

# Monitoring and Evaluation System for the Implementation of Integrated Waste Management Plans



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# Background

- Province (DEA&DP) facilitated the implementation of National Waste Management Strategy
- Conducted capacity building workshops on Integrated Waste Management Planning (annually since 2003, except 2008) with municipal officials, some councilors & NGOs & waste activists
- Facilitated the development of IWMPs and develop an IWMP Guidelines
- All 30 municipals completed IWMPs between 2006 & 2007 and submitted it to DEA&DP
- DEA&DP assessed all plans and provided feedback and set reports via Mayors and Municipal Managers to Waste Managers

# Background

- Most Municipal IWMPs were not formally approved by respective Municipal Councils
- Most IWMPs not incorporated into IDPs on an annual basis
- Acknowledge first generation plans – a number of shortcomings in the development and implementation
- Most IWMPs not annually reviewed to address shortcomings (esp. key priorities)

# Role of Province in Waste Management

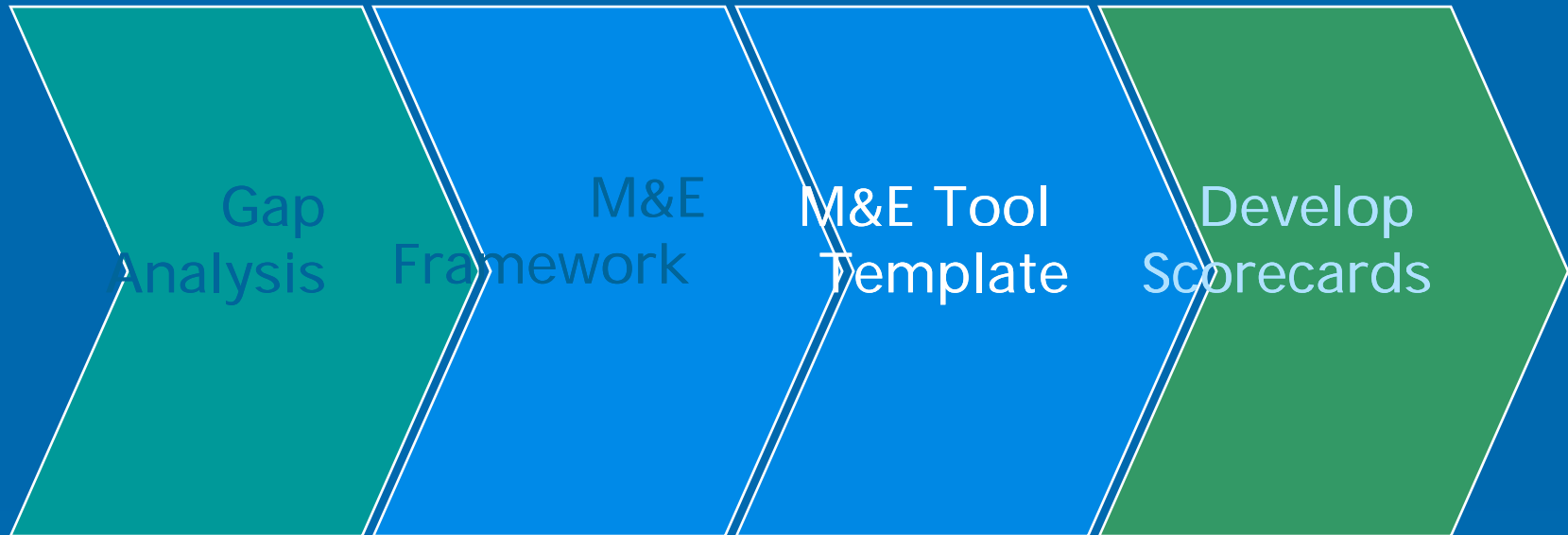
- Constitutional requires provincial government to monitor, support and promote the development of government capacity
- Province has an oversight function (Constitution, NEMA and NEM: Waste Management Act)

# Background

## ➤ Project brief:

- A framework that outlines the monitoring and evaluation process of IWMPs
- A tool that monitors and reports on compliance of municipal IWMPs with National and Provincial guidelines and provides an assessment of the implementation of the IWMPs plans and policy's
- A municipal specific scorecard for monitoring the municipality's implementation of their IWMP and meeting statutory obligations.

# Approach and Outputs



Questionnaire, interviews and 2 consultative workshops with municipalities to develop the M&E system

# Gap Analysis

- Undertook Gap Analysis of IWMPs
  - IWMPs largely dealt with *what* needs to be done
  - Notable gap with respect to Implementation Plans and M&E – objectives, indicators, targets of plans.
- Interviews with Waste Managers to:
  - assess progress on IWMPs
  - gain insight into notable and common constraints
  - identify strengths for learning and sharing

# Methodology

- Telephonic interviews – Waste Managers were sent questionnaire in advance
- Issues covered in interviews:
  - Institutional and Financial
    - Capacity and financial resource achievements/constraints
    - By-laws – progress and constraints
    - Integration with other plans – how?
  - Service Delivery
    - Service levels
    - Waste generation and disposal
    - Waste minimisation
    - Partnerships with private sector
    - Public awareness

# Findings of Gap Analysis

## ➤ Capacity

- Very few capacity changes in municipalities
- Capacity gaps:
  - Human Resources (numbers and skills)
  - Physical Capital esp. vehicles (ageing fleets, inefficient etc)

## ➤ Budgets and financial resources

- Council influential – ie. Where waste is high on the agenda, Waste Managers generally felt that resources are sufficient
- Most reported insufficient budget
- Capital finance particularly needed

# Findings of Gap Analysis

## ➤ By-laws

- Municipalities identified need for by-laws, progress varied
- Lack of legal expertise
- Some District Municipalities taking the lead, with Local Municipalities to follow

## ➤ Integration with other plans

- Generally some alignment to IDP
- Very narrow understanding of integration
- In some cases, no integration has taken place
- Some municipalities developing 2<sup>nd</sup> generation IWMPs and plan to integrate IWMPs with IDP, EMP and SDF.

# Findings of Gap Analysis

## ➤ Service Levels

- Services are generally good in urban areas
- Rural service provision has been a challenge

## ➤ Waste Generation

- Varied access to weigh bridges
- Growing need for landfill space
- Non-compliant with permits & most disposal sites are closing without closure permits
- Some districts investigating regional landfills

## ➤ Waste minimisation

- Often recycling initiatives were mentioned
- Awareness raising activities taking place

# Findings

## ➤ Private Sector partnerships

- Formal and informal partnerships
- Mainly with respect to recycling and disposal
- Considered to be successful

## ➤ Public Awareness

- Well resourced municipalities doing well
- Less capacitated municipalities say they struggle
- Illiteracy has limited access in certain communities (due to capacity constraints municipalities don't find alternative ways to make public aware)

# General comments

- Most municipalities clearly active in improving SW service
- It is not clear that improvements have been shaped by IWMP
- IWMP identify gaps in service levels but does not seem to be strategic guide used to implement improvements
- Note that these are first generation IWMPs
- Other factors important in shaping *how* progress and implementation takes place:
  - Council,
  - Public demand,
  - Financial and capacity considerations.
- Eagerness to learn from others
- Need for guidance from WC DEA&DP identified (Municipal -Provincial Integrated Waste Management Forum is a useful platform)

# Framework

- A framework is a central part of a monitoring and evaluation system: it is a policy document that describes and specifies *how monitoring and evaluation will take place*.
- It is intended to have a longer lifespan than a set of annual indicators and for that reason, exists independently of any sets of indicators.
- The M&E System framework includes:
  - a background on the legislative and policy context,
  - a structure for what will be measured and monitored
  - a process for how M&E will take place

# Government M&E

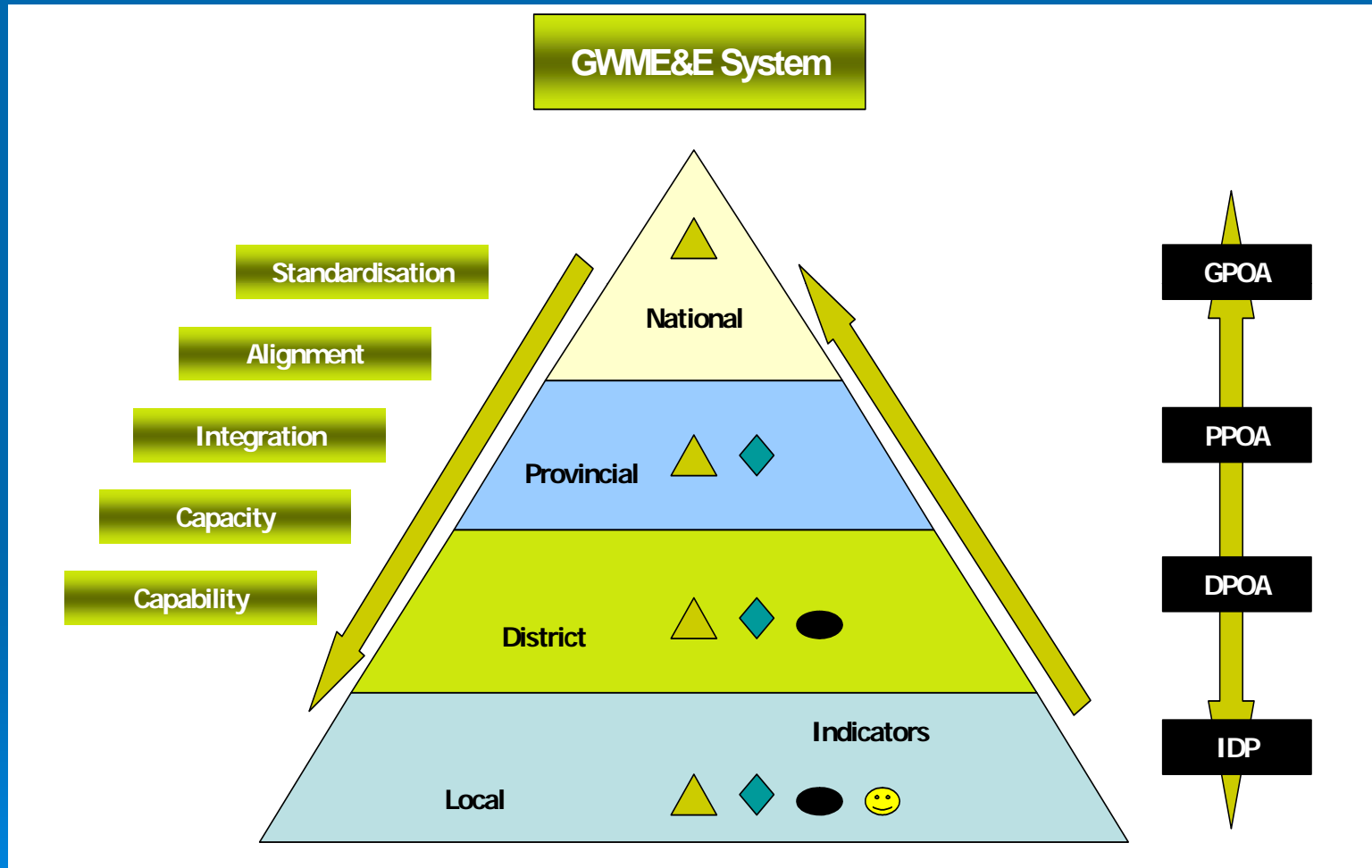
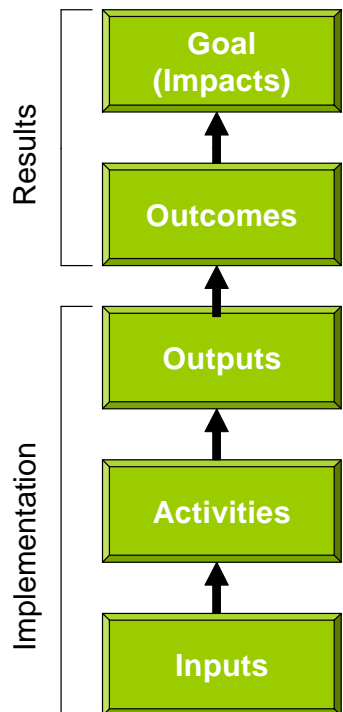


Diagram showing indicator development across 3 spheres of government  
(Source: Office of the Presidency)

# Schematic results based monitoring

Results oriented monitoring, reporting & evaluation approach



- Long-term, widespread improvement in society
- Intermediate effects of outputs on clients
- Products and services produced
- Tasks personnel undertake to transform inputs to outputs
- Financial, human, and material resources

# Intention and purpose

## ➤ Accountability

- Waste Act (Act no. 59 of 2008) requires municipalities to develop IWMPs and submit them to MEC responsible for environment
- Waste Act requires municipalities to develop an annual report on the implementation of the IWMP to be submitted to the MEC

## ➤ Learning

- M&E system - potential to provide a useful resource for all spheres to learn about integrated waste management planning and its implementation
- Learner resource for Municipalities to know what is expected of an IWMP; how they fare against expectations, common challenges and obstacles and best practices of overcoming these obstacles

# Intention and purpose

## ➤ Support

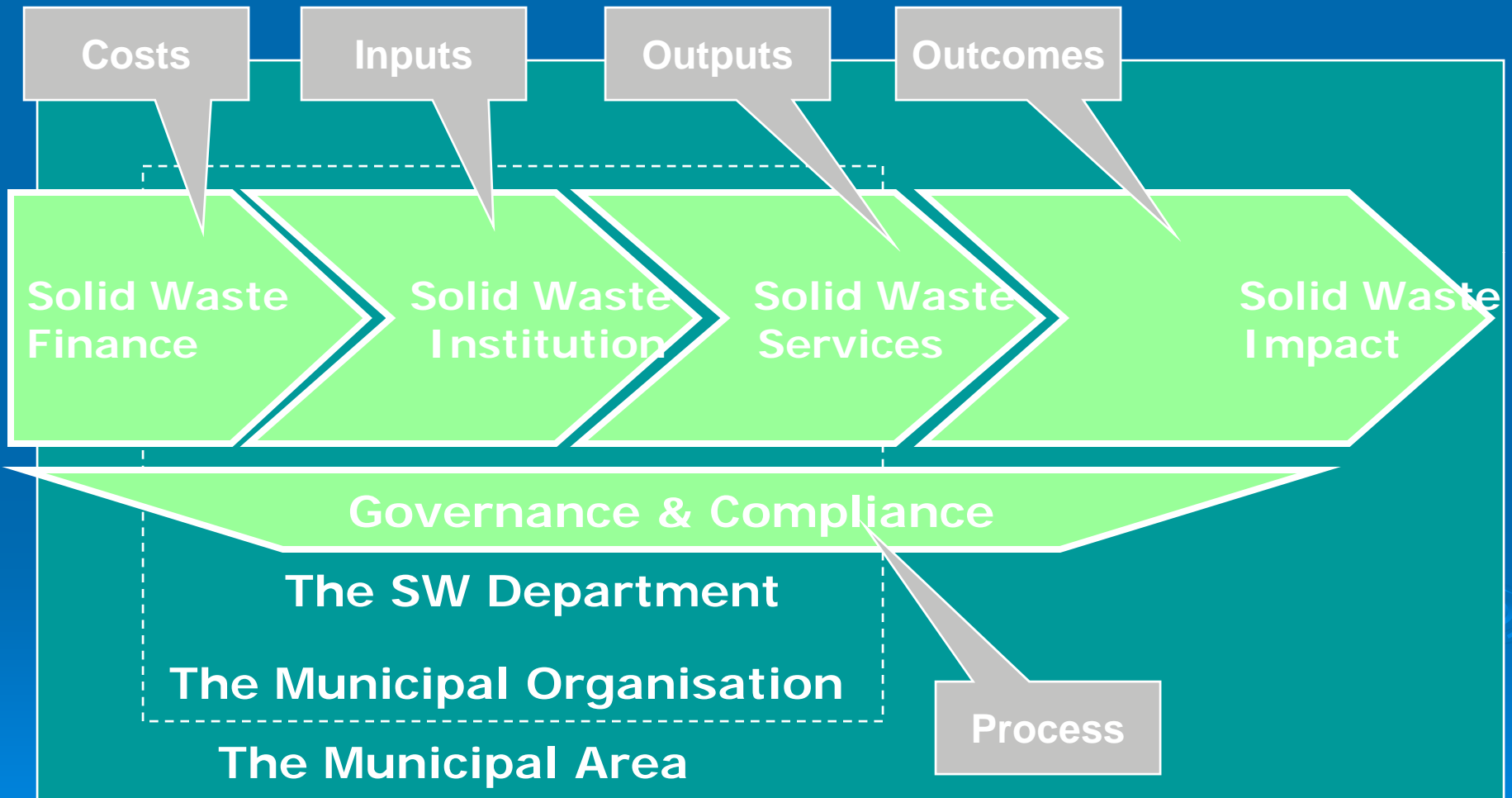
- Inform province to prioritise and identify resources for support to municipalities
- Areas of waste management that needs attention and intervention
- Share best practices to emulate in offering support

## ➤ Waste Information

- MEC may establish a waste information system
- M&E system will align to and form part of waste information system – useful to municipalities, provinces, national and stakeholders

➤ *It is the explicit intention that while this M&E system will be useful to province and national departments and participation will soon be required through law, it must be primarily useful to the municipalities who will be using it to report on their IWMPs.*

# IWMP Scorecard



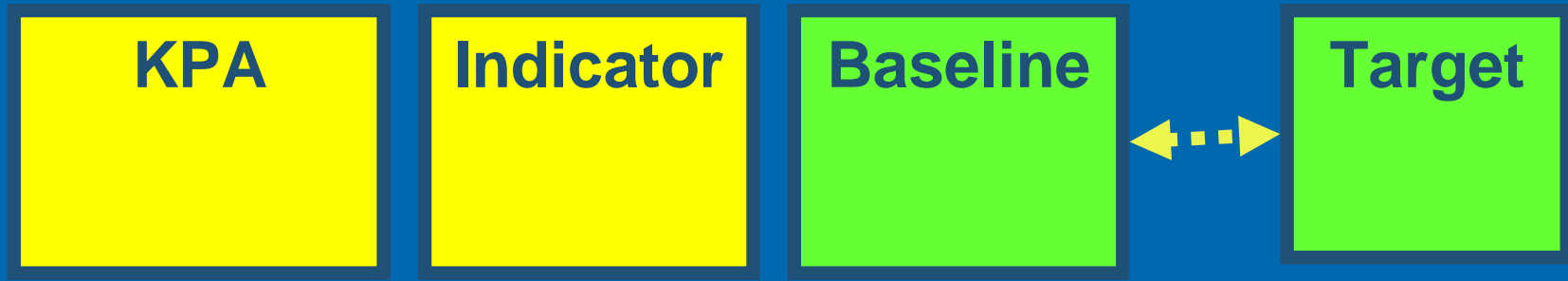
# Scorecard Concepts

- **Key performance areas (KPAs):** are names for areas of performance identified under each perspective e.g. Recycling.
- **Indicators:** are variables (qualitative or quantitative) that tell us whether we are making progress towards achieving our objectives.
- **A baseline measure:** is the value (or status quo) of the indicator before the start of the programme or prior to the period over which performance is to be monitored and reviewed.
- **A target:** is the value (or desired state of progress) of the indicator that is intended to be achieved by a specified time period.

# Scorecard concepts

- **Actual:** refers to the actual performance on the specified indicator in the specified units for, or at the end of, the respective period.
- **Data Quality** refers to a four-point scale to describe the quality of data provided as 'actual' where 0 is 'No Data'; 1 is a guess; 2 is a reliable calculation and 3 is an audited result.
- **Verification Source** refers to the reference document or system that can be cited as the source of the actual data reported. This is used to create a reference trail for audit purposes.

# Key scorecard links



In reporting on performance using the score card, the following become important concepts, namely, actuals, data quality and verification source

# Indicator sets

## ➤ **Compliance and Governance**

- Intergovernmental relations, IWMPs approved by council; compliance with IWMP requirements; compliance with licensing requirements

## ➤ **Impact**

- Household satisfaction; cleanliness, environmental impact

## ➤ **Waste Services**

- Service levels (e.g. % households receiving kerbside collection), waste diverted from landfills, waste facilities licensed; complaints registers and compliance monitoring & enforcement; public awareness & education

## ➤ **Institutional**

- Staff capacity (no. posts filled and vacant); skills profile (% budget spent on skills development); staff productivity (staff turnover; absenteeism); fleet maintenance, availability and utilisation

## ➤ **Financial**

- Investment in maintenance, capex (expenditure vs budget), opex (expenditure vs budget); revenue; alignment of budget to IWMP (Council approved budget allocation as % projected funds necessary to satisfy objectives of IWMP in financial year)

# How will M&E take place

- Monitor and Implement IWMP (Pilot phase with some municipalities, before broad incremental implementation)
- Self Assessment by municipalities
- Reporting to Province
- Analysis and Verification by Province
- Development of a Provincial Report
- Feedback to Municipalities
- Annual IWMP Learning (use Waste Management Forum)
- Revise IWMPs
- Revise M&E System

# Challenges and Lesson Learnt

- Obtain a good set of indicators
  - Consensus amongst municipalities and province
  - Aligned with requirements of Waste Act (section 12 & 13)
  - Focused and Specific
  - Measurable
  - Valid and Relevant
  - Reliable
  - Simple
  - Data Availability
  - Alignment with other indicators of other reporting systems (MSA (sect. 46), Treasury and DPSA – Annual reporting)
- Review the draft set of indicators to meet above set of requirements
- Obtaining support from Municipalities to implement M&E system (1<sup>st</sup> pilot with few municipalities & then incremental with all municipalities)

# Challenges and Lessons Learnt

- Ensure systems are in place at municipalities to record, collate information and report information
- Form part of information gathering of other reporting systems
- Ensure that it is not resource intensive to report
- Getting the frequency right on reporting on certain indicators
- Overcome the issue that financial constraints limit good reporting
- Value added – exposed officials to the GWM&E and its intergovernmental linkages