

## Chapter VII: Monitoring of solid waste management

This Chapter provides status of monitoring efforts at State level and ULBs level for solid waste management in urban areas, besides achievement of ULBs against service level benchmarks as per prescribed standards.

### Brief snapshot of the Chapter:

- State Level Advisory Body was formed in January 2017. However, only six out of 10 prescribed meetings were held during the period 2016-22.
- District Level Review and Monitoring Committee was not constituted in any of the 34 districts in which 45 test-checked ULBs are located.
- There was lack of regular monitoring of service level benchmark indicators in test-checked ULBs, making it difficult to assess the achievement of solid waste management services in ULBs.
- No monitoring mechanism was found in the test-checked ULBs to assess the air and water quality at landfill sites.

### 7.1 Lack of monitoring at State level

Rule 23 of SWM Rules, 2016 stipulate that the State Government should constitute a State Level Advisory Body (SLAB), which is required to convene meetings at least once every six months. The purpose of these meetings is to review the implementation of SWM Rules, 2016, the state policy and strategy on solid waste management and provide advice to the state government on measures necessary for expeditious and appropriate implementation of the rules.

Audit observed that SLAB was established in the State in January 2017. However, only six<sup>1</sup> meetings were held during the period 2017-22 as only one meeting was held in each year except during 2018-19.

Furthermore, records related to SWM monitoring, such as quarterly progress reports under SBM (Urban) scheme<sup>2</sup>, availability of sanitary landfill/land for dumpsites and the status of constituting district level review and monitoring committees under SBM (Urban) scheme were not maintained at the Directorate level.

The State Government stated (June 2023) that district level committees under the chairmanship of District Magistrate had been constituted for monitoring of environmental issues including Solid Waste Management. Approximately 1,000 meetings had been conducted at district level and the data has been compiled at State level. Performance of operational facilities

<sup>1</sup> Dates of SLAB meetings: 23.01.2018, 31.07.2018, 15.3.2019, 27.12.2019, 24.11.2020 and 28.7.2021.

<sup>2</sup> As per paragraph 12.1 of SBM (Urban) guidelines, States/UTs were required to send Monthly Progress Reports (MPRs)/Quarterly Progress Reports (QPRs) in prescribed format to GOI with regard to target and achievements.

had been monitored by Regional Officials of UPPCB. Based on the reports of ULBs and the report of Regional Offices, Annual Report had been sent to CPCB incorporating the ULB wise data.

The fact remained that meetings of SLAB were not held as per prescribed periodicity.

## **7.2 District Level Review and Monitoring Committee**

Paragraph 12.4 of the SBM (Urban) Guidelines states that a District Level Review and Monitoring Committee (DLRMC) should be formed with the aim of ensuring effective monitoring of projects. This committee should be chaired by a Member of Parliament to fulfil its objective. Besides, State Government directed (May 2016) all District Magistrate to constitute the DLRMC in each district.

Audit observed that the DLRMC was not constituted in any of the 34 districts in which 45 test-checked ULBs are located.

The reply of State Government was awaited (June 2024) despite reminder.

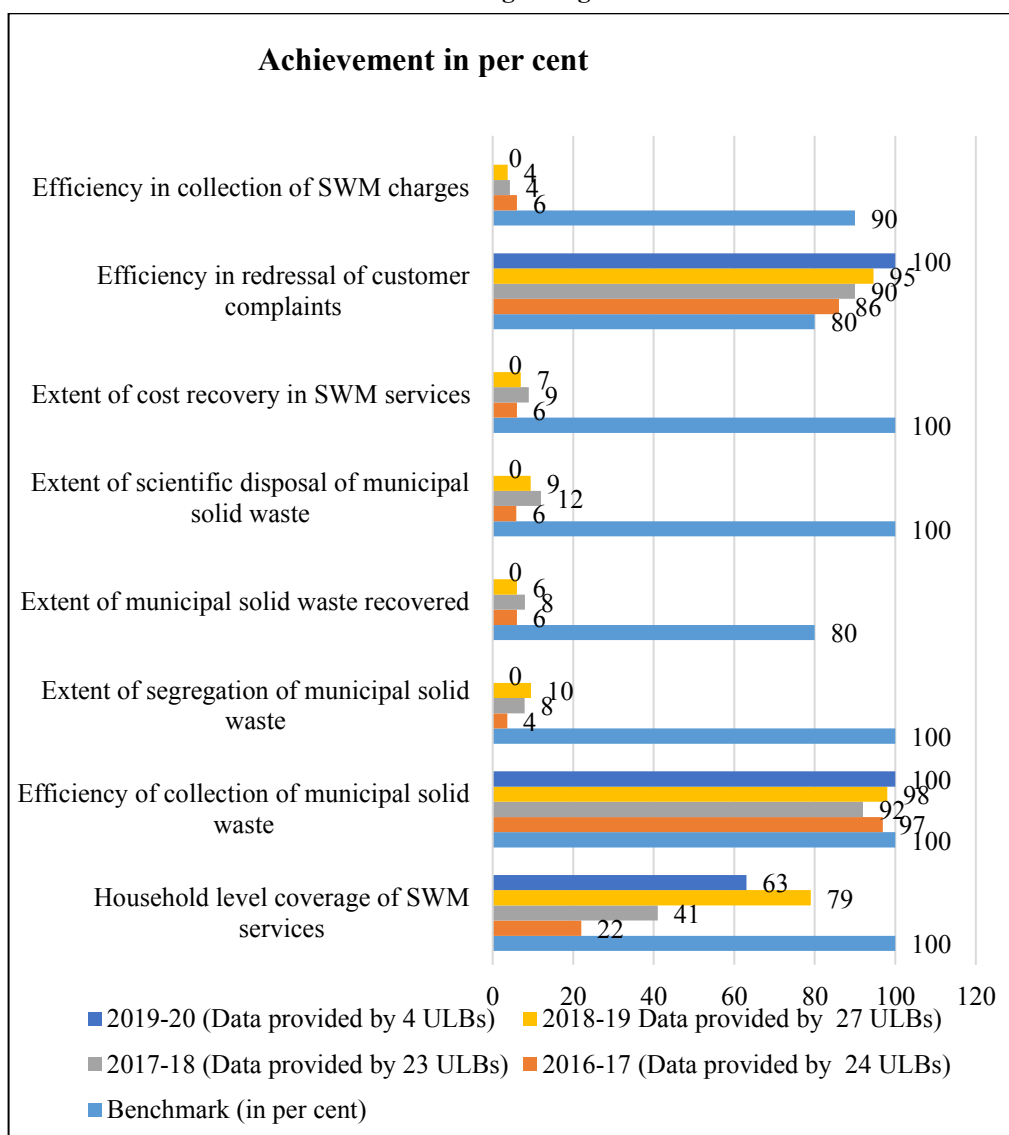
## **7.3 Achievements against Service Level Benchmarks**

Handbook of Service Level Benchmarking published by Ministry of Urban Development, Government of India provides performance parameters for basic urban services, viz., water supply, sewage, solid waste management (SWM) and stormwater drainage. The 14<sup>th</sup> and 15<sup>th</sup> Finance Commissions have also recommended grants-in-aid to ULBs for publishing and meeting the performance indicators of Service Level Benchmarks (SLBs). The achievement against SLBs indicate level of services delivered by respective ULBs.

Out of 45 test-checked ULBs, SLB reports were provided to the audit by 24 ULBs in respect of the year 2016-17, 23 ULBs in respect of the year 2017-18, 27 ULBs in respect of the year 2018-19 and four ULBs in respect of the year 2019-20. However, none of the test-checked ULBs made the SLB report for 2020-22 available. This indicates a lack of regular monitoring of SLB indicators in these ULBs, making it difficult to assess the achievement of SWM services in ULBs that did not submit the SLB reports.

The achievements against the prescribed benchmarks were assessed in Audit based on the available SLB reports, as depicted in **Chart 7.1**.

**Chart 7.1: Average of achievements of the test-checked ULBs against SLB regarding SWM**



(Source: Information provided by test-checked ULBs in their SLB reports)

It is evident from **Chart 7.1** that as per SLB reports, there were reasonable achievements in two benchmarks, viz., efficiency of collection of municipal solid waste and efficiency in redressal of customer complaints. However, the achievement against six other performance indicators was significantly below the prescribed benchmarks. The accuracy of the achievements declared by ULBs could not be verified during the audit, as the ULBs did not provide any documentary evidence to support their claims.

In reply (June 2023), the State Government provided status of preparation of SLB report in respect of 30 ULBs, according to which 17 ULBs prepared the SLB report for the period 2016-21 and in respect of remaining 13 ULBs specific reply was not furnished. However, State Government did not furnish SLB reports in support of its statement. Further, the fact remains that all test-checked ULBs were not preparing SLB reports.

#### **7.4 Pollution control norms in disposal process of MSW**

The pollution control norms for the disposal of solid waste, as specified in the SWM Rules, 2016 are provided in *Appendix 7.1*.

Audit observed that none of the test-checked ULBs were adhering to norms to prevent pollution from landfill operation. Further, two<sup>3</sup> of the test-checked ULBs had operational processing plants, but they lacked a leachate collection system<sup>4</sup>. In the remaining 43 test-checked ULBs, solid waste was being dumped in open dump sites or within municipal areas without proper processing which posed risks to human health and the environment. None of the ULBs provided documentary evidence of regular monitoring of the landfill sites to ensure control over groundwater contamination. Additionally, no monitoring mechanism was found in the test-checked ULBs to assess the air and water quality at landfill sites, highlighting the lack of monitoring.

In reply (June 2023), the State Government stated that out of 18 operational integrated solid waste management plants, 17 plants had obtained authorization. The Uttar Pradesh Pollution Control Board (UPPCB) had conducted monitoring at operational sites in Mathura, Meerut and Noida. However, the reply did not address the issues raised in the audit on not following the pollution control norms at landfill site.

#### **7.5 Compost quality specifications**

Schedule II of SWM Rules, 2016 provides specification of compost quality to ensure its safe application. Compost exceeding the specified quality are not to be used for food crops, however, it may be utilized for purposes other than growing food crops. Section 3.2.11 of MSWM Manual, 2016 provides that Compost quality should be monitored by the operator of the compost facility per batch of compost being sold to the market.

Audit observed that two<sup>5</sup> of the test-checked ULBs had operational plants where compost was produced. However, no records were provided to audit to verify the quality of compost produced in these plants nor was there any evidence of examination of the concentration of manure based on the prescribed parameters. Both ULBs stated (December 2021) that information regarding quality/composition of compost was not available.

In its reply (June 2023), the State Government did not provide reply on the issue and merely stated that reply of this para does not belong to UPPCB.

---

<sup>3</sup> NN Lucknow and NN Kanpur.

<sup>4</sup> Network of pipes or geotextiles/geonets placed at low areas of the landfill liner to collect leachate from a landfill for storage and treatment.

<sup>5</sup> NN Lucknow and NN Kanpur.

**To sum up,** Periodic monitoring meetings of State Level Advisory Board were not conducted which led to lack of monitoring for various waste management activities. District level committee for review of solid waste management activities was not constituted as envisaged under SBM (Urban) scheme. ULBs were not monitoring achievement against service level benchmarks regularly. No monitoring mechanism was found in the test- checked ULBs to assess the air and water quality at landfill sites.

**Recommendation 14:** *The State Government should ensure that the prescribed monitoring meetings are conducted and issues raised in State/District level meetings should be implemented effectively.*



(RAM HIT)

Principal Accountant General (Audit-I)  
Uttar Pradesh

PRAYAGRAJ  
THE 27 MAR 2025

COUNTERSIGNED



(K. SANJAY MURTHY)

Comptroller and Auditor General of India

NEW DELHI  
THE 02 APR 2025