

IPA III Results Framework Indicator Methodology Note

1. Indicator code and name
IPA III RF 3.1.7.5: Number of people benefitting from an improved urban waste collection and disposal service supported by the investment
2. Technical details
<p><u>OPSYS and Results Dashboard code:</u> 260674 .</p> <p><u>Unit of measure:</u> Number of (#)</p> <p><u>Type of indicator:</u> <i>Quantitative: Numeric; Actual (ex-post); Cumulative (not annual).</i></p> <p><u>Level of measurement:</u> this is an outcome indicator. It would logically be associated with an outcome such as " Increased access to urban waste services".</p> <p><u>Disaggregation:</u></p> <ul style="list-style-type: none"> • Where relevant and possible, the indicator should be disaggregated by: gender; age and location (rural/urban/peri-urban). <p>Any disaggregation should be agreed with the relevant ministry or IP in advance.</p> <p><u>DAC sector codes:</u></p> <p>15110; 15111; 15112; 15113; 15114; 15125; 15130; 15142; 15150; 15151; 15152; 15153; 15160; 15170;15180; 15190</p> <p><u>Main associated SDG:</u> SDG 11: Sustainable cities and communities.</p> <p><u>Other associated SDGs:</u> n/a .</p> <p><u>Associated IPA III Level 1 indicator:</u> none.</p> <p><u>Associated IPA III Level 3 indicators:</u> none.</p>
3. Policy context and Rationale
<ul style="list-style-type: none"> • IPA III PF: Window 3 – Green agenda and sustainable connectivity, Thematic Priority 1: Environment and climate change • Chapter of the Acquis: The main concerned chapter of the EU <i>acquis</i> under this section is chapter 27 (Environment and climate change), included in cluster 4 (Green agenda and sustainable connectivity). The foundation of EU waste management is the five-step “waste hierarchy”, established in the (2008) Waste Directive¹, further reinforced by the (2018) Waste Framework Directive² . It establishes an order of preference for managing and disposing of waste: 1) Prevention (product non-waste); 2) Preparing for re-use; 3) Recycling; 4) Recovery; and 5) Disposal. • The indicator corresponds to the EFSD+ IW4 –Sustainable Cities

¹ Directive 2008/98/EC of the European Parliament and of the Council of 19 November 2008 on waste and repealing certain Directives (Text with EEA relevance)

² Directive (EU) 2018/851 of the European Parliament and of the Council of 30 May 2018 amending Directive 2008/98/EC on waste (Text with EEA relevance)

The specific objective of IPA III in this area is to support the protection of the environment, improve its quality and contribute to actions and policies against climate change to accelerate the shift towards a low-carbon economy. Infrastructure and public investments in the environmental sector serve a twofold economic and social development purpose and support for their planning, design, construction and sustainable management is required, in terms of both capital investments and technical assistance. The challenging financial effort to bring water, wastewater and solid waste management infrastructure in line with EU standards requires innovative financing mechanisms and the application of cost-recovery and polluter-pays principles. Investments should also contribute to mitigate and adapt to climate change in order to shift to a low-carbon and climate resilient development path.

The [Waste Framework Directive](#) lays down measures to protect the environment and human health by:

- preventing or reducing the generation of waste,
- preventing or reducing the adverse impacts of the generation and management of waste
- reducing overall impacts of resource use
- improving the efficiency of such use

Municipal waste constitutes approximately between 7 and 10 % of the total waste generated in the EU. That waste stream, however, is amongst the most complex ones to manage, and the way it is managed generally gives a good indication of the quality of the overall waste management system in a country. It is essential to guide measures and investments, notably by preventing the creation of structural overcapacities for the treatment of residual waste and lock-ins of recyclable materials at the lower levels of the waste hierarchy.

A summary of the current EU waste management acquis can be found [here](#)³. Recent municipal waste management country profiles and an overview of actual performance and targets in Western Balkan countries are available [here](#)⁴.

4. Values to report

All of the following values must be determined according to the definitions provided in Section 5 below.

- **Reporting values in the logframe:**
 - **Baseline value:** The value assumed by the indicator at time t0, against which progress will be assessed.
 - **Reporting of current value** is done at least once a year. Current values will be the highest total value of the indicator at any given year of the IPA III supported intervention (minus the baseline value) according to the applicable definitions provided in section 5 of the note. Be aware that contribution to results is not calculated on cumulative basis.
 - **Final target value:** estimated total number of people by the target year and according to the applicable definitions provided in section 5 of the note.

³ <https://www.municipalwasteeurope.eu/summary-current-eu-waste-legislation>

⁴ <https://www.eea.europa.eu/publications/municipal-waste-management-in-western/municipal-waste-management-in-the>

- **Intermediate targets (milestones).** A tool has been developed in OPSYS to automate the generation of intermediate targets⁵.
 - For outputs, the intermediate targets are generated using a linear interpolation between the baseline and target values because it is assumed that outputs materialise sooner and more progressively over implementation (than outcomes).
 - For outcomes, the expected progression over the course of implementation will vary across interventions. During the creation of a logframe, the expected outcome profile must be selected (OPSYS offers four options⁶) and this selection triggers the generation of intermediate targets for all 30 June and 31 December dates between the baseline and target dates for all output and outcome quantitative indicators. All automatically generated intermediate targets values and dates can be subsequently modified by the Operational Manager or the Implementing Partner with the approval of the Operational Manager.

5. Calculation of values

The value for this indicator is calculated by counting the **number of (#) people**, using the Technical Definitions and Counting Guidance provided below. Please double check your calculations using the Quality Control Checklist below.

Technical Definitions

- **People** refers to individuals registered within the municipality, or the association of municipalities, that actually implements the waste collection and disposal service system upgraded or designed with the support of the EU funded intervention as set out in the definition of the indicator (below).
- **Municipal waste is:** (a) mixed waste and separately collected waste from households, including paper and cardboard, glass, metals, plastics, bio-waste, wood, textiles, packaging, waste electrical and electronic equipment, waste batteries and accumulators, and bulky waste, including mattresses and furniture; (b) mixed waste and separately collected waste from other sources, where such waste is similar in nature and composition to waste from households;
- **Municipal waste is not:** waste from production, agriculture, forestry, fishing, septic tanks and sewage network and treatment, including sewage sludge, end-of-life vehicles or construction and demolition waste.
- **Waste collection and disposal service:** the organisation, resources, processes and infrastructure for the collection, transport, recovery (including sorting), and disposal of waste, including the supervision of such operations and the after-care of disposal sites,

⁵ This has been done in the framework of the **Intervention Performance Assessment**. Two composite indicators have been developed to provide an overall assessment of an intervention's current implementation and future prospects. These scores will be calculated for all NEAR interventions participating in the annual results data collection exercise.

- The **implementation score** reflects the relevance, efficiency and effectiveness already achieved by the intervention. The information on relevance is provided by the Operational manager's response to a question in a survey. The information on efficiency and effectiveness is provided by the logframe data, if sufficiently available, or the response to a question in a survey, if not.
- The **risk score** reflects expectations regarding the most probable levels of relevance, efficiency, effectiveness and sustainability to be achieved by the intervention in the future. In this case, all the information is provided by the Operational manager's responses to questions in a survey.

⁶ a. Constant: The outcomes are achieved continuously throughout implementation; b. Accelerating: The outcomes are achieved towards the end of implementation; c. At the end: The outcomes are mostly achieved at the end of implementation; d. None of the above.

and including actions taken as a dealer or broker. So, in the case of this indicator, steps 4, Recovery, and 5, Disposal, of five-step “waste hierarchy” are considered.

- **Supported by the investment:** waste management plans, or part of existing plans, designed a new or improved with support of an EU funded intervention. Waste management services or parts of such systems, including municipal regulations, operations, equipment, infrastructures, that are developed, redesigned or improved with the support of an EU funded intervention.

All of the above with the aim to contribute to any of the national targets in line with EU Acquis for:

- Increasing the % (by weight) of the municipal waste prepared for re-use and the recycling,
- Decreasing the % (by weight) of municipal waste disposed of,
- Increasing the % of municipal waste that undergoes safe disposal operations which meet the provisions of Article 13⁷ of Directive 2008/98/EC on the protection of human health and the environment.
- **Recycling:** any recovery operation by which waste materials are reprocessed into products, materials or substances whether for the original or other purposes. It includes the reprocessing of organic material but does not include energy recovery and the reprocessing into materials that are to be used as fuels or for backfilling operations;
- **Recovery:** means any recovery operation, other than energy recovery and the reprocessing into materials that are to be used as fuels or other means to generate energy. It includes, inter alia, preparing for re-use, recycling or other recovery operations.
- **Disposal:** any operation which is not recovery even where the operation has as a secondary consequence the reclamation of substances or energy. Disposal methods are incineration, landfill and others⁸

Counting Guidance

- **Reference to possible double-counting:** there are risks of double-counting in the case of persons who use the service for longer than one reporting period. To discount this risk, contribution to results will be reported as the highest value obtained over the reporting periods and not as cumulative figures.
- **Data calculation:** If data are provided in number of households (HH) or contract holders, the estimated total number of individuals with improved access to urban waste collection and disposal service is calculated by multiplying the number of HH by the average size of the HH of the municipality, the region, the country as available in the most up to date figures. The same method applies for sex and age disaggregation and rural/urban disaggregation, unless the IP’s monitoring system provides accurate figures.

Quality Control Checklist

1. Has double counting been avoided as indicated in the Counting Guidance above?
2. Have all relevant disaggregations been reported?
3. Has the baseline and final target been encoded with the right dates?
4. Did you encode the latest current value available?
5. Did you use the comment box to inform on the values encoded?

⁷ Member States shall take the necessary measures to ensure that waste management is carried out without endangering human health, without harming the environment and, in particular: (a) without risk to water, air, soil, plants or animals; (b) without causing a nuisance through noise or odours; and (c) without adversely affecting the countryside or places of special interest.

⁸ A more detailed list of disposal treatments can be found in annex 1 of [Directive 2008/98/EC](#).

6. Examples of calculations

In a given candidate country, a 4-year EU intervention has supported over the past three years an association of three small municipalities to improve the efficiency and coverage of the municipal waste management system, with a view to a) achieving 100% coverage for the collection of households (HH) waste and b) achieving 100% land treatment of all waste collected. New municipal ordinances have to be issued to ban incineration of waste and to establish mandatory household waste collection separated from farm waste collection in the extended rural areas of municipalities 1 and 3. In addition new tariffs based on solidarity principles have to be established to ensure the sustainability of the service. Currently, most of the waste is disposed-off by landfilling. In a previous EU-funded intervention, technical assessments, including environmental, social and economic impact studies were conducted to guide in the redesigning of the municipal waste management system leading to recommendations which were presented and discussed in open municipal assemblies.

According to municipal statistics, in Year 0, the number of HH included in the waste collection services of the association was: for 1) 15 000 (75% in urban, 25% in peri-urban); for 2) 7 000 (all urban, the only classified zone in the municipality); for 3) 4 500 (all in urban). The latest census data for the province where 1), 2), and 3) are located estimates that the sex ratio is 1/1. The average size of the HH in the province is 5.25 persons per HH. For achieving 100% of HH waste collection the following HH should be added to the service: in 1) 1,400 (all rural); in 2) 2,000 (all peri-urban); in 3) 2 000 (urban), 1 000 (peri-urban) and 700 (rural). At the end of the current year of implementation, waste collection has achieved 100% in municipality 2, but the new system is yet not in place in municipalities 1 and 3.

The values for the indicator are:

Baseline values

	Baseline persons	Municipality 1 HH	Municipality 2 HH	Municipality 3 HH
Total	$26\,500 \times 5.25 = 139\,125$	15 000	7 000	4 500
Urban	$22\,750 \times 5.25 = 119\,438$	11 250	7 000	4 500
Peri-urban	$3\,750 \times 5.25 = 19\,687$	3 750	0	0
Rural	0	0	0	0
Male	$139\,125 / 2 = 69\,562$			
Female	$139\,125 / 2 = 69\,563$			

Final target values

	Target values persons	Municipality 1 HH	Municipality 2 HH	Municipality 3 HH
Total	$33\,600 \times 5.25 = 176\,400$	$15\,000 + 1\,400$	$7\,000 + 2\,000$	$4\,500 + 3\,700$
Urban	$24\,750 \times 5.25 = 129\,938$	$11\,250$	$7\,000$	$4\,500 + 2\,000$
Peri-urban	$6\,750 \times 5.25 = 35\,437$	$3\,750$	$+2\,000$	$+1\,000$
Rural	$2\,100 \times 5.25 = 11\,025$	$+1\,400$	0	$+700$

Men	176,400 /2= 88 200			
Women	176,400 /2= 88 200			
Current value (Year 3)				
	Current values persons	Municipality 1 HH	Municipality 2 HH	Municipality 3 HH
Total	28 500*5.25= 149 625	15 000	7 000+2 000	4 500
Urban	22 750*5.25= 119 438	11 250	7 000	4 500
Peri-urban	5 750*5.25= 30 187	3 750	+2 000	0
Rural	0	0	0	0
Men	149 625 /2= 74 812			
Women	149 625 /2= 74 813			

7. Data sources and issues

Data sources in the logframe:

- Data for this indicator must derive directly from the intervention, i.e. intervention internal monitoring and reporting systems from implementing organisations (e.g. governments, international organisations, non-state actors).
- Data cannot be drawn from official statistics for a country since these will not respond to the results influenced by the intervention. Implementing partner's monitoring and reporting systems and, when required, progress reports of the intervention (or their annexes) should capture relevant information from primary sources used for data calculation:
Number of individuals: Data on household size and thereby number of individuals should come from latest reports of the municipalities on coverage of their existing waste collection services. Links to municipal population data or latest census data, used to estimate the number of individuals (see section 7 of the note).
- Other possible sources include studies carried out in the framework of the interventions and external monitoring and/or evaluation reports.

Data source categories specified in OPSYS: n/a

8. Reporting process & Corporate reporting

Who is responsible for collecting and reporting the data?

- The implementing partner (i.e. the entity responsible for delivering the results) will need to ensure the counting starts at the lowest level of intervention and is reported upwards and aggregated for the entire intervention in the framework of regular monitoring and reporting systems.
- Data verification:

- For indirect management by beneficiary countries, the National IPA Coordinator will verify the data.
- For other modes of implementation, the Operational Manager in HQs/EUD will verify the data.
- It is then the responsibility of DG NEAR to centrally receive and verify data for this indicator from all relevant interventions and to eventually ensure aggregation within and across all IPA Beneficiaries.

This indicator is used for corporate reporting in the following contexts:

- *IPA III via the Annual Report*

This indicator has been included in the following other Results Measurement Frameworks:

- *EFSD+*

9. Other uses

IPA III RF 3.1.7.5 can be found in the following groups of EU predefined indicators available in OPSYS, along with other related indicators:

- European Fund for Sustainable Development PLUS (EFSD+);
- IPA III RF Window 3: Green agenda and sustainable connectivity (IPA III W3)

For more information, see: [Predefined indicators for design and monitoring of EU-funded interventions | Capacity4dev \(europa.eu\)](#)

Include references to external bodies using the same or similar indicator.

10. Other issues

This indicator is also an EFSD+ indicator. The contents of this note have been adapted to be used in IPA III RF, therefore, they are not necessarily applicable to other contexts as the specifications of the EU acquis are not always in application in third countries eligible to EFSD+ funds.