by considering the management measures to be adopted. The third task in the management planning cycle is the evaluation of the effectiveness of the management plan adopted, i.e., to evaluate the effectiveness of the management measures according to the management objectives. This evaluation is the keystone to adaptive management that ends the planning cycle and so decision-makers learn about the potential deficiencies of the managed system that will be considered in the next planning cycle.

After the planning cycle is completed, an implementation and control cycle start (Fig. 2). The main task in this cycle is the implementation of the management action plan by establishing a detailed design and implementation of the planned management measures, to promote enforcement of laws and regulations and to strengthen the enabling environment and governance. The second task is to maintain operative the possible infrastructure required to implement the planned management measures. The task that closes this cycle is monitoring. By monitoring, controlling and surveying, the resources demand and trends can be quantified and the effectiveness of the implemented management plan assessed. Furthermore, monitoring outputs are crucial for the evaluation and policy plan analysis tasks from the planning cycle.

The reason why those cycles are separated is to facilitate the whole management process. After the first planning cycle finishes, each cycle can evolve independently as information

keeps flowing between cycles. For example, two implementation and control cycles can be going through the same strategic action plan defined in the first planning cycle, or two planning cycles could be required to initiate a realistic implementation and control cycle.

3 Data and methods

A compendium of renewable resource management concepts related to SGE integration was generated by searching scientific articles following Somogyi et al. (2017) procedure. Scientific articles were searched in the database of sciencedirect.com, Scopus and Web of Science databases on 6th December 2018. The search criteria used was limited to the terms “heat pump” and “geothermal” or “ground source”. A total the number 2068 publications were found.

An exhaustive questionnaire on management policies (block I) and management cycle (block II) related to SGE resources was issued to 13 European geological surveys to develop and harmonize a generalized governance policy approach on SGE resources. The surveyed institutions included the Geological Survey of Spain (IGME), Austria (GBA), Croatia (HGI-CGS), Catalonia (ICGC), United Kingdom (BGS-UKRI), Belgium (RBINS-GSB), Slovenia (GeoZS), Sweden (SGU), Poland (PIG-PIB), Czech Republic (CGS), Ireland (GSI), The Netherlands (TNO) and Slovak Republic (SGIDS). The first block of the questionnaire, oriented towards management policies, was structured into the following four policies: (I) sustainable development and exploitation; (II) environmentally-friendly use of SGE resources; (III) coordination of SGE exploitation with other urban subsurface uses; and (IV) successful management approach. This block of the questionnaire considered a total of 289 management concepts organized in 4 hierarchical levels of detail which were, from top to bottom: four exposed SGE management policies; 21 management problems; 27 management objectives; 58 management strategies; and 179 management measures considered of

importance. The second block of the questionnaire, oriented towards the management process, considered a total of 151 management concepts related to the adaptive management of SGE resources. Each Geological Survey was asked to evaluate each management concept using a 9-rank scale of relevance (1 = not relevant and 9 = very relevant). The survey was undertaken between December 2018 and January 2019.

The results from the 13 questionnaires, containing the 9-rank scale of relevance score for each management concept, were transformed to a proportional percentage scale where a rank value of 1 accounted for 0% relevance, a rank value of 9 accounts for 100% relevance, and so on. This allowed assessing the results obtained from the questionnaires and describing them in terms of descriptive statistics, by calculating the arithmetic mean value and standard deviation of the data. Based on the average values assigned to each management concept, the questionnaire was reordered by sorting the management concepts of each level, starting with the most relevant concepts. This reorganization maintaining the four hierarchical levels of detail in the first block allowed to obtain a management concept checklist for SGE managers. The principal component analysis (PCA) method was applied to analyse the national geological surveys' appraisal to the management problems proposed in this work (IEA, 2018). This method allowed investigation of the variance found in the data obtained from the project survey and was conducted by using a smaller number of uncorrelated variables (PC). The principal components obtained during the application of the method helped in the interpretation and analysis of the observed appraisal of problems found in the management of SGE resources. The varimax rotation method was used to maximize the squared factor loadings for each factor ($\gamma = 1$). Statistical significance was established for p -values below 0.05. All the statistical analyses were performed using SPSS Statistics version 20.0 software (IBM; Armonk, New York, USA).

4 Results and discussion

4.1 Structure of the SGE management framework

Results obtained from the survey on the relevance assessment of the different management concepts considered in the structure framework are shown for each management policy presented in this manuscript in Table I, Table II, Table III and Table IV, respectively. The complete list of management measures associated to each strategy is provided as supplementary material (Table S1). In this manuscript, only relevant (>70% on the relevance assessment) management concepts are discussed.

The results obtained from the survey (Table I) indicate that the most important problem endangering the sustainable development and exploitation of SGE resources is geothermal overexploitation and unsustainable shallow geothermal development. This problem can be overcome preferably by establishing two management objectives. Firstly, the highest rated management objective (85%) is to prevent overexploitation of SGE resources by considering the sustainable shallow geothermal development as the most relevant strategy to be adopted. The best way to follow this strategy is to control the allocation of SGE exploitation systems according to an established plan. Another measure would be to limit the access to the resource by licensing procedures. In this sense, input controls should be considered, including the size and number of SGE systems and the exploitation technology used. These results suggest the use of a rights-based approach to manage SGE resources by allocating limited rights in a particular city area or geological volume. The shift from open access of new SGE users towards a managed access regime would limit the number of participants with rights and responsibilities to exploit SGE resources and, thus, it would prevent overexploitation. A second management strategy found relevant is the identification of areas at risk of

overexploitation and, as a preventive measure, the mapping of intensively exploited areas is proposed.

Table I. Results obtained from the survey on the relevance scores for the different management levels: management problems (PROB), management objectives (MO) and management strategies (STGY), as assessed by 13 national geological surveys for the sustainable development and exploitation policy.

The second management objective in order of relevance (78%) is the long-term sustainable use of SGE resources. To achieve this objective, the highest rated strategy is understanding the heat and hydraulic regimes in the subsurface volume being managed, thus requiring research and extension services. The second strategy, in order of perceived importance is the prioritization of SGE demands during the licensing of the SGE systems. The strategy of sustainable development and the measures considered for the overexploitation prevention objective are also considered to be important to this objective. The last most relevant strategy would be to enforce a rights-based system where licensing procedures are considered. It is observed that the adoption of a licencing procedure measure contributes to the improvement of both management objectives gaining greater interest for the efficient management of SGE resources. Additional relevant measures are the assignation of exploitation rights during the licensing process and a limitation on the total allowable unbalanced heat transfer to the subsurface during a year of operation. The balanced heat transfer of heating and cooling have been identified as good indicators of sustainability for SGE systems (García-Gil et al., 2019). The second most important problem to reach a sustainable development and exploitation of SGE resources are thermal interferences. The most decisive management objective to be considered is the reduction of thermal interferences by adopting precautionary measures, i.e., limiting the number of SGE users. On one hand, several precautionary measures are already

considered in international regulations (Haehnlein et al., 2010), such as determining the minimum distance between borehole heating exchangers, operation wells, or limitations on temperature changes in the subsurface and temperature differences between extracted/reinjected water. A significant precautionary measure proposed is to monitor groundwater temperatures between two adjacent GWHP systems. On the other hand, increasing the existing distance restrictions for thermal interferences is again considered as the most crucial measure, followed by the adoption of threshold values such as maximum/minimum operation temperatures in SGE systems, and the establishment of an integrated monitoring, surveillance and control system for subsurface temperatures. A second management objective recommended is around the minimization of thermal short-circuiting (auto-interference and/or thermal recycling) by designing an adequate SGE systems set-up and a licensing process that considers a thermal short-circuit assessment (especially relevant to fracture flow-dominated aquifers). Other management objectives of importance when trying to reduce thermal interferences include minimizing them by the reduction of unbalanced energy transfer of neighbouring installations and efficiently using SGE resources.

The third management problem in order of perceived relevance is the inefficient use of geothermal resources, while the proposed management objective is the adequate use of SGE resources. To achieve this objective, it is recommended to follow a management strategy based on the principle of efficiency. Thermal short-circuit assessment during the licensing process and increasing COPs of SGEs as much as possible (through good design and thermal insulation of buildings) are the measures considered as being critical for this strategy.

The survey outcome (Table II) indicates that maintaining an environmentally-friendly use of SGE resources requires coping with arising threats to human health or the environment

affected to SGE exploitation. There is a general agreement that hydrodynamic remobilization of existing contamination in aquifers due to the wells of GWHP systems is considered to be the most worrying management problem (88%). Open loop systems operating in contaminated sites might cause the spreading of existing contamination to other places, thus contributing to a potential groundwater quality decline in extended areas of the urban subsurface. Persistent pollutants such as heavy metals and polycyclic aromatic hydrocarbons (PAHs) commonly occur in subsurface urban environments as point-source contamination (Bonneau et al., 2017; Schirmer et al., 2013), thus posing a real threat to groundwater resources as a water supply. In addition, hydrodynamic remobilization could also contribute to the release of mobilized groundwater contaminants into surface water bodies which are hydraulically connected (Engelhardt et al., 2011). The management objective linked to this problem is to operate SGE systems using good groundwater quality. The strategy to follow is to operate GWHP systems outside of contaminated areas by licensing and area closures measures. Evidence from field studies also showed the importance of ensuring a tight hydraulic circuit from abstraction to reinjection to avoid geochemical alterations and well clogging triggered by oxygenation (Casasso and Sethi, 2019).. In addition, adopting precautionary measures, such as monitoring of pumped groundwater quality by periodic sampling is recommended.

Table II. Results obtained from the survey on the relevancy scores for the different management levels: management problems (PROB), management objectives (MO) and management strategies (STGY), as assessed by 13 European national geological Surveys for the environmentally-friendly use of SGE resources policy.

The second most relevant problem this policy faces are the activities raising threats to human health or the environment in general (78%), while specific approaches to specific types of

contaminants are not considered of special relevance. The objectives considered important to the general approach include the reduction of environmental impacts, followed by establishment of a cause and effect relationship for environmental impacts and the identification of potential subsurface quality deterioration. To reduce environmental impacts, two strategies are considered essential. The first one considers the use of precautionary measures, such as leakage tests of the closed-loop refrigerant tubing, specific regulations on the heat carrier fluid type, evaluation and risk assessment during the licensing process, operation depth restrictions, borehole sealing in decommissioning SGE systems, and establishment of specific regulations on borehole heat exchanger grouting and licensing. The second strategy consists in understanding how SGE exploitation impacts the ecosystem functions through research and extension services. Extension services are a key point, as they transfer research outcomes to stakeholders to prevent environmental problems, by means of providing advice and information programmes. Establishing the objective of finding a cause and effect relationship for environmental impacts is also seen as very relevant. This objective aims to reduce the uncertainty that can limit the benefits of SGE exploitation according to a precautionary principle embedded in the European union (TFEU, 2010). Therefore, the strategies suggested are to use the best available science for decision-making, and to study the physical, biological and chemical processes triggered by SGE use, both through monitoring and risk assessment and by using research and extension services. The third management objective considered relevant is the identification of potential subsurface quality deterioration, proposing the establishment of an environmental monitoring, surveillance and control system as a management strategy against this potential issue. The cost to set up, and the ongoing provision, of such services needs to be factored into the licensing, and must be

in balance with the objectives and socioeconomic constraints of the region, embracing new advances in technology and data management, where possible, to make efficiency gains.

The results obtained from the survey (Table III) also indicate that the most critical problem, showing the highest score of 92% when facing the appropriate SGE coordination with other urban subsurface uses, is to maintain groundwater quality at acceptable levels for water supply. The management objective here is to maintain the groundwater quality standards for human consumption and the strategy proposed is to follow the precautionary approach. This would suggest banning any kind of SGE activity in protected areas for drinking water supply. The second management problem in order of scored importance (84%) is the consideration of plausible groundwater use conflicts related to irrigation, industrial, recreational or any other uses. General problems related to urban subsurface use conflicts also received a score of 74%. The management objective considered as most essential for this point was the prevention and control of crosscutting conflicts by making use of prevention and mitigation strategies. Hence, the management measures proposed are the mapping of urban subsurface uses and the assessment of the resulting mapped zones in the licensing process.

Table III. Results obtained from the survey on the relevancy scores for the different management levels: management problems (PROB), management objectives (MO) and management strategies (STGY), as assessed by 13 European national geological Surveys for the SGE coordination with other urban subsurface uses policy.

Survey results (Table IV) have shown that the most vital problem (with a score of 83%) to improve the successful management of SGE resources involves the management in the context of data-poor urban subsurface. Since subsurface datasets are currently very limited and expensive to obtain, and management of SGE resources is an emerging branch in science, it is necessary to provide an efficient management approach while efforts are made to

improve data-poor contexts. To achieve this objective, improvement of reporting, assessment, collection and management of data protocols has been recommended. Other strategies considered relevant are the use of simplified management approaches such as implementation of simple statistics for the management of SGE resources as well as relying on the user's knowledge of the SGE system. Other strategies considered relevant are the use of simplified management approaches, the implementation of simple statistics to manage SGE resources and also relying on the knowledge of SGE system users. User knowledge such as installed capacity, mean flow rates or working temperatures of the systems could be of great interest in the first stages of SGE resource management. A second important (82%) management problem would be the conflict of interest between stakeholders, i.e., all the involved parties in the management process. To ensure the objective of reducing the number of conflict cases, considering the co-management of SGE resources has been proposed as a potential solution. This would make the resources become self-regulated thus diminishing the enforcement and increasing the compliance. Furthermore, co-management can be implemented by including the affected parties in the decision-making during all the planning process.

The third management problem in order of perceived relevance (76%) is the inefficient management of SGE resources. Management objectives suggested for this matter are to diminish enforcement problems and compliance by providing legal and economic certainty in the licensing process, and to achieve a flexible iterative management approach. The problem of dealing with management measures dependent to site-specific conditions has also been highlighted (75%). To mitigate this problem, establishing the objective of adapting the management measures to the specific local boundary conditions has been suggested. Finally, the last relevant (72%) problem potentially hindering the successful management of SGE

resources is the disabling environment. To overcome a disabling environment, capacity building through development of appropriate policy and legal frameworks is considered necessary.

Table IV. Results obtained from the survey on the relevancy scores for the different management levels: management problems (PROB), management objectives (MO) and management strategies (STGY), as assessed by 13 European national geological surveys for the successful management approach policy.

Inevitably, each social community will attribute distinct relevance to the different management problems raised due to their own site-specific conditions and/or social priorities and concerns. To understand the different positions of the different national surveys on their approach for the management of SGE resources, a PCA was performed (Table V). Six significant main components, accounting for 91.0% of the total variance, were extracted according to the sharp bend found in the scree plot for six of the components. The first two PC explain 56.4% of the variation observed in the data, and the contribution of each geological survey is represented in a score plot in Fig. 3. The first component, accounting for 40.5% of the total variance, is marked by a relatively high tendency of the geological surveys when rating the relevance of the management problems related to a successful management approach and an environmentally-friendly use of SGE resources policies. In particular, the dependence of the management measures to site-specific conditions, uncertainty, managing in the context of data poor urban subsurface body and enhancement of existent microbiological contamination. The second component is marked by low loadings of successful management approaches and high loadings of environmentally friendly use of SGE resources and SGE coordination with other urban subsurface use policies. In particular

to inefficient management of the SGE resources, conflict of interest for the first policy and activities raising threats to human health or the environment and geotechnical impacts for the rest of policies. The Score-loading plot (Fig. 3) shows how geological surveys are split in two clusters. The first one includes PIG-PIB, ICGC, GBA, GSI, GeoZS, HGI.CGS, BGS-UKRI and IGME (known as group A), showing a relatively positive trend towards a positive rating for the management problems of the first component. The second group would consist of SGIDS, CGS and HGI-CGS (known as group B), presenting a flat tendency in the first component and a negative relative tendency for the second component. In contrast, SGU shows a clear negative tendency relative to other surveys for both components. RBINS-GSB shows a negative tendency for the first component but a very high tendency for the second component.

Table V. Component loading for management problems that determine the management approach adopted by the different European national geological Surveys when considering four main management policies. Results obtained from principal component analysis (PCA) explaining % of the variance found in 12 valid cases.

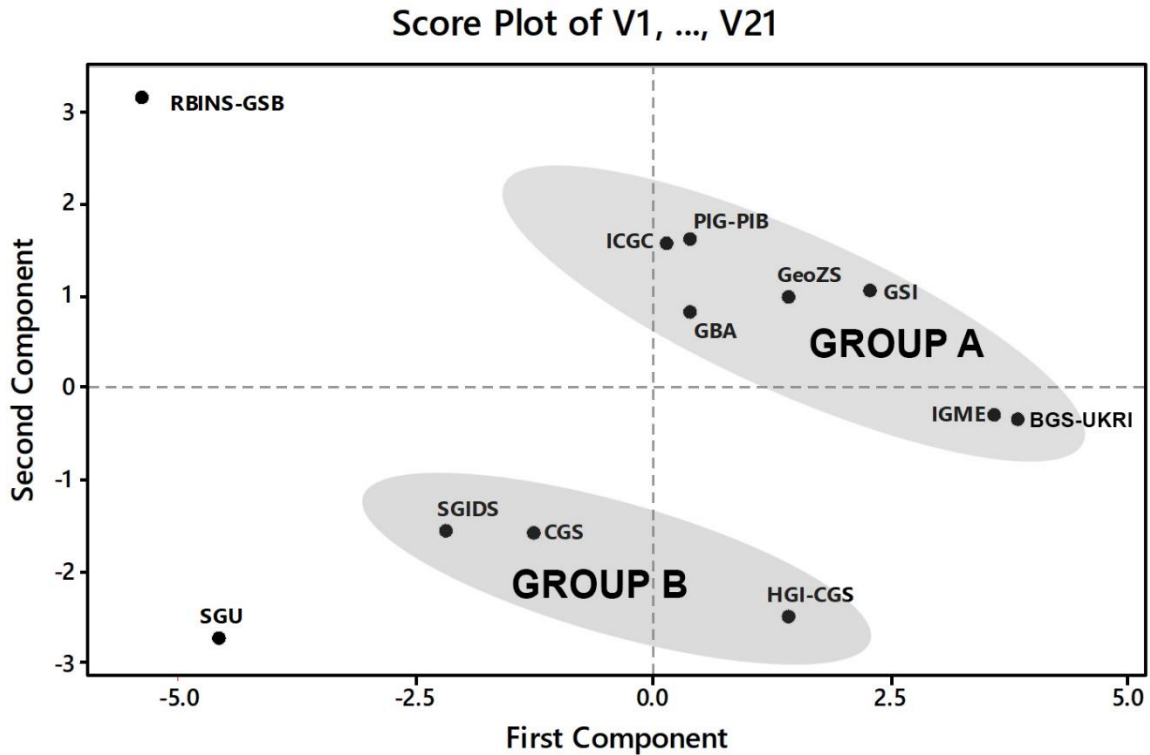


Figure 3. Principal component analysis (PCA) score plot. The plot shows the tendency of each Geological survey in their rating of management problems separated into two clusters, group A and B. Geological Surveys abbreviations stand for Spain (IGME), Austria (GBA), Croatia (HGI-CGS), Catalonia (ICGC), United Kingdom (UKRI), Belgium (RBINS-GSB), Slovenia (GeoZS), Sweden (SGU), Poland (PIG-PIB), Czech Republic (CGS), Ireland (GSI) and Slovak Republic (SGIDS).

4.2 Governance of SGE resources

There is a general consensus in the relevancy (82%) when referring to the adaptive management approach for the governance of SGE resources, where the learning process consist in monitoring and evaluating to make iterative adjustments within the planning process.

The first phase of the planning cycle (Fig. 2) is based on analysing the policy plan to follow. This analysis starts with the problem of identification and assessment. For that purpose, it is recommended to go through the management problems checklist (e.g., Table S1 provided as

supplementary material). To effectively identify and assess these management problems of the system managed, performing a SGE resource assessment to provide past and current status of SGE resources considering overexploited extent and its plausible potential future trends is considered essential (84%). In addition, having proper knowledge on the local context of SGE systems, including the current status and trends of the SGE resources exploited is also considered relevant (84%). This also includes identifying the conflict areas between SGE systems and the hydrogeological characterization of the shallow urban subsurface. This approach requires strong public environmental regulation and geoscience institutions, and continuity and science capacity in municipal and national environmental agencies. Afterwards, in the establishment of management objectives, it is considered important to clearly define the objectives, which should be specific, measurable, achievable, realistic and time-related. Moreover, management objectives should be directly linked to management measures, listing the expected outcomes. The final task for the analysis of the policy plan, i.e. the identification of possible strategies and measures, appears as essential to identify the priorities upon which to focus effort and resources. The second phase in the planning cycle is the decision making. In this phase, the participation of stakeholders during all phases should be considered important (78%).

In the implementation and control cycle (Fig. 2), the first phase consists of the implementation of policies and it is considered most relevant by the surveyed group (82%) to perform such implementation in the context of data-poor environments. It is needed that managers improve the overall SGE data system by using data collection and reporting these data in accessible and transferable formats on easy-to-access open platforms. It is also recommended to use simple management approaches based in simple statistics to manage the SGE resources and to rely on the knowledge of SGE systems users. In the last phase of this

cycle, the results of the survey see the relevance (78%) of setting a monitoring, control and surveillance system under a low financial requirements framework relying on cost effectiveness, payer and low-cost approaches. The monitoring, control and surveillance system will provide compliance through instrumental measures. Finally, the monitoring of effectiveness of the management measures planned is described as a very important aspect (76%). Complete results obtained from the survey are provided as supplementary material (Table S2).

4.3 Range of application of the results obtained

The degree of relevancy scored by the experts from the 13 European geological survey organizations surveyed may be considered as a guideline for decision-makers when these are contemplating the implementation of the management concepts compiled in this work. Each case study will present its singularities and therefore its own priorities for the managers, which will probably be different to the general trend observed in this work. The management structure provided aims to help seeing the big picture of the SGE resources governance, especially by introducing the concept of adaptive management, which is characteristic of the sustainable management of natural resources. An iterative management approach requires the definition of the general framework, where resource managers are expected to make decisions and this work provides it in a generalized and flexible way, including the additional guidelines from an expert panel. The experts' scores could be considered as a starting point for decision makers in the first stages of the planning cycle. As specific knowledge is gathered for each specific case managed, new relevancy scores specific to that case could be considered.

5. Conclusion and Policy Implications

In this work, the complexity of the thermal regime in the shallow subsurface of cities and the importance of its implications in understanding renewable energy resources, together with the existing environmental barriers to SGE development, have been introduced and discussed. The steady growth and implementation of SGE systems in urban environment has triggered major concerns about the long-term technical, environmental, and even economic and social sustainability of this technology. The existing legal frameworks all over the world have failed to some degree to provide a scientific-based solution to this problem and aimed to use simple approaches, often with their roots in groundwater resource management, that have ended in disperse incoherent legal enforcements. Although the management concepts developed in those legal frameworks are appropriate, the fixed thresholds proposed are still not scientifically-based and are sometimes questionable, thus failing to reduce or manage uncertainty among users, managers and the industry. In this work, a complete adaptive management approach for the governance of SGE resources, harmonized by 13 European geological surveys has been presented. First, a complete management framework structure configuring a roadmap for policy makers is proposed. The management structure mainly consists of an open but exhaustive checklist of management problems, objectives, strategies and measures organised according to four policy principles proposed here; (I) *“Sustainable development and exploitation of SGE resources”*, (II) *“Environmentally friendly use of SGE resources”* (III), *“SGE coordination with other urban subsurface uses”* and (IV) *“Successful SGE management approach”*. This management framework structure is then proposed in the management process by the definition of a governance model adaptable to data-poor systems and the uncertainty associated. This governance model follows a double-adaptive

management cycle to define the process of decision-making in the planning stages and the decision-implementation processes.

The discussion made on the governance of SGE resources shows the potential need to enforce the elaboration of SGE management plans by legal frameworks and regulations, thus appearing as more crucial than the definition of fixed threshold values for all plausible scenarios. To this end, enforcements should preferably be imposed throughout an adaptive management approach where transparency, co-management and research as well as extension services guide the process.

The experience gained in the field of SGE exploitation has proven that the transition from fossil fuels to electrification of heating and cooling services in the cities cannot yet be achieved through technology advancement alone, as scientifically-based robust policies are needed to effectively implement SGE exploitation within city energy and climate plans. For that matter, the governance approach proposed shows a strong potential to support EU initiatives to contribute to the decarbonisation of the European economy.

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