

Waste Audit Case Collection Form

Name of SAI	CONTRALORÍA GENERAL DE LA REPÚBLICA DEL PERÚ (SAI of Peru)	
Title of audit	FINAL DISPOSAL PROCESS OF SOLID WASTE	
Publishing year	2015	
What risks/policy areas did the audit approach?	The audit evaluated the process of final disposal of solid waste by the Provincial Municipality of Huancayo.	
Main audit questions and corresponding criteria	Audit questions:	Criteria:
	1. How is the final disposal of solid waste in the city of Huancayo?	<ul style="list-style-type: none"> • Law N° 27314 – General Solid Waste Law of July 21, 2000; modified by Legislative Decree N° of 1065 of June 28, 2008. • Supreme Decree N° 057-2004-PCM that approves the Regulation of the General Solid Waste Law of July 24, 2004. • Law N° 28611 – General Law of the Environment of October 15, 2005.
	2. What are the levels of pollution in the water resources adjacent to the “El Eden” dumpsite?	<ul style="list-style-type: none"> • Law N° 28611 – General Law of the Environment of October 15, 2005. • Supreme Decree N° 057-2004-PCM that approves the Regulation of the General Solid Waste Law of July 24, 2004.
	3. How are the collection, transport and final disposal of hospital solid waste executed?	<ul style="list-style-type: none"> • Technical Health Regulation N° 096-MINSA/DIGESA-V.01 “Management and Handling of Solid Waste in Health and Support Medical Services Establishments”
	4. What have been the actions carried out by the municipal government in relation to the supervision and surveillance actions carried out on solid waste management?	<ul style="list-style-type: none"> • Law N° 28611 – General Law of the Environment of October 15, 2005. • Supreme Decree N° 057-2004-PCM that approves the Regulation of the General Solid Waste Law of July 24, 2004.
	5. What is the progress on the public investment project that was declared viable in 2010?	<ul style="list-style-type: none"> • Project for the Improvement and final disposal of urban solid waste in the district of Huancayo, province of Huancayo-Junín.
What were the data sources and how was data analysed?	<p>The data sources that were used were gathered mainly from the public entities linked to the management and handling of the municipal solid waste, as detailed below:</p> <ul style="list-style-type: none"> - Agency for Environmental Assessment and Control (OEFA), - General Directorate of Environmental Health (DIGESA) of the Ministry of Health, - Regional Health Directorate of Junín (DIRESA Junín), - National Water Authority (ANA), - Health establishments in the city (hospitals), - Provincial Municipality of Huancayo (municipal government). <p>The main data sources used for the audit were the following:</p> <ul style="list-style-type: none"> - Supervision reports issued by OEFA and ANA; 	

	<ul style="list-style-type: none"> - Environmental Monitoring Report issued by OEFA; - Reports issued by DIGESA about sanitary inspections; - Reports on the health surveillance carried out by DIRESA Junín; - Municipal government reports; - Municipal government solid waste records; - Garbage reports registered in the main hospitals in the area; - Records of entry and exit of garbage collection trucks into the “El Edén” dumpsite, used as a dumping ground for the final disposal of solid waste; - DIGESA’s declarations of sanitary emergency; - The hospitals’ solid waste management plans, which indicated that the final disposal of the bio contaminated waste was to deliver them to the municipal government; - Photographic images of the final disposal of solid waste in the “El Edén” dumpsite.
<p>Conclusions and main recommendations</p>	<p><i>Sole conclusion</i></p> <p>It was determined that the proper authorization for the final disposal of solid waste that was being carried out at “El Edén” dumpsite did not exist. Furthermore, the plan for the recovery of areas degraded by solid residue, the declarations of sanitary emergency and the environmental audits done by the competent authorities, all warned that the values of the parameters resulting from the monitoring of the water and soil quality exceeded the established environmental quality standards. In spite of this, solid waste continued to be dumped there, made all the worse because by the disposal of dangerous hospital waste (mainly untreated bio contaminated material). In addition, there was a public investment project approved in 2010 that was never executed. This situation may do great harm to the quality of the environment and human health.</p> <p>In consequence, the disposal of solid waste in the “El Edén” dumpsite represents a risk mainly to the quality of the water and soil, as evidenced in the supervision and monitoring reports issues by the competent agencies. In spite of the high health risk that was detected in several occasions, the disposal of solid waste continued, and the municipal government didn’t continue the environmental monitoring to determine the level of pollution generated by the “El Edén” dumpsite, which received a total of 106 051 ton of waste between 2012 and 2014.</p> <p><i>Recommendations</i></p> <ol style="list-style-type: none"> 1. That the municipal government take the steps to obtain the necessary authorizations from DIGESA for the public investment project “Solid Waste Infrastructure in the Tiranapampa sector”, ensuring the proper management of waste to prevent health risks, protect environmental quality and human health. 2. That the municipal government implements its commitments from the “Integral Recovery Plan for the Area Degraded by Solid Waste of El Edén - El Tambo – Huancayo”, obtaining the approval for the closure of the dumpsite where household and hospital (biocontaminated) solid waste is being disposed of, as it does not meet the established technical criteria. 3. That the municipal government carry out periodical monitoring of the waste collection and transportation service; in order to prevent the collection and transport of untreated

	<p>dangerous hospital waste (mainly bio contaminated) that does not meet the established technical criteria.</p> <p>4. That the Institutional Opening Budgets include the budget framework for the execution of the sanitation project that was declared viable; so that the necessary funds for the execution of said project may be obtained, as its objective is the installation of a solid waste treatment plant and building the infrastructure for a landfill.</p>					
<p>Which of the following aspects are covered in the audit and you can provide case? (select all that apply)</p>	<p>Sustainable Development Goals, International Conventions, EU Directives related to waste management</p>	<p>National legal instruments (description of instruments, weakness in legislation and regulation, incoherence of acts)</p>	<p>Economic Incentives in waste management (i.e. charges, taxes, subsidies)</p>	<p>Mapping out the actors of waste management and their responsibilities</p>	<p>Methods of collecting and analysing data</p>	<p>Cooperative audit</p>
		X				
<p>Challenges and risks</p>	<p>Challenges: Raise awareness among the population and public officials from the public entities involved in the management of solid waste.</p> <p>Risks: Damage to the health of the population and to the environment adjacent to the “El Edén” dumpsite.</p>					
<p>Link to audit report</p>	<p>https://apps1.contraloria.gob.pe/portal/BuscadorInformes/BuscadorInformes.htm</p>					
<p>Other relevant information and comments</p>	<p>It should be noted that the audit to the final disposal process of solid waste was a Compliance Audit. Because of this, by Resolution No. 001-129-2017-CG/SAN, issued by the Sanctioning Body of the General Comptroller's Office the Republic of Peru, officials from the Provincial Municipality of Huancayo that where involved in the revealed facts received the sanction of disqualification for public function.</p>					

Specifying questions and comments

Question:

Which economic incentives did you audit/were part of this audit? Was it public investment scheme?

Answer:

The audit was carried out as a compliance audit, and its goal was to determine if the Huancayo Municipality was managing the solid waste generated by the city according to the established solid waste management regulations.

Therefore, the audit focused on the municipality's mission compliance, and did not evaluate the economic incentives. The reason for this is that they do not exist for the disposal of solid waste, especially in places considered informal dumpsites.

The audit did not involve a public investment scheme, but the mission compliance of the management of solid waste. However, the evaluation took into account the existence of a public investment project that was declared viable, but was later deactivated because of a lack of any action to secure the budget.

Question:

How incentives were related with waste management and what aspect did you audit?

Answer:

The final disposal of solid waste in the city of Huancayo, does not have economic incentives. This is also a general problem at the national level, even more so considering that these garbage disposal spaces are informal.

Therefore, to solve the problem the need was established to execute a public investment project for the construction of the sanitary landfill, infrastructure that had to comply with the standards established in the regulations.

However, in the case of Huancayo, at the time of execution of the audit, the project was deactivated because, despite the feasibility of the project, it did not have the corresponding budget rating, as no action was taken to secure it for a period of 3 years.

Question:

What was the problem what waste caused to water resources? What was the reason, how serious was the pollution and what were the consequences?

Answer:

Regarding the problems that the waste caused to water resources and their reasons.

The "El Edén" dumpsite is located near the riverside of the confluence of the Shullcas and Mantaro rivers. For this reason the evaluations to the management of solid waste carried out by different institutions [such as the Agency for Oversight of Evaluation and Environmental Inspection (OEFA), the General Directorate of Environmental Health (DIGESA), the Regional Directorate of Health Junín and the National Water Authority], warned of the risk in environmental quality and human health in the areas surrounding it.

They warned of non-compliance and infractions to laws, regulations and maximum permissible limits for the pollutant load that had been thrown in these places, which were not authorized for final disposal.

Regarding the seriousness of the contamination and its consequences.

The health authorities repeatedly declared the area as a "HIGH" health risk because it also confirmed the deposit of bio contaminated hospital waste, a situation that was confirmed in the physical verification carried out by the audit team.

As a result, the confinement of solid waste in the "El Edén" dumpsite represented a risk to the water and soil quality of the abovementioned rivers. Also, despite the "high" health risk, the garbage confinement continued, without continuing with the environmental monitoring to determine the contamination, with an amount of 106 051 tons of solid waste being disposed of in the 2012-2014 period.

Question:

What would you recommend to other SAI's when they consider auditing management of hospital waste? What could be potential risks and challenges?

Answer:

Recommendations:

- Know the regulation about hospital solid waste.
- Know the stages and activities of the hospital solid waste process.
- Know the internal procedures for the management of hospital solid waste.
- Know the process of the government audit.
- Prepare a good audit planning, identifying the lines of investigation to be carried out during the execution of the audit.

The main risks:

- Lack of specialization on the subject.
- Lack of knowledge of the process for handling solid hospital waste.
- Unclear regulations on the management of hospital waste.
- Not using the personal protective equipment necessary during the physical verification.

The main challenges:

- Sensitization and awareness raising on the management of hospital solid waste.
- Normative changes and improvements.
- Improving internal controls in the management of hospital solid waste.
- Making viable recommendations for improvements in government management related to the management of hospital solid waste.