

1 **Dealing with waste products and flows**  
2 **in Life Cycle Assessment and Emergy Accounting:**  
3 **methodological overview and synergies**

4 *Alba Bala Gala<sup>1,2</sup>, Marco Raugei<sup>2,3\*</sup>, Maddalena Ripa<sup>4</sup>, Sergio Ulgiati<sup>4</sup>*

5 *<sup>1</sup>Ph.D. Programme in Environmental Science and Technology,*  
6 *Universitat Autònoma de Barcelona,*  
7 *Institut de Ciència i Tecnologia Ambientals (ICTA),*  
8 *Edifici Ciències, torre Àrea 9, 4<sup>o</sup> planta. C5-438*  
9 *08193 Bellaterra, Barcelona, Spain.*

10 *<sup>2</sup>UNESCO Chair in Life Cycle and Climate Change,*  
11 *ESCI-Pompeu Fabra University*  
12 *Pg. Pujades 1, 08003, Barcelona, Spain*

13 *<sup>3</sup>Faculty of Technology, Design and Environment, Oxford Brookes University*  
14 *Wheatley Campus, OX33 1HX, Wheatley, UK.*

15 *<sup>4</sup>Department of Science and Technology, Parthenope University of Naples*  
16 *Centro Direzionale - Isola C4, 80143, Naples, Italy.*

17  
18 *(\* Corresponding author: [marco.raugei@brookes.ac.uk](mailto:marco.raugei@brookes.ac.uk))*

19 **ABSTRACT**

20 This paper considers the different approaches taken in dealing with waste  
21 products and flows in Life Cycle Assessment (LCA) and Emergy Accounting  
22 (EMA), from a methodological point of view, and aims to develop more  
23 standardized and synergistic procedures. LCA deals with the waste issue from  
24 the point of view of the impact of their disposal, as well as the potential benefit  
25 ('environmental credit') afforded by the avoided extraction and processing of  
26 additional primary resources when waste is recycled or its energy content  
27 recovered. The 'environmental burden' associated to the entire production and  
28 consumption chain leading to the waste item is generally not included in LCAs of  
29 waste management systems, due to the boundary being placed – consistently  
30 with the intended goal – around the actual disposal processes (including  
31 recycling alternatives and associated environmental credits). Instead, Emergy

32 Accounting, a donor-side approach with its implicit boundary set at the biosphere  
33 level, in principle keeps track of the entire supply-chain at all times, considering  
34 even waste flows as products (or co-products), and calculating their intensity  
35 factors and assessing their role within the ecosystem's web and hierarchy.  
36 However, when the focus is limited to evaluating processes under human  
37 control, within the narrower space and time boundary of human-dominated  
38 production and consumption processes, waste products can arguably be  
39 regarded as something to be recycled or disposed of to minimize the  
40 environmental burden. When this is the case, and particularly in comparative  
41 analyses, the emergy perspective thus becomes closer to the LCA perspective  
42 and interesting methodological synergies may emerge. A clearly defined set of  
43 emergy algebra rules for waste products and flows, and specifically for recycling,  
44 was found to be still lacking in the available emergy literature. We propose here  
45 that a better and more consistent methodological solution may be arrived at by  
46 leveraging the work done in LCA.

## 47 **1. INTRODUCTION**

48 In natural ecosystems, all material flows are circular and the very concept of waste does  
49 not apply: 'waste' products and flows from a process always become inputs to other  
50 processes. Instead, human-dominated systems are typically incapable of continuously  
51 re-using all waste flows, which puts increased pressure on the environment in terms of  
52 pollution as well as ever-increasing depletion of natural resources. Waste management  
53 strategies are aimed at minimizing such problems, but they entail additional resource  
54 use too, and so must be carefully assessed and optimized.

55 As already advocated and explained elsewhere (Ulgiati et al., 2006; 2011), there is  
56 much to be gained from the comparison, parallel application and, where appropriate,  
57 integration (Raugei et al., 2006; Ingwersen, 2011; Rugani and Benetto, 2012; Marvuglia  
58 et al., 2013; Arbault et al., 2014; Raugei et al., 2014) of life cycle assessment (LCA) and  
59 emergy accounting (EMA), when the intended object of analysis is human-dominated  
60 systems. Waste management systems are often especially complex, and therefore  
61 require extra care when making all the necessary methodological choices and  
62 assumptions, in order to ensure both strict internal adherence to the dictates of the  
63 underlying theories, and, no less importantly, external consistency and comparability to  
64 pre-existing and possible follow-up studies.

65 While a number of waste management case studies have already been investigated by  
66 emergy analysts (Brown and Buranakarn, 2003; Marchettini et al., 2007; Lei et al., 2008;  
67 Amponsah et al., 2011; Yuan et al., 2011; Zhang et al., 2011; Mu et al., 2011; Agostinho  
68 et al., 2013; Giannetti et al., 2013; Liu et al., 2013; Song et al., 2013), it seems  
69 reasonably safe to conclude that coherent and agreed-upon methodological guidelines

70 as to how to approach this particular field of application are still lacking. On the other  
71 hand, a large body of scientific and technical literature exists in which LCA has been  
72 used as the method of choice when tackling waste management systems from the point  
73 of view of their energy and environmental performance from a user-side perspective  
74 (e.g. Finnveden & Ekvall, 1998; Eriksson, 2003; Coleman, 2006; Thorneloe et al, 2007;  
75 Gentil, 2011; Koci & Trecakova, 2011). Additionally, in recent years a considerable  
76 effort has been made to standardize LCA and provide clear methodological guidelines  
77 on how it should be implemented for waste management systems (Bjarnadóttir et al.,  
78 2002; JRC, 2010; 2011a; 2011b; 2011c), and on the trade-offs that are inherent in the  
79 adoption of alternative assumptions in those cases where no single clear-cut distinction  
80 can be made between absolutely 'right' or 'wrong' approaches.

81 We herein provide a brief overview of the main critical points that are specific to waste  
82 products and flows (with selected illustrative examples) and of how they have so far  
83 been addressed in LCA. We then discuss the extent to which the work done in the LCA  
84 community may be leveraged to improve the clarity and consistency of EMA when  
85 applied to waste management. At the same time, we also highlight and discuss those  
86 instances where underlying perspective of LCA conflicts with that of EMA, thereby  
87 rendering some of the assumptions and solutions proposed by the former essentially  
88 inapplicable within the framework of the latter.

## 89 **2. METHODS**

### 90 **2.1 *Life Cycle Assessment***

91 Life Cycle Assessment (LCA) is a relatively recent methodology that has rapidly grown  
92 to become a standard tool to investigate the environmental performance of a wide range  
93 of human-dominated processes (ISO, 2006a,b; JRC, 2010). LCA is based on the basic  
94 principle that in order to accurately assess the environmental impact of the analysed  
95 system or product, all its life stages must be addressed, also including in the analysis,  
96 where appropriate, the end-of-life recovery and/or recycling of the system's components  
97 (for subsequent re-use in other product systems). Methodologically, an LCA is  
98 structured in four consecutive stages, namely: (i) goal and scope definition (including a  
99 clear definition of the functional unit, system boundaries and associated assumptions);  
100 (ii) life cycle inventory (the compilation of all the inputs and outputs respectively from  
101 and to nature associated to all processes that form part of the system's life cycle); (iii)  
102 life cycle impact assessment (in which the full inventory of inputs and outputs is  
103 translated into a number of aggregated metrics of environmental impact); and (iv)  
104 interpretation (in which results are discussed and compared to suitable benchmarks).

105 As simple as it may sound when taken at face value, most of the key methodological  
106 dilemmas in the application of LCA to waste management arise in that first all-important

107 step of a clear and unambiguous definition of the intended goal and scope of the study.  
108 In fact, all that LCA requires is that whatever the stated goal and scope of the analysis  
109 is, the analysis be then carried through in strict adherence to those same goal and  
110 scope at all times. In other words, it is perfectly permissible to carry out two independent  
111 LCAs of the very same system starting with different 'questions' in mind and,  
112 consequently, arriving at quite different 'answers' in the end. Indeed, this is the principal  
113 reason why not all methodological assumptions and alternatives that have legitimately  
114 been adopted in LCA may be equally applicable to EMA (whether specifically dealing  
115 with end-of-life and waste management processes or otherwise).

116 In all cases, LCA only accounts for matter and energy flows occurring under human  
117 control, whereas flows outside of market dynamics (such as environmental services and  
118 renewable resources that do not flows through human controlled devices) as well as  
119 flows which are not associated to significant matter and energy carriers (such as labour,  
120 culture, information) are not generally included. Moreover, the supply-side 'quality' and  
121 degree of renewability of resources, in terms of biosphere activity leading to resource  
122 generation processes, are not explicitly taken into account in LCA evaluations (Ulgiati et  
123 al., 2006). Where renewable flows are included, such as e.g. in the calculation of the  
124 CED metric (VDI, 1997), their inclusion only refers to the renewable fraction captured  
125 under human control (e.g. the amount of sunlight actually captured by photovoltaic  
126 modules).

## 127 **2.2 Energy Accounting**

128 Emergy is defined as the available energy (exergy) of one kind (usually solar) previously  
129 required, directly and indirectly, to make a service or product (Odum, 1996). The  
130 boundary of the analysis is always set at the biosphere level, thereby keeping track of  
131 the entire supply chain (from resource generation to processing and disposal), and  
132 accounting for the environmental support needed to generate all the storages and flows  
133 of (renewable and non-renewable) raw natural resources which flow through the web of  
134 natural processes supporting the analysed process either directly or indirectly (e.g. in  
135 the form of ecosystem services). The unit of emergy is the solar emergy Joule (seJ),  
136 and the emergy to generate one unit of available energy or mass along a particular  
137 pathway is named transformity (units: seJ/J) or, more generally, Unit Emergy Value  
138 (UEV, units: seJ/unit). Incidentally, it is worth noting that in a natural ecosystem, which  
139 is not only subject to, but *the product of* natural selection, the transformity also indicates  
140 the position of each type of energy flow in the ecosystem's energy hierarchy (Brown et  
141 al., 2006), while this only applies loosely and at a very coarse level to human-dominated  
142 systems, many of which co-exist without having yet been vetted by long-term natural  
143 selection. The total emergy driving a system, calculated as the sum of all emergy  
144 inflows, is assigned to the product or service delivered (for further details see Odum,  
145 1996; Brown and Ulgiati, 2004, 2010). After all the flows of interest have been

146 quantified, a set of additional indicators: Environmental Loading Ratio (ELR), Energy  
147 Yield Ratio (EYR), etc., can be developed for better understanding of a system's  
148 dynamics as well as for environmental policy making (sustainable resource use), by  
149 assessing the environmental performance of the process itself (Brown and Ulgiati,  
150 2004).

151 One fundamental difference between LCA and EMA is arguably that in the latter, unlike  
152 in the former, the analyst is required to always abide by the same underlying 'donor side  
153 perspective' that is at the very core of emergy theory. Also, the concept of waste  
154 (something useless and devoid of any ability to drive further transformation processes)  
155 has little meaning from an emergy point of view, because every flow or residue from a  
156 process inevitably has a 'history' of its own (hence the concept of 'energy memory'  
157 introduced by Brown and Herendeen, 1996), becomes an input to and has an impact on  
158 some other (human-dominated or natural) process (Genoni et al., 2003).

159 As a consequence, EMA should always consider all waste flows as products or co-  
160 products, and calculate their intensity factors accordingly (but paying careful attention  
161 not to double-count the emergy inputs when dealing with multiple functional units). On  
162 the contrary, LCA distinguishes between 'waste flows', 'waste products' and co-products  
163 based on market value (Guinée et al., 2004), and applies different allocation rules  
164 accordingly. This is better detailed in section 3 below.

### 165 **3. KEY METHODOLOGICAL ASPECTS**

#### 166 **3.1 *Treatment of elementary flows vs. products and waste products***

167 LCA makes a fundamental distinction between what it calls 'elementary flows', i.e. flows  
168 which are directly sourced and/or emitted to the environment *as is* (including 'waste  
169 flows'), and 'products' (including 'waste products'), which on the other hand are the  
170 product of, and are output to, a range of human-dominated systems (the latter  
171 collectively referred to as the 'technosphere'). While it is the elementary flows which  
172 directly contribute to environmental impact (in terms of resource depletion, and of a  
173 number of emission-related impact categories such as global warming potential,  
174 acidification potential, etc.), a life-cycle impact potential is computed and assigned to  
175 products and waste materials, depending on the inputs and outputs of elementary flows  
176 that they have been 'responsible for' along their life cycle. The rules for the allocation of  
177 such 'responsibility' amongst (co)-products and waste materials in LCA are detailed in  
178 the following sub-section.

179 EMA, on the other hand, by virtue of its intrinsic 'historical' perspective on the exergy  
180 cumulatively spent to provide any given flow at any given moment, has no use for such  
181 distinction, and treats flows from/to the environment and those from/to the technosphere  
182 in the same way, from a methodological point of view.

### 183 **3.2 Different approaches to multi-functionality**

184 Based on their market value, LCA then also clearly differentiates between: (i) useful  
185 (co)-products, which jointly carry the environmental burden of a production system, and  
186 (ii) waste products, which (like waste elementary flows) are considered devoid of any  
187 useful value, and whose environmental impact is therefore re-distributed amongst the  
188 (useful) (co)-products.

189 The general recommended way to tackle co-products in LCA (both those of the same  
190 physico-chemical nature – which are usually named 'splits' in EMA - and those of  
191 different physico-chemical nature) is by system expansion (ISO 2006b; JRC, 2010).  
192 When adopting the system expansion approach in LCA, the analyst is free to select  
193 those output products which are considered to be of primary interest, and the impact  
194 associated to the remaining co-products is removed by (i) expanding the analysis to  
195 also assess *alternative* product systems which generate those same (and only those)  
196 outputs whose impact needs to be removed, and then (ii) subtracting the impact  
197 associated to the latter systems from that of the original system under study (on a per-  
198 functional unit basis).

199 If such system expansion is impossible or impractical, then allocation may alternatively  
200 be employed (similarly to what is done by default in EMA in the case of product splits –  
201 see below); however, in LCA the analyst has a choice to opt for either energy-, mass-,  
202 or economic-based allocation. In fact, depending on the specific system under study  
203 and on the goal of the analysis, any of these options may be preferable in order to  
204 better reflect the user-side perspective (i.e. "to which degree is each co-product  
205 responsible for the operation of the entire system?").

206 Contrary to what happens in LCA, in EMA *all* system outputs (including waste products)  
207 are, at least in principle, always considered to be either co-products or 'splits'.  
208 Additionally, according to the basic energy definition, computation procedures in EMA  
209 follow a special 'algebra' that keeps track of all steps from resource generation up to the  
210 product at stake, and differentiates between 'co-products' (two or more products or  
211 flows characterized by different physico-chemical nature and generated simultaneously:  
212 one cannot be generated without also generating the other one) and 'product splits' (two  
213 or more products or flows sharing the same physico-chemical nature: in principle it is  
214 possible to generate only one of them without also generating the others). When only  
215 one product is obtained from a process, all source-energy is assigned to it. Instead,  
216 when two split products are generated, the source-energy is assigned (allocated) to  
217 them according to their available energy (or mass). Finally, when two or more co-  
218 products are generated, the total source-energy is assigned to all of them (no  
219 allocation). Consequently, when two co-product pathways re-unite in a downstream  
220 process, the energy carried by those converging flows must not be added together, lest  
221 their common original driving source be double-counted. In such cases, the traditional

222 approach has been to only account for the largest flow when computing the total  
223 emergy of the final product.

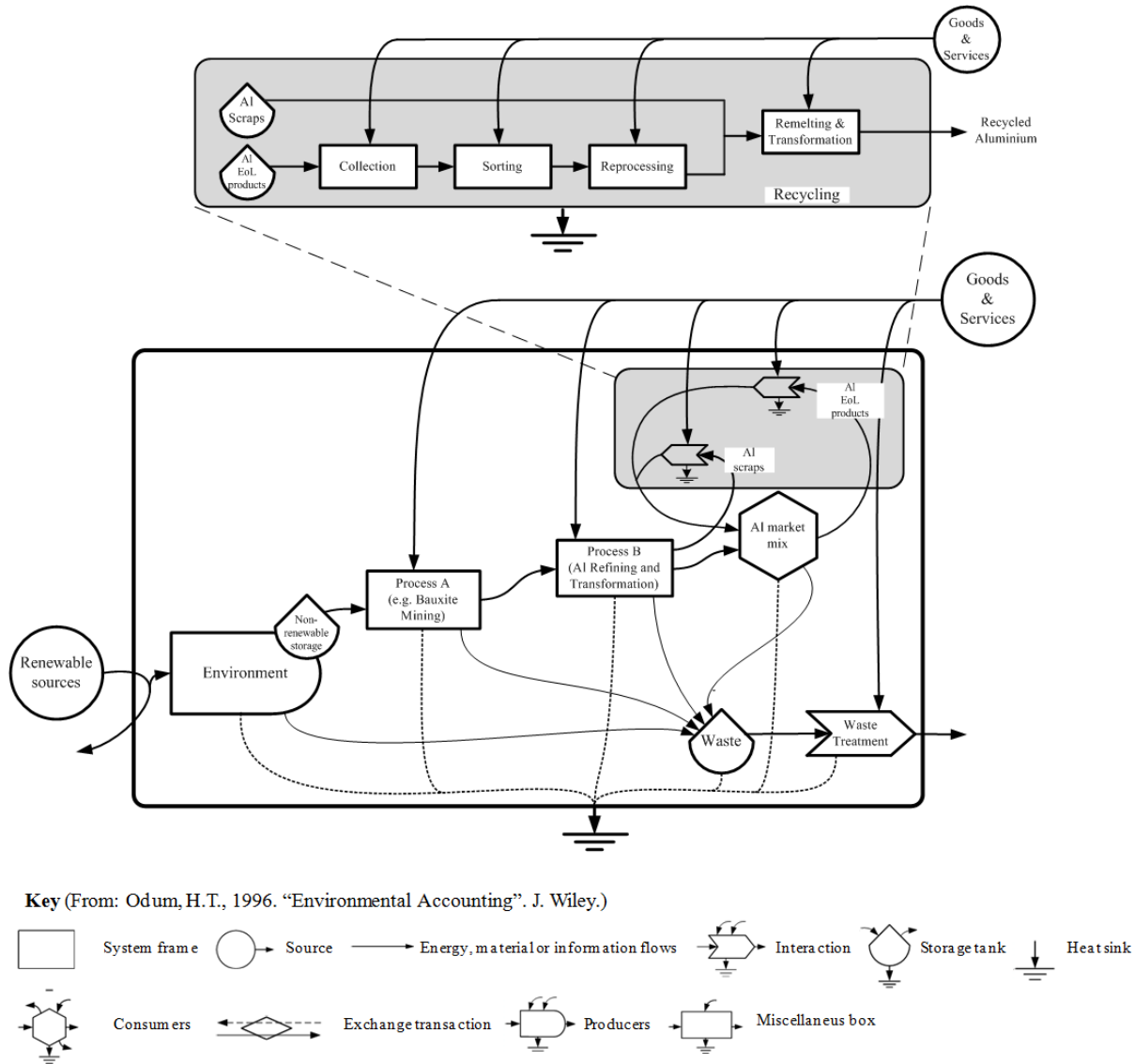
224 This peculiarity of the ‘emergy algebra’ represents a potential stumbling block for the  
225 seamless integration of EMA into an existing LCA workflow. Marvuglia et al. (2013)  
226 proposed an interesting way to address and solve this issue with their SCALE software.  
227 However, the fly in the ointment of their solution as it may be implemented using the  
228 currently available LCA databases is that all those flows which appear to be co-products  
229 in the database are treated as if they were *actual* co-products of the same real process.  
230 In reality, however, the same database process is often used as a proxy for  
231 independent processes taking place at different locations and at different moments in  
232 time, which removes the requirement for any special emergy algebra rule in the first  
233 place. So, while worthy of praise from a theoretical point of view, in its current practical  
234 implementation the solution proposed in SCALE may often end up ‘over-compensating’;  
235 the resulting uncertainty and loss of accuracy should be the subject of a proper  
236 analysis, e.g. by running SCALE with and without considering the ‘co-product rule’. It is  
237 important to note, though, that this state of matters is an intrinsic shortcoming not of  
238 SCALE itself but of the LCI networks as they are modelled in the currently available  
239 databases, which are lacking spatial and temporal differentiation (Tiruta-Barna and  
240 Benetto, 2013).

### 241 **3.3 End-of-life processes, avoided impact and environmental credit**

242 When specifically dealing with those end-of-life processes that result in the production  
243 of secondary materials (recycling) or recovered energy (incineration and sometimes  
244 landfilling), the recommended way to address them in *attributional* LCAs (i.e. those  
245 LCAs whose goal is not to investigate the potential long-term consequences of large-  
246 scale policy choices, but to actually assess the real impact associated to the life cycle of  
247 a system as it is now) is again by system expansion. The analysis is thus extended to  
248 also include the average mix of technologies that at the time of the analysis provide an  
249 average unit of, respectively, the material and/or energy that is recovered, and the  
250 impact associated to the latter is then subtracted from that of the original system under  
251 study. Figure 1 illustrates this logic in the case of aluminium. From to this viewpoint, the  
252 ‘environmental credit’ associated to one unit of recycled material is calculated as the  
253 weighted average of the impacts of producing the primary (i.e. virgin) and secondary  
254 (i.e. recycled) material used in the market. Likewise, for energy, the appropriate average  
255 mix of technologies (e.g. the grid mix) should be employed.

256 Conversely, in *consequential* LCAs a different line of reasoning is adopted, which is  
257 often referred to as ‘marginal replacement’. This leads to the identification of the  
258 production of virgin material(s), and of energy carriers produced by those technologies  
259 whose use it is the industry’s or government’s intention to curb, as the best candidates  
260 for the calculation of an ‘avoided impact’. The latter corresponds to arguing that, after

261 all, it is essentially *in order to* reduce the demand for primary materials (and *in order to*  
 262 replace polluting energy technologies) that, respectively, recycling and energy recovery  
 263 are implemented.  
 264



265  
 266 **Figure 1.** Energy system diagram for primary and secondary aluminium production,  
 267 both contributing to an average mix of Al on the market (hexagon-shaped symbol on the  
 268 right hand side of the main diagram).

269 At least in principle, an 'environmental credit' logic similar to that of attributional LCA  
 270 discussed above and illustrated in Figure 1 may generally be considered applicable to  
 271 EMA too. For instance, when waste materials are produced which could be recycled or  
 272 put to new use elsewhere (via open-loop recycling), be they categorized as *co-products*  
 273 (e.g. corn straw which could be used as soil fertilizers in another system) or *split flows*

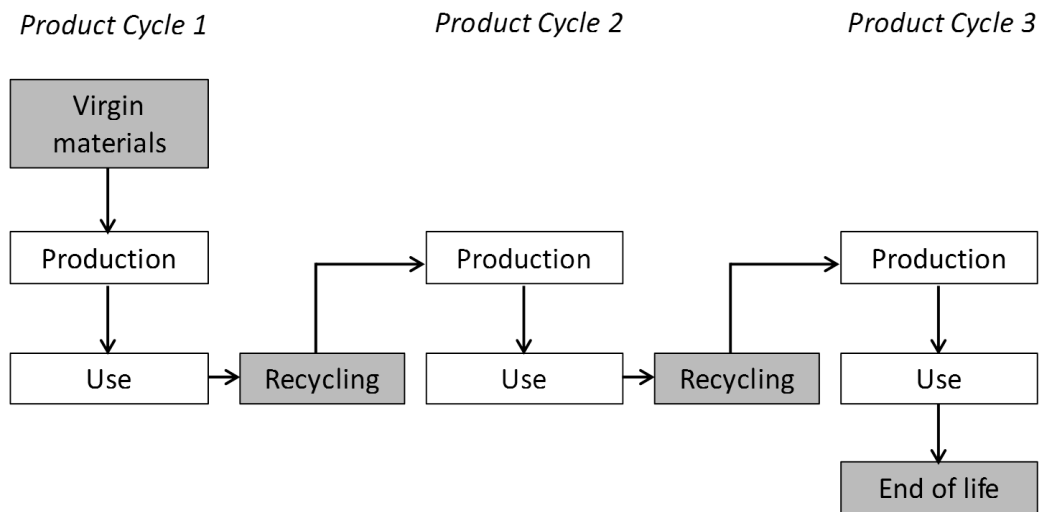


274 (e.g. saw dust of wood processing, which could be used as a source of energy), a  
275 virtual decrease of input energy to the analysed system could be considered. In the two  
276 examples above, such 'credited energy' would be respectively that for the production of  
277 chemical fertilizers, and that for the production of conventional thermal energy.

### 278 **3.4 System boundary and closed-loop vs. open-loop recycling**

279 In LCA, when materials are used in more than one product cycle, it is crucial to always  
280 set inter-system boundaries in such a way as to clearly separate the life cycles of the  
281 different product systems that make successive use of the same materials (Figure 2). A  
282 number of options are available as to where to locate such 'cut-off' points (Ekvall and  
283 Tillman, 1997).

284



285

286 **Figure 2.** Simplified example of successive product cycles. Processes in grey are  
287 those susceptible to be assigned to different product cycles or shared among them.

288

289 One approach that is sometimes adopted when analysing one particular product system  
290 which happens to be located along any such chains of multiple material uses is to  
291 assign the impact associated to the first stages of its waste management (i.e. its  
292 collection, disassembly and transport to landfill, incinerator and/or sorting facilities) to  
293 the first product system, and then the additional impact due to the pre-treatment and  
294 recycling of those materials that are re-used in subsequent product systems to the latter  
295 systems. This corresponds to adopting the 'rule' that secondary scrap used as input  
296 material carries 'zero embodied impact'. In so doing, though, the analyst foregoes the  
297 possibility to claim back any 'environmental credit' for the first product system (cf.  
298 previous sub-section) due to the recovery of materials at its end-of-life.

299 Alternatively, in many cases the system boundaries are often set so as to include all of  
300 the waste management in the life cycle of the first product system (including the  
301 recycling processes), and then an 'environmental credit' is claimed back for the same  
302 product system, based on what the recycled materials are assumed to replace. It is  
303 interesting to note, however, that whenever this second approach is adopted, a potential  
304 external inconsistency issue arises when results from independent analyses are  
305 combined. This, of course, is because the impacts of the recycling process and the  
306 associated 'credits' can only be assigned at any given time to *either* product system 1 *or*  
307 product system 2, along the chain.

308 In EMA, the following two basic scenarios are distinguished:

309 a) Recycling within the same process (i.e. 'closed-loop recycling'), *analysed assuming a*  
310 *steady state*. When a recycled flow (waste or co-product) is fed back to a process'  
311 earlier step, its emergy should not be double counted and only the additional emergy  
312 investment for collection, feedback and pre-treatment should be added. This essentially  
313 coincides with the LCA logic.

314 b) Waste flows from other processes (i.e. 'open loop recycling'). The rule to prevent  
315 double-counting does not automatically apply to this situation, and at first it might seem  
316 that if the recycled/reused material were allowed to carry its entire 'emergy memory',  
317 each reuse cycle would increase the emergy of the recycled fraction, in principle  
318 increasing its UEV without a limit - and in fact, a similar argument has sometimes been  
319 made in the literature (Amponsah et al., 2011). However, more careful scrutiny reveals  
320 that such interpretation stems from a fundamental misconception of the fundamentals of  
321 emergy theory (Ulgiati et al., 2004). In general terms, the emergy of a 'virgin' resource in  
322 input to a production process may be decomposed into:  $(E_f + E_p)$ , where  $E_f$  is the  
323 emergy of natural resource 'formation', and  $E_p$  is the emergy of the subsequent  
324 processes taking place in the technosphere (i.e. extraction, refining/pre-treatment and  
325 delivery). It should be noted that  $E_f$  is in fact the contribution of nature's own work to  
326 slowly 'recycle' the resource once on the geological scale (e.g. through sedimentary  
327 deposition, or through remelting in the mantle, etc.), and does not take into account  
328 more than one successive 'loop' of such natural recycling process. According to the  
329 same logic, the emergy of a 'secondary' (i.e. recycled) resource in input to a process at  
330 any given moment should only be  $E_r$  = the emergy of (technological) recycling. A  
331 secondary input should not be assigned any additional emergy besides  $E_r$ , because:

332 (1) The material is already in the technosphere, and therefore its use does not  
333 entail any additional resource depletion; in other words, it does not require nature to  
334 perform another 'loop' of its slow 'recycling' work on the geological scale. Hence, in this  
335 case  $E_f = 0$ ; to include this contribution again would be double counting.

336 (2) The material does not need to be extracted, refined and delivered again  
337 from its natural source in the geobiosphere (e.g. from the ore in the ground). Hence, in  
338 this case  $E_p = 0$ ; to include this contribution again would be double counting.

339 It should be noted that the same fundamental logic applies throughout emergy theory,  
340 and specifically to all natural ecosystem processes, where multiple recycling loops are  
341 ubiquitous. For instance, the emergy of the inorganic nutrients uptaken by a plant at any  
342 given moment do not carry the emergy that went into growing the previous generations  
343 of plants that grew and then decayed in the past, thereby releasing (i.e. recycling) the  
344 nutrients back into the soil. Nor does a blade of grass being fertilized by the decaying  
345 carcass of a lion see its emergy propelled to any higher level by virtue of the emergy  
346 accrued during the former 'life cycle' of its 'donor system' (i.e. the lion).

347

348 Additionally, it should also be considered that with each consecutive cycle, a new use is  
349 made (i.e. a new 'functional unit' is created) for the same amount of (recycled) material  
350 (assuming for the moment for the sake of simplicity that the recycling itself is 100%  
351 efficient). Thus, on average, the emergy of a unit of material after N cycles ( $Er_N$ ) would  
352 amount to its original emergy of the 'virgin' material ( $E_f + E_p$ ), plus N times the additional  
353 emergy required to recycle it once ( $Er$ ), divided by (N+1) total functional units (Eqn. 1):

354 Eqn. 1) 
$$Er_N = \frac{(E_f + E_p) + N \cdot Er}{(N + 1)}$$

355 For  $N \gg 1$ , the expression above reduces to  $Er_N \approx Er$ . In other words, for those  
356 materials that may routinely be recycled multiple times (like e.g. glass and virtually all  
357 metals), the average emergy of one unit of recycled material is demonstrated to be  
358 approximated by the sole additional emergy required for the recycling process itself.

359 Operationally, this essentially coincides with adopting a simple 'cut-off' rule like is done  
360 in LCA, but, importantly, without calling for any special '*ad hoc* rules' or exceptions to  
361 the general emergy theory. For those materials for which the recycling process entails  
362 some degree of structural degradation, thereby limiting the maximum number of cycles  
363 (N) before terminal disposal becomes inevitable, Eqn. 1 also provides a theoretically  
364 sound way to compute the average emergy of a unit of recycled material. Since,  
365 typically,  $Er \ll (E_f + E_p)$  (otherwise recycling would not make sense in the first place),  
366 we will have in these more general cases:  $Er < Er_N \ll (E_f + E_p)$ .

#### 367 4. A SIMPLE APPLICATION EXAMPLE

368 The streamlined example below is provided as a simple illustration of some of the  
369 theoretical points discussed in the previous section. For the sake of simplicity, we shall  
370 restrict ourselves to considering only the Cumulative Emergy Demand (CED) indicator

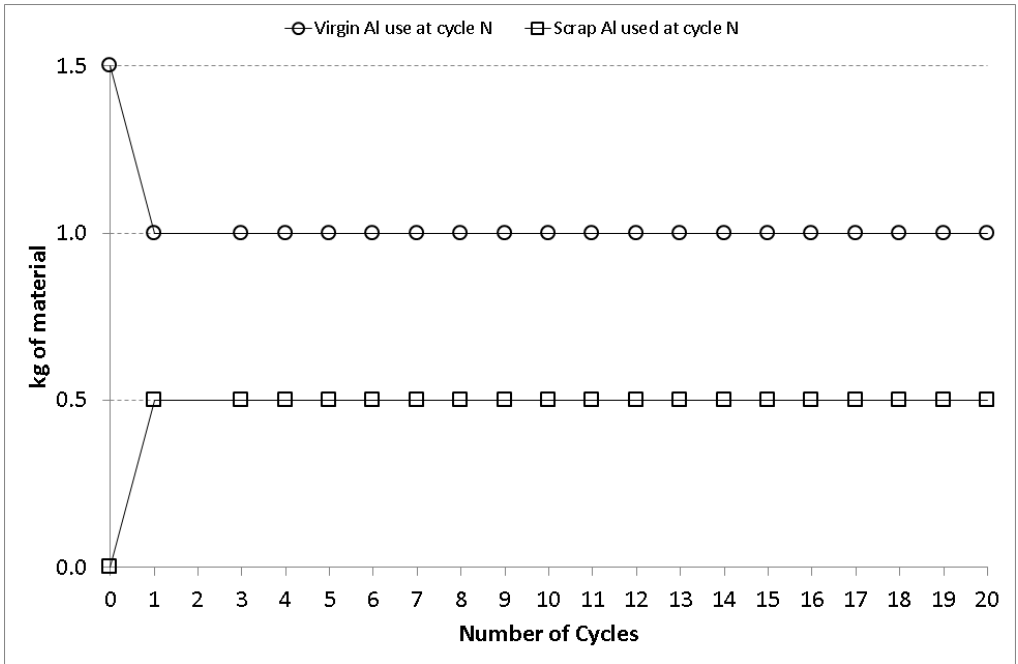
371 (MJ of primary energy per FU) in LCA, and the Unit Emery Value (UEV) (seJ per FU)  
372 in EMA. The former indicator allows a comparison of alternative systems and scenarios  
373 on the basis of their different demand for existing commercial energy sources. The  
374 latter, instead, provides an overall assessment of the energy 'cost' of the analysed  
375 systems over the full evolutionary time scale of the biosphere (i.e. including resource  
376 generation in addition to resource processing), and may be used as a different measure  
377 of sustainability.

378 It is however important to note that the overall assessment of a system's environmental  
379 performance typically calls for more indicators in both LCA (e.g. Global Warming  
380 Potential (GWP), Acidification Potential (AP), etc.) and EMA (e.g. Emery Loading Ratio  
381 (ELR), Emery Yield Ratio (EYR), etc.). In this simple, idealized example, we shall  
382 consider a factory that manufactures products made entirely of aluminium, and define  
383 our functional unit (FU) as 1 kg of product (for instance, we may refer to a 1 kg section  
384 of aluminium pipe). Virgin aluminium ingots are melted, cast, extruded and cut into the  
385 final products, which are then anodised. An amount of 0.5 kg of scraps and trimmings  
386 from the above processes per FU are reintroduced into the furnace, leading to what  
387 may be referred to as closed-loop recycling. The first time the aluminium product is  
388 produced (cycle  $N=0$ ), an input of 1.5 kg of virgin aluminium is needed. Already in the  
389 first cycle ( $N=1$ ), though, 0.5 kg of scraps from the first production run are reused, and  
390 the demand for virgin Al is down to 1 kg (Figure 3a). From then on, the average steady-  
391 state amount of virgin Al that is required will tend to be reduced as the number of cycles  
392 increases (as  $1+[1/(N+1)]*0.5$ , where  $N$  is the number of cycles), up to a point in which a  
393 stable situation is reached (e.g.  $N > 10$ ) where the average amount of virgin Al needed  
394 is  $\sim 1$  kg (Figure 3b). In order to further simplify the example, we shall then analyse a  
395 case in which such a stable situation has already been reached (Figure 4).

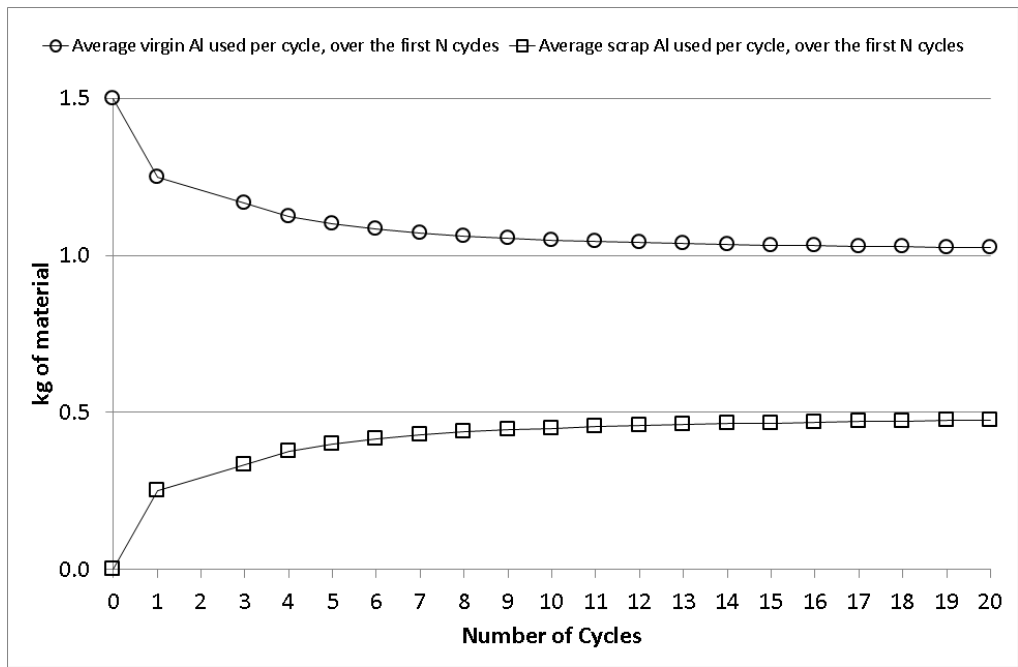
396 Taking into account that no changes in the inherent properties of aluminium occur in the  
397 recycling process, we can assume that each unit of recycled aluminium replaces one  
398 unit of virgin aluminium.

399 Table 1 illustrates the calculations that would apply to a theoretical scenario where no  
400 recycling took place, and the Al scraps and trimmings were simply discarded. Table 2,  
401 instead, refers to the actual system including recycling, for  $N \gg 1$  (Figure 4).

402



403 a)

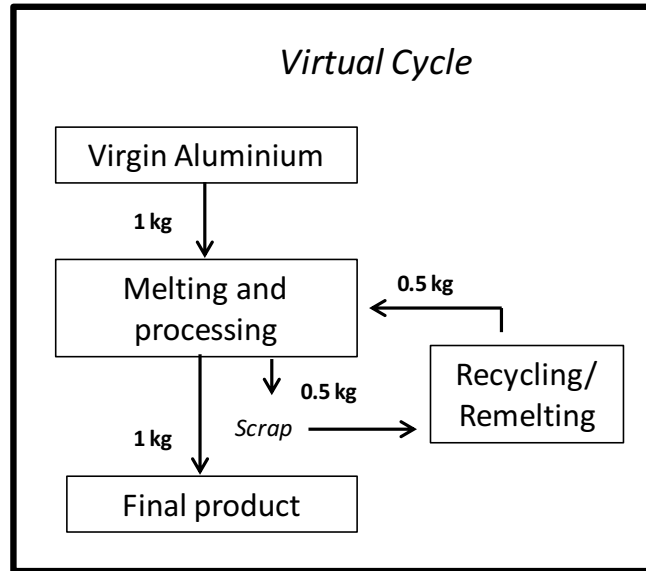


404 b)

405 **Figure 3.** Input of virgin and secondary materials in a closed-loop industrial recycling  
 406 waste process. **a)** in each cycle; **b)** average over the first N cycles.

407

408



409

410 **Figure 4.** Closed-loop recycling of industrial waste (aluminium) when a steady state  
 411 is reached ( $N \gg 1$ ).

412

413 **Table 1.** Calculations for no recycling scenario.

	Amount	CED (MJ <sub>PE</sub> /FU) <sup>(a)</sup>	EMERGY (seJ/FU)
<b>INPUTS</b>			
Virgin Al (kg/FU)	1.5	235.5	$2.43 \cdot 10^{13}$ <sup>(b)</sup>
Product manufacturing (electricity, kWh/FU)	1.2	14	$5.33 \cdot 10^{11}$ <sup>(c)</sup>
<b>Total Impact</b>		<b>249.5</b>	<b><math>2.49 \cdot 10^{13}</math></b>

414

(a) Cumulative Energy Demand from CED impact assessment procedure in GaBi 6, based on PE International Database included in the GaBi 6 LCA software package (update: 1/12/2013)

415

(b) Unit Emery Values of resource extraction, transport and processing to ingot, including biosphere work for ore concentration (Bargigli, 2003)

416

417

(c) Based on current ENTSO-E European mix; Unit Emery Values of electricity production after Brown and Ulgiati (2002)

418

419

420

421 **Table 2.** Calculations for closed-loop recycling of industrial waste ( $N \gg 1$ ).

	Amount	CED (MJ <sub>PE</sub> /FU) <sup>(a)</sup>	EMERGY (seJ/FU)
<b>INPUTS</b>			
Virgin Al (kg/FU)	1	157	$1.62 \cdot 10^{13}$ <sup>(b)</sup>
Product manufacturing (electricity, kWh/FU)	1.2	14	$5.33 \cdot 10^{11}$ <sup>(c)</sup>
Al scrap recycling process	0.5	3	$1.23 \cdot 10^{11}$ <sup>(d)</sup>

(kg/FU)			
<b>Total Impact</b>		<b>174</b>	<b>1.69·10<sup>13</sup></b>

- 422 (a) Cumulative Energy Demand from CED impact assessment procedure in GaBi 6, based on PE  
423 International Database included in the GaBi 6 LCA software package (update: 1/12/2013)  
424 (b) Unit Emergy Values of resource extraction, transport and processing to ingot, including biosphere  
425 work for ore concentration (Bargigli, 2003)  
426 (c) Based on current ENTSO-E European mix; Unit Emergy Values of electricity production after  
427 Brown and Ulgiati (2002)  
428 (d) Calculated assuming 0.27 kWh/FU electricity use (Ecoinvent, 2010); Unit Emergy Values of  
429 electricity production (European mix) after Brown and Ulgiati (2002)

## 430 5. CONCLUSIONS

431 As previously discussed a number of times elsewhere, life cycle assessment and  
432 emergy accounting are independently developed methods that have a lot in common,  
433 but which also differ in some fundamental ways, making neither expendable and instead  
434 both potentially complementary to one another in many applications.

435 When dealing with end-of-life and waste management processes and systems, we have  
436 found that a comparative methodological review of LCA and EMA, as presented here,  
437 points to a significant convergence of the two methods, which represents a valuable  
438 opportunity for their integration. Specifically, LCA's clear and non-contradictory  
439 treatment of system and inter-system boundaries (as applies to chains of processes that  
440 are linked in ways that make the output and waste products of one the direct or indirect  
441 inputs of the next) may lead to a better understanding and to a less potentially  
442 ambiguous statement of emergy algebra rules as they apply to waste and recycled  
443 products. Additionally, the availability of a large body of LCA literature specifically  
444 focused on waste products and systems provides a valuable opportunity for EMA  
445 researchers and practitioners to reflect on a number of complex and sometimes subtle  
446 issues, thereby potentially improving the methodology further and facilitating its  
447 applicability to policy.

448 However, in spite of the many steps already made towards the fruitful comparison and  
449 integration of LCA and EMA, well-framed and carried out waste management case  
450 studies are still few and far between in the existing EMA literature, and there are still a  
451 number of unresolved issues that call for further research. On one hand, there is the  
452 need for further standardization, in order to arrive at fully consistent and comparison-  
453 friendly boundary and accounting procedures in LCA and EMA. On the other hand,  
454 though, there is also a need for a better and more widespread understanding and  
455 awareness of the different inherent perspectives offered by the two methods. In fact, in  
456 our opinion there is no need for a forced integration in those cases when the intended  
457 goal of the study does not require it. Also, it makes little sense to always adopt the  
458 largest possible system boundaries in those cases when the goal and scope of the

459 analysis is intentionally restricted (e.g. when dealing with two alternative options for  
460 steel recycling).

461 Our systematic discussion of the main key methodological aspects of the analysis of  
462 waste products and systems in both LCA and EMA has helped identify a number of  
463 clear and non-contradictory practical guidelines that apply to both methods. We suggest  
464 that in the future such guidelines be vetted and, if confirmed to be sound, followed in all  
465 analyses of human-dominated systems that either focus on waste products and flows,  
466 or in which, in any case, the latter play a prominent role.

## 467 **ACKNOWLEDGEMENTS**

468 The authors Ripa and Ulgiati gratefully acknowledge the financial support received from  
469 the EU Project LIFE11 ENV/DE/343, MARSS “Material Advanced Recovery Sustainable  
470 Systems”, LIFE+ Environment Policy and Governance.

## 471 **References**

472 Agostinho F., Almeida C. M.V.B., Bonilla, S. H., Sacomano, J. B., Giannetti, B. F., 2013. Urban solid  
473 waste plant treatment in Brazil: Is there a net emergy yield on the recovered materials? Resources,  
474 Conservation and Recycling, 73:143-155

475 Amponsah N.Y., Le Corre O. and Lacarriere B., 2011. Recycling flows in emergy evaluation: A  
476 mathematical paradox? Ecological Modelling, 222(17):3071-3081

477 Arbault D., Rugani B., Marvuglia A., Benetto E., Tiruta-Barna L., 2014. Emergy evaluation using the  
478 calculation software SCALE: case study, added value and potential improvements. Science of the Total  
479 Environment, 472:608-619.

480 Bargigli, S., 2003. Analisi del ciclo di vita e valutazione di impatto ambientale della produzione ed uso di  
481 idrogeno combustibile. PhD thesis (Italian language).

482 Bjarnadóttir H. J., Fridriksoon G. B., Johnsen, T., Sletsen, H., 2002. Guidelines for the use of LCA in the  
483 waste management sector. Nordtest Report. TR 517.

484 Brown M.T., Buranakarn V., 2003. Emergy indices and ratios for sustainable material cycles and recycle  
485 options. Resources, Conservation and Recycling, 38(1):1-22

486 Brown M.T., Ulgiati S., 2002. Emergy evaluations and environmental loading of electricity production  
487 systems. Journal of Cleaner Production, 10:321–334

488 Brown M.T., Ulgiati S., 2004. Energy quality, emergy, and transformity: H.T. Odum’s contributions to  
489 quantifying and understanding systems. Ecological Modelling 178(1-2):201-213.

490 Brown M.T., Ulgiati S., 2010. Updated evaluation of exergy and emergy driving the geobiosphere: A  
491 review and refinement of the emergy baseline Original Research Article. Ecological Modelling 221:2501-  
492 2508.

493 Brown, M.T. and Herendeen, R.A., 1996. Embodied energy analysis and EMERGY analysis: a  
494 comparative view. Ecological Economics 19:219-235.



495 Brown, M.T., Cohen M., Bardi E., and Ingwersen W., 2006. Species diversity in the Florida Everglades,  
496 USA: A systems approach to calculating biodiversity. *Aquatic Sciences* 68:254-277.

497 Coleman, T., 2006. Life Cycle Assessment for Municipal Waste: Supporting Decisions. *Resources*  
498 *Recovery Forum*. Annual General Meeting, July 19, London, UK, 2006.

499 Ecoinvent, 2010. LCI database version 2.2; Swiss Centre for Life Cycle inventories, Duebendorf, CH.  
500 <http://www.ecoinvent.org/database/>.

501 Ekvall, T and Tillman, A-M. 1997. Open-Loop Recycling: Criteria for Allocation Procedures. *International*  
502 *Journal of Life Cycle Assessment* 2(3)155-162.

503 Eriksson, O., 2003. Environmental and Economic Assessment of Swedish Municipal Solid Waste  
504 Management. PhD Thesis. Industrial Ecology, Royal Institute of Technology, Stockholm, Sweden.

505 Finnveden, G. & Ekvall, T., 1998. Life Cycle Assessment as a decision-support tool – The case of  
506 recycling versus incineration of paper. *Resources, Conservation and Recycling*, vol 24, no 3-4, pp 235-  
507 256.

508 Genoni, G.P., E.I. Meyer, and A. Ulrich. 2003. Energy flow and elemental concentrations in the Steina  
509 River ecosystem (Black Forest, Germany). *Aquatic Sciences* 6 pp 143-157.

510 Gentil, E. Life-cycle modelling of waste management in Europe: tools, climate change and waste  
511 prevention. PhD Thesis. Technical University of Denmark: Kgs. Lyngby, Denmark, 2011.

512 Giannetti B. F., Bonilla S. H. and Almeida C.M.V.B., 2013. An emergy-based evaluation of a reverse  
513 logistics network for steel recycling. *Journal of Cleaner Production*, 46: 48-57.

514 Guinée J., Heijungs R., Huppes G, 2004. Economic allocation: examples and derived decision tree.  
515 *International Journal of Life Cycle Assessment* 9(1):23-33.

516 Ingwersen W.W., 2011. Emergy as a Life Cycle Impact Assessment Indicator. A Gold Mining Case Study.  
517 *Journal of Industrial Ecology* 15(4):550-567.

518 ISO, 2006a. 14040—Environmental Management. Life Cycle Assessment. Principles and Framework.  
519 International Organization for Standardization.

520 ISO, 2006b. 14044—Environmental Management. Life Cycle Assessment. Requirements and Guidelines.  
521 International Organization for Standardization.

522 JRC, 2010. ILCD Handbook: General guide for Life Cycle Assessment: detailed guidance. Joint Research  
523 Center-Institute of Environment and Sustainability, European Commission, Ispra, Italy. 414pp.  
524 Downloaded from: [http://lct.jrc.ec.europa.eu/pdf-directory/ILCD-Handbook-General-guide-for-LCA-](http://lct.jrc.ec.europa.eu/pdf-directory/ILCD-Handbook-General-guide-for-LCA-DETAIL-online-12March2010.pdf)  
525 [DETAIL-online-12March2010.pdf](http://lct.jrc.ec.europa.eu/pdf-directory/ILCD-Handbook-General-guide-for-LCA-DETAIL-online-12March2010.pdf).

526 JRC, 2011a, Supporting Environmentally Sound Decisions for Waste Management – A technical guide to  
527 Life Cycle Thinking (LCT) and Life Cycle Assessment (LCA) for waste experts and LCA practitioners.  
528 Joint Research Center-Institute of Environment and Sustainability, European Commission. Luxembourg:  
529 Publications Office of the European Union , 2011.

530 JRC. 2011b, Supporting Environmentally Sound Decisions for Bio-Waste Management – A practical  
531 guide to Life Cycle Thinking (LCT) and Life Cycle Assessment (LCA). Joint Research Center-Institute of  
532 Environment and Sustainability, European Commission, Luxembourg: Publications Office of the European  
533 Union , 2011.

534 JRC. 2011c, Supporting Environmentally Sound Decisions for Construction and Demolition (C&D) Waste  
535 Management – A practical guide to Life Cycle Thinking (LCT) and Life Cycle Assessment (LCA). Joint

536 Research Center-Institute of Environment and Sustainability, European Commission, Luxembourg:  
537 Publications Office of the European Union , 2011.

538 Koci, V. & Trecakova, T., 2011. Mixed municipal waste management in the Czech Republic from the point  
539 of view of the LCA method. *The International Journal of Life Cycle Assessment* 16: 113-124.

540 Lei K. and Wang Z., 2008. Municipal wastes and their solar transformities: An emergy synthesis for  
541 Macao. *Waste Management*, 28(12):2522-2531.

542 Liu G., Yang Z., Chen B., Zhang Y., Su M. and Zhang L., 2013. Emergy Evaluation of the Urban Solid  
543 Waste Handling in Liaoning Province, China. *Energies* 6:5486-5506.

544 Lotka A., 1922a. Contribution to the Energetics of Evolution. *Proceedings of the National Academy of*  
545 *Sciences* 8:147-150.

546 Marchettini N., Ridolfi R. and Rustici M., 2007. An environmental analysis for comparing waste  
547 management options and strategies, *Waste Management*, 27(4):562-571.

548 Marvuglia A., Benetto E., Rios G., Rugani B., 2013. SCALE: Software for CALculating Emergy based on  
549 life cycle inventories. *Ecological Modelling*, 248: 80-91.

550 Mu H., Feng X. and Chu K. H., 2011. Improved emergy indices for the evaluation of industrial systems  
551 incorporating waste management. *Ecological Engineering*, 37 (2): 335-342.

552 Odum H.T., 1996. *Environmental Accounting. Emergy and Environmental Decision Making*. John Wiley  
553 and Sons, N.Y.

554 Raugei M., Bargigli S. and Ulgiati S., 2006. "Nested emergy analyses": moving ahead from the  
555 spreadsheet platform. Presented at 4th Biennial Emergy Analysis and Research Conference, University  
556 of Florida, Gainesville, FL.

557 Raugei M., Rugani B., Benetto E., Ingwersen W.W., 2014. Integrating Emergy into LCA: potential added  
558 value and lingering obstacles. *Ecological Modelling* 271:4-9.

559 Rugani B., Benetto E., 2012. Improvements to Emergy evaluations by using Life Cycle Assessment.  
560 *Environmental Science & Technology* 46:4701-4712.

561 Song Q.B., Wang Z.S. and Li J.H., 2013. Sustainability evaluation of e-waste treatment based on emergy  
562 analysis and the LCA method: A case study of a trial project in Macau. *Ecological Indicators*, 30: 138–147

563 Thorneloe, S.A., Weitz, K.A., Jambeck, J., 2007. Application of the US decision support tool for materials  
564 and waste management. *Waste Management* 27:1006-1020.

565 Tiruta-Barna L., Benetto E., 2013. A conceptual framework and interpretation of emergy algebra.  
566 *Ecological Engineering* 53:290– 298.

567 Ulgiati S. and Brown M.T., 2002. Quantifying the environmental support for dilution and abatement of  
568 process emissions: The case of electricity production. *Journal of Cleaner Production* 10:335–348.

569 Ulgiati S., Ascione M., Bargigli S., Cherubini F., Franzese P.P., Raugei M., Viglia S., Zucaro A., 2011.  
570 Material, energy and environmental performance of technological and social systems under a Life Cycle  
571 Assessment perspective. *Ecological Modelling*, 222(1):176-189.

572 Ulgiati S., Raugei M. and Bargigli S., 2006. Overcoming the inadequacy of single-criterion approaches to  
573 Life Cycle Assessment. *Ecological Modelling*, 190(3-4):432–442.

- 574 Ulgiati, S., Bargigli, S., and Raugei, M., 2004. Dotting the I's and Crossing the T's of Emergy Synthesis:  
575 Material Flows, Information and Memory Aspects, and Performance Indicators. In: Brown, M.T. (Ed.),  
576 Proceedings from the Third Biennial Emergy Evaluation Research Conference, Gainesville, Florida.
- 577 VDI, 1997. Cumulative Energy Demand - Terms, Definitions, Methods of Calculation. In: VDI-Richtlinien  
578 4600. Verein Deutscher Ingenieure, Düsseldorf.
- 579 Yuan F., Shen L.Y. and Li M.Q., 2011. Emergy analysis of the recycling options for construction and  
580 demolition waste. Waste Management 31(12):2503–2511.
- 581 Zhang X.H., Deng S.H., Zhang Y.Z., Yang G., Li L., Qi H., Xiao H., Wu J., Wang Y.L. and Shen F, 2011.  
582 Emergy evaluation of the impact of waste exchanges on the sustainability of industrial systems.  
583 Ecological Engineering, 37:206–216.