IPA III Results Framework Indicator Methodology Note

1. Indicator code and name

IPA III RF 3.1.7.7: Installed capacity for solid waste collection and disposal

2. Technical details

OPSYS and Results Dashboard code: 67968 .

Unit of measure: Metric ton (t)

Type of indicator: *Quantitative: Numeric; Actual (ex-post); Cumulative (not annual).*

Level of measurement: this is an **output** indicator. It would logically be associated with an output such as "Improved facilities for urban waste management ".

Disaggregation:

- The indicator should be disaggregated by type of capacity installed (collection/ disposal).
- Where relevant / possible, please disaggregate by: location (rural/urban/peri-urban), waste type.

Any disaggregation should be agreed with the relevant ministry or IP in advance.

DAC sector codes:

14010; 14015; 14020; 14021; 14022; 14030; 14031; 14032; 14040; 14050; 14081

Main associated SDG: to **SDG 11**: Sustainable cities and communities .

Other associated SDGs: n/a .

Associated IPA III Level 1 indicator: none.

Associated IPA III Level 3 indicators: none.

3. Policy context and Rationale

- **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 *acquis* under this section is **chapter 27** (Environment and climate change), included in cluster 4 (Green agenda and sustainable connectivity).
- The indicator corresponds to the **EFSD+ IW4 –**Sustainable Cities

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 foundation of EU waste management is the five-step "waste hierarchy", established in the (2008) Waste Directive[1], further reinforced by the (2018) Waste Framework Directive[2] . 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 Waste Framework Directive lays down measures to protect the environment and human health by:

A summary of the current EU acquis on waste management 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: actual latest value on the total value per year by the time of reporting and according to the applicable definitions provided in section 5 of the note. Values will be reported cumulatively across the whole implementation period.
  - **Final target value**: estimated total tons per year (tons/year) by the target year and according to the applicable definitions provided in section 5 of the note.
- **Intermediate targets (milestones).** A tool has been developed in OPSYS to automate the generation of intermediate targets[5].
  - 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 options[6]) and this selection triggers the

[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)
[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

[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.

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 **tons per year (tons/year),** using the Technical Definitions and Counting Guidance provided below. Please double check your calculations using the Quality Control Checklist below.

Technical Definitions

- **Installed capacity:** additional capacity installed as a result of IPA III support. The indicator includes any capacity installed, including sorting, recycling, mechanical/biological/chemical/thermal treatment and landfill disposal. [in line with EFSD+]
- **Waste**[7]: any solid substance or object which the holder discards or intends or is required to discard.
- **Waste collection and disposal**: 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, and including actions taken as a dealer or broker.
- **Collection**[1]: the gathering of waste, including the preliminary sorting and preliminary storage of waste for the purposes of transport to a waste treatment facility.
- **Sorting**[8]: Separating waste into different materials, such as glass, metal, paper, plastic, etc.
- **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 others[9].
- **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.

Counting Guidance

- **Reference to possible double-counting:** low risk of double counting.

Quality Control Checklist

1. Have all relevant disaggregations been reported?
2. Has the baseline and final target been encoded with the right dates?
3. Did you encode the latest current value available?
4. Did you use the comment box to inform on the values encoded?

6. Examples of calculations

The EU supports an association of the three municipalities of a candidate country to increase the capacity of their joint municipal waste management system. The timeline of the intervention is four years, and the estimated additional capacity to be installed over the four years is 700

[7] Art. 3 Directive 2008/98/EC.
[8] GEMET - Environmental thesaurus
[9] A more detailed list of disposal treatments can be found in annex 1 of Directive 2008/98/EC.

tons/year for collection services and 1 000 tons/year for waste disposal. According to the first and second progress reports from the implementing partners, the capacity installed each year was: Y1, 100 tons/year for waste collection; Y2, 200 tons/year for waste collection and 1 000 tons/year for waste disposal.

Baseline value Year 0: 0 tons/year

Target value Y4: 700 tons/year (collection) and 1 000 tons/year (disposal).

Value at Y1: 100 tons/year (collection)

Value at Y2: 300 tons/year (collection) and 1 000 tons/year (disposal).

7. Data sources and issues

Data sources in the logframe:

- Data for this indicator must derive directly from the intervention; i.e. intervention monitoring and reporting systems from implementing organisations (e.g. governments, international organisations, non-state actors...).
- The additional capacity of port terminals should be stated in the intervention feasibility study or appraisal report. While estimates are expected to be available at the design stage of the intervention, actual values for capacity installed should be collected by the implementing partner's monitoring system based on work delivery/reception acts.
- 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:

- EU intervention monitoring and reporting systems (Progress and final reports for the EU-funded intervention)

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 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.3.1.7.7 can be found in the following groups of EU predefined indicators available in OPSYS, along with other related indicators: • European Fund for Sustainable Development (EFSD); • European Fund for Sustainable Development PLUS (EFSD+); • IPA III RF Window 3: Green agenda and sustainable connectivity (IPA III W3); • Sustainable cities (SustCities) For more information, see: Predefined indicators for design and monitoring of EU-funded interventions | Capacity4dev (europa.eu) **Used by the EU**: European Fund for Sustainable Development Plus (EFSD+): Yes Results indicators for European Regional Development Fund (ERDF): RCO 34 - Additional capacity for waste recycling; RCO 119 - Waste prepared for re-use Core set of performance indicators for ERDF and Cohesion Fund: CCO 11 - New or upgraded capacity for waste recycling
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.