

### Structure of specification documents

Items in the 'Suggested content' column marked 'C' are likely to be common to all contracts (if separate award is required per lot/for combinations of lots). Content marked 'V' will vary for the different lots/combination of lots. In the event of a single contract being awarded for all lots, the variable content will generate multiple subsections within a given section. If a bullet point begins with 'WM', the content refers to waste management; if it begins with 'WC', the content refers to waste collection. The column 'Links to other documents' will be populated as the project progresses.

Section	Suggested content	Links to other documents
<b>General</b>		
1. Introduction	<ul style="list-style-type: none"> <li>• Sets out the general purpose of the document i.e. that the contractor must comply with the information contained in the specification and with applicable legislation (C)</li> </ul>	•
2. Definitions	<ul style="list-style-type: none"> <li>• Refer back to main contract document (may need to draft in specifications at first during procurement phase and then supply definitions to use in the contract itself) (C)</li> </ul>	•
3. Service objectives	<ul style="list-style-type: none"> <li>• References to: <ul style="list-style-type: none"> <li>○ statutory duties (V)</li> <li>○ national, local and Contract targets (V)</li> <li>○ best value and efficiency (C)</li> <li>○ WCWMS 2012 (C)</li> <li>○ H&amp;S requirements (C)</li> </ul> </li> <li>• Brief overview of contract performance targets (V)</li> </ul>	•
4. Scope of the service	<ul style="list-style-type: none"> <li>• Brief summary of what the service provider will deliver (this section would include a bullet point to cover each section heading in the 'Detailed service requirements') (V)</li> <li>• Confirm geographical scope (C)</li> <li>• State how this 'lot' interfaces with other potential contract 'lots'. Cross reference the section on innovation and efficiency. (V)</li> </ul>	•
5. Document structure	<ul style="list-style-type: none"> <li>• Sets out the format and suggests how to use the document (C)</li> <li>• References to appendices etc containing data (V)</li> </ul>	•
6. Sites used for the delivery of	<ul style="list-style-type: none"> <li>• Refer to depots/other sites (and cross reference further information e.g. licences) and any mechanisms for dealing with change in depot during</li> </ul>	•

Section	Suggested content	Links to other documents
services	<p>contract period (cross reference variation procedure in main contract document). This will include listing ownership of all sites, what space is available for various purposes (e.g. fleet parking, licensed areas for EA permits), what consents are in place, where there is shared occupation and what other facilities are available at sites (e.g. fuel pumps) (V)</p> <ul style="list-style-type: none"> <li>• State limitations of use (e.g. don't use WM facilities for waste from 3<sup>rd</sup> parties unless by agreement) and (potentially) any payment mechanism for permission to work outside of these limitations (V)</li> <li>• WC: state location of sites to which waste will be delivered and any mechanisms for dealing with change in waste management sites during contract period (cross reference variation procedure in main contract document); state that domestic services should not be compromised by any alternative arrangements, such as the introduction of a commercial waste or clinical waste service run solely by the contractor</li> <li>• WM: state location of sites to be used for delivering services and any mechanisms for dealing with change in waste management sites during contract period (cross reference variation procedure in main contract document); clear statements about the requirement for a contractor to provide sites should be made, if this is a requirement</li> <li>• WM: requirement to report on waste received from other/non-council contracts at these sites</li> <li>• State requirement to adhere to site rules (C)</li> <li>• (NB: rent should be charged at a commercial rates so that the contractor is not benefitting from preferential rates because they work with the council)</li> </ul>	
7. Wastes permitted to be dealt with under contracts	<ul style="list-style-type: none"> <li>• WC: high-level list of wastes that can be collected under contract (e.g. household residual, household dry recyclable, commercial waste from customers who fall under scope of this contract)</li> <li>• WM: high-level list of wastes that can be received at WM facilities</li> </ul>	•
8. Waste which cannot be dealt with under contracts	<ul style="list-style-type: none"> <li>• WC: list of wastes that cannot be collected under contract</li> <li>• WM: list of wastes that should not be received at WM facilities</li> <li>• WC: state that the disposal of any non-contract wastes will be at the contractor's expense and not the council's</li> <li>• Scope for innovation: non-contract wastes may become contract wastes where either party is able to demonstrate that there is a legal and</li> </ul>	•

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	<p>sustainable means of treatment; the variation procedure would be enacted to bring such change into effect (C). An example might be a commercial waste service operated by the contractor outside of the contract. We should explore mechanisms that could allow use of our depots provided that a) domestic services are not affected b) appropriate adjustments to rent are made and c) we explore sharing the benefits of the venture because we are providing infrastructure (being careful to not necessarily incorporate the agreement directly within the scope of these contracts)</p>	
9. Waste quantity and composition	<ul style="list-style-type: none"> <li>• WC: statement about past tonnages albeit with disclaimer to show that the council gives no guarantee of the tonnage or its composition</li> <li>• WM: expected throughput per material stream or per site, with caveats where necessary</li> <li>• For all contracts, we should give as much historic data as we have available to allow bidders to make their assessments and price accordingly, but caveats should be made to ensure that no guarantees of tonnage etc are given (V but many elements will be C)</li> <li>• Similarly, we should identify areas where there are exceptions to harmonised policies (e.g. 240s for residual in west – these will be phased out, but we need to acknowledge how far this phasing out has progressed/is forecasted to have progressed by 2016 and how it may affect tonnages)</li> </ul>	•
10. Performance monitoring and management	<ul style="list-style-type: none"> <li>• Statements referencing sections later in the document that provide the detailed requirements such as <ul style="list-style-type: none"> <li>○ Service delivery plans (C)</li> <li>○ Performance framework (C)</li> </ul> </li> </ul>	•
<b>Detailed service requirements</b>		
<b>Operations (could include comms, customer care etc, or could be a separate section)</b>		
11. Service requirements	<ul style="list-style-type: none"> <li>• Statements covering the basic requirements of the service (e.g. “Provide and operate a system for the collection of household residual waste, household plastic bottles and cardboard, household ‘black box’ recycling and household compostable waste where each container is collected fortnightly”) (V)</li> <li>• References to council policies, including HR, and the Behaviours Framework will be required somewhere, so this may be the point to</li> </ul>	•

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	reference them, setting them as minimum standards	
12. Service standards	<ul style="list-style-type: none"> <li>• Broken up into sections to cover all of the requirements i.e. for WC a section for household residual waste, household PB&amp;C and so on, bin deliveries, bulky waste etc and for a WM lot it might have sections for transfer stations, HRCs, MRFs etc. (V)</li> <li>• Information from successful bidder's submission would be inserted into the specification at relevant points (i.e. sections 11 - 28 as appropriate) (V)</li> </ul>	•
13. Performance criteria	<ul style="list-style-type: none"> <li>• A list of criteria against which the contractor will be assessed (which will be carried forward into the table in 30) (V)</li> </ul>	•
<b>Mobilisation, Business Continuity and Expiry arrangements</b>		
14. Service requirements	<ul style="list-style-type: none"> <li>• Similar to 11, stating what we require such as mobilisation plan, contingency plans (to cover severe weather, industrial action and unavailability of a key facility) and an expiry plan (C)</li> <li>• Signpost any existing council plans (e.g. Business Continuity) and how delivery agent is expected to use them (C)</li> <li>• State TUPE and pension management arrangements as part of mobilisation process, including resources used to deliver this task (i.e. will there be dedicated Legal and HR support from the successful bidder?), using information from the tender submission (V)</li> <li>• WM: design and construction requirements if sites have to be constructed as part of the mobilisation period or at any other stage for the purpose of business continuity</li> </ul>	•
15. Service standards	<ul style="list-style-type: none"> <li>• Detailed minimum requirements for the plans listed in 14 (V)</li> </ul>	•
16. Performance criteria	<ul style="list-style-type: none"> <li>• Same principle as 13 (V)</li> </ul>	•
<b>Service management</b>		
17. Service requirements	<ul style="list-style-type: none"> <li>• State: <ul style="list-style-type: none"> <li>○ the documents that we want the contractor to maintain regarding service delivery</li> <li>○ the accreditation we expect the contractor to have attained</li> <li>○ the consents (planning permission, EA permits etc)</li> <li>○ the monitoring and reporting system requirements that the contractor should implement and the data format and software packages that are</li> </ul> </li> </ul>	•

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	<p>required for any reporting output (V but some elements will be C); this will depend on soft market testing responses and other project work to determine the model (contractor's system to interface with council systems, contractor uses our systems or council accesses contractor's system)</p> <ul style="list-style-type: none"> <li>• Reference the requirement to provide the council with all information, access and assistance required to monitor the service (C)</li> </ul>	
18. Service standards	<ul style="list-style-type: none"> <li>• Detailed minimum requirement of all of the documents referred to in 17 (V)</li> <li>• Statements about the following: (V but some elements will be C) <ul style="list-style-type: none"> <li>○ Skills required of staff employed by the contractor</li> <li>○ Communications with the council including meetings</li> <li>○ Monitoring and reporting</li> <li>○ Best value method statement</li> <li>○ Quality assurance</li> <li>○ Environmental management and sustainability (link to council's carbon performance policy with standards taken directly from the plan; consideration of how management of the cost of offsetting is dealt with in pricing)</li> <li>○ Proposed management structure including minimum skills of management, training required and accreditation/qualifications that managers should possess (e.g. COTC, O Licence, IOSH)</li> <li>○ State which party must hold various EA permits and licences to ensure that there are no unlicensed activities taking place under the contract terms</li> </ul> </li> <li>• Auditing requirements</li> <li>• Expected standards of data management</li> </ul>	•
19. Performance criteria	<ul style="list-style-type: none"> <li>• Same principle as 13 (V)</li> </ul>	•
<b>Health and safety</b>		
20. Service requirements	<ul style="list-style-type: none"> <li>• General statements about compliance with H&amp;S requirements in law and in council policy (C)</li> <li>• List documents such as H&amp;S method statements and reports that are required (C)</li> </ul>	•
21. Service	<ul style="list-style-type: none"> <li>• Must cover standards at sites and during remote working, based on HSE</li> </ul>	•

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standards	guidance (V) <ul style="list-style-type: none"> <li>• Set out legal requirements for reporting (RIDDOR etc) (C)</li> <li>• Minimum requirements must be taken from current RAs (including route RAs), SSoW and our training plans, but bidders may be able to exceed this (including with electronic reporting in-cab) (V with some elements C)</li> <li>• Frequency of inspections undertaken by contractor (V)</li> <li>• Documents to be displayed at sites (C)</li> </ul>	
22. Performance criteria	<ul style="list-style-type: none"> <li>• Same principle as 13 (V)</li> </ul>	•
<b>Community engagement and local employment</b>		
23. Service requirements	<ul style="list-style-type: none"> <li>• Reference to any council policy that frames this section (C)</li> <li>• State requirement to work with (or actively attempt to engage with?) VCS, particularly local players (V)</li> <li>• Outline other community engagement that should be considered (may be difficult for waste collection) (V)</li> </ul>	•
24. Service standards	<ul style="list-style-type: none"> <li>• State broad areas of work that would be considered suitable for VCS work (e.g. bulky waste reuse) (V)</li> <li>• State requirement to report information by community area and ask bidder to demonstrate how they would achieve this point (C)</li> <li>• Explore mechanism for reward and recognition of (e.g.) good recycling performance: what incentives will a contractor offer to communities? (V)</li> <li>• Understand how any self-delivery by communities would interface with the contract price and contractor's responsibilities (e.g. if a community area collected aluminium separately, how would the contract deal with this?)</li> <li>• State that responsibility for service delivery remains with the contractor (C)</li> <li>• State expectations in relation to 'other community engagement' (V)</li> </ul>	•
25. Performance criteria	<ul style="list-style-type: none"> <li>• Same principle as 13 (V)</li> </ul>	•
<b>Innovation and efficiency</b>		
26. Service requirements	<ul style="list-style-type: none"> <li>• (We need to understand how we can incentivise innovation and efficiency. What drives innovation for the private sector? What do both parties understand these terms to mean? Soft market testing responses will help to inform these ideas.) (C)</li> <li>• Statement about innovation and efficiency and its different meanings:</li> </ul>	•

Section	Suggested content	Links to other documents
	<ul style="list-style-type: none"> <li>○ In-year efficiencies that generate financial savings to the council that do not reduce services (where possible)</li> <li>○ Mechanism for reducing service levels</li> <li>○ Approach to innovation to bring about other changes (e.g. efficiency forum) (C)</li> </ul>	
27. Service standards	<ul style="list-style-type: none"> <li>● Any expected targets for in-year savings (V)</li> <li>● Sets out requirements of the (e.g.) efficiency forum, including who is expected to carry out administration tasks (C)</li> <li>● Identifies the requirement to work with other service providers (if multiple contracts awarded etc) (C)</li> </ul>	●
28. Performance criteria	<ul style="list-style-type: none"> <li>● Same principle as 13 (V)</li> </ul>	●
<b>Performance framework</b>		
29. Introduction	<ul style="list-style-type: none"> <li>● Sets out the types of performance measures applied (levels of performance points and liquidated damages) (C)</li> </ul>	●
30. Performance standards table	<ul style="list-style-type: none"> <li>● Table summarising the standards from sections 13, 16, 19 and 22 including the level of performance points and liquidated damages per standard (where applicable) with the frequency of monitoring and reporting required (V)</li> <li>● Carry forward principles of the data project run by AC and any stipulations in the Whitespace project as a minimum (V)</li> </ul>	●
31. Remedial procedures	<ul style="list-style-type: none"> <li>● Could link to statements in previous sections if we embed remedial actions in the sections above</li> <li>● Should set down clear information about the contractor's opportunity to rectify, which will avoid performance points and liquidated damages being applied (gives customer the desired outcome and avoids client spending excessive time recording and reporting on incidents) (C)</li> <li>● Thresholds for Warning Notice and Termination Notice (V)</li> </ul>	●
<b>Appendices</b>		
32.	<ul style="list-style-type: none"> <li>● Any data that supports the ITT process (V)</li> </ul>	●