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**Solicitor/Cyfreithiwr**  
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Pennaeth Gwasanaethau Cyfreithiol a  
Democratiaid

I: Cyngorwyr: Nancy Matthews, Graham Rees, Neville Phillips  
Michael Priestly, Eryl Williams, Julian Thompson-Hill,  
Arwell Pierce, W. G. Roberts, R. G. Parry and Thomas H. Jones

CS/NG

14 Mehefin 2010

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Annwyl Syr / Fadam

Cynhelir **CYFARFOD CYD-BWYLLGOR GWASTRAFF GWEDDILLIOL GOGLEDD  
CYMRU yn SIAMBR Y CYNGOR, BODLONDEB, CONWY ar DYDD GWENER, 18  
MEHEFIN 2010 am 10.30am** i drafod y materion canlynol.

Yr eiddoch yn gywir

Rheolwr Democratiaeth a Rheolaeth

## **AGENDA**

1. **YMDDIHEURIADAU**
2. **CYMERADWYO COFNODION BLAENOROL**
3. **MATERION YN CODI O'R CYFARFOD BLAENOROL**
4. **COFRESTR RISG – DIWEDDARIAD STATWS RISG – (ADRODDIAD SP)**

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The Council welcomes correspondence in Welsh or English  
Mae'r Cyngor yn croesawau gohebiaeth yn y Cymraeg neu'r Saesneg

5. **ADRODDIAD CYNNYDD (ADRODDIAD SO)**
6. **CANLYNIAD ADOLYDIAD "GATEWAY" (ADRODDIAD SP)**
7. **CANLYNIAD O YSTYRIAETH LICC O'R ABA (ADRODDIAD SP I'W ROI  
GER BRON Y CYD BWYLLGOR AR Y DIWRNOD – CANLYNIAD GAN  
LICC I'W DDISGWYL 15 MEHEFIN 2010 )**
8. **UNRHYW FATER ARALL**



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Prosiect Trin Gwastraff Gweddilliol Gogledd Cymru

## **CYD BWYLLGOR GWASTRAFF GWEDDILLIOL GOGLEDD CYMRU**

Cofnodion cyfarfod y Cyd Bwyllgor a gynhaliwyd yn Siambr y Cyngor, Russell House, Rhyl ar ddydd Gwener 12fed Mawrth 2010 am 9.30am

### **PRESENT:**

Cynghorydd M. Priestley – Cyngor Bwrdeistref Sirol Conwy  
Cynghorydd R. Hughes – Cyngor Bwrdeistref Sirol Conwy  
Cynghorydd Eryl Williams - Cyngor Sir Ddinbych  
Cynghorydd J. Thompson-Hill – Cyngor Sir Ddinbych  
Cynghorydd N. Phillips – Cyngor Sir y Fflint  
Cynghorydd N. Matthews - Cyngor Sir y Fflint  
Cynghorydd A. Pierce – Cyngor Gwynedd  
Cynghorydd T.H. Jones – Cyngor Sir Ynys Môn

### **HEFYD YN BRESENNOL**

#### **Cyngor Sir Ddinbych**

Mr Iwan Prys-Jones (Cyfarwyddwr Corfforaethol: Amgylchedd), Mr Steve Price (Swyddog Cefnogi Craffu), Miss Emily Corfield (Gweinyddwraig Pwyllgor)

#### **Cyngor Sir y Fflint**

Mr Colin Everett (Prif Weithredwr), Mr Carl Longland (Cyfarwyddwr Amgylchedd), Mrs Kerry Feather (Pennaeth Cyllid), Ms Louise Peareson (Cyfreithwraig)

#### **Cyngor Gwynedd**

Mr P. Evans (Uwch Reolwr Prosiectau)

#### **Cyngor Sir Ynys Môn**

Meirion Edwards (Swyddog Gwastraff)

### **Partneriaeth Triniaeth Gwastraff Gweddilliol Gogledd Cymru**

Mr Steffan Owen (Rheolwr Prosiect)

## **1. YMDDIHEURIADAU:**

Cynghorydd R.G. Parry (Cyngor Sir Ynys Môn), Cynghorydd G. Roberts (Cyngor Gwynedd) Mr Stephen Penny (NWRWTP), Mr Andrew Kirkham (Cyngor Bwrdeistref Sirol Conwy ),

## **2. ETHOL CADEIRYDD AC IS GADEIRYDD CYD BWYLLGOR**

Etholodd y Pwyllgor y Cynghorydd Eryl Williams (Cyngor Sir Ddinbych) fel Cadeirydd y Cyd Bwyllgor, yn dilyn enwebiad gan y Cynghorydd M. Priestley. Diolchodd y Cynghorydd Williams i Aelodau am eu hyder ynddo yn ei rôl fel Cadeirydd.

Etholodd Aelodau'r Cynghorydd Nancy Mathews (Cyngor Sir y Fflint) fel Is Gadeirydd.



### 3. CYMERADWYO'R COFNODION BLAENOROL

Cyflwynwyd cofnodion y cyfarfod a gynhaliwyd ar 9fed Rhagfyr 2009 (wedi eu cylchu eisoes).

**PENDERFYNWYD** bod y cofnodion yn cael eu derbyn a'u cymeradwyo fel cofnod cywir.

### 4. MATERION YN CODI O'R CYFARFOD BLAENOROL

Nid oedd unrhyw faterion yn codi.

### 5. RIR – DIWEDDARIAD STATWS RISG

Cyflwynwyd adroddiad (eisoes wedi ei gylchu) gan y Rheolwr Prosiect NWRWTP – Mr Steffan Owen. Yn ogystal â rhoi diweddariad rheolaidd i aelodau fel y gofynnwyd, roedd yr adroddiad hefyd yn amlygu rhai o'r diwygiadau i'r gofrestr risg a wnaethpwyd i adlewyrchu'r ddealltwriaeth gyfredol o risgiau a mesurau lliniaru a oedd yn eu lle. Nododd Steffan Owen y bu ymateb a deilliannau positif iawn i'r gweithdai risg diweddar.

Yng nghyswllt mater y gofrestr risg ei hun, roedd y Cynghorydd T Jones yn teimlo oherwydd maint y gofrestr – ar hyn o bryd yn 50-60 o risgiau i gyd, y dylai'r Cyd Bwyllgor ganolbwyntio ar y risgiau 'coch' lefel uwch. Cytunodd Colin Everett y dylai sylw Aelodau ar lefel Pwyllgor gael ei ganolbwyntio ar y risgiau uchaf; fodd bynnag, teimlai y byddai'r Pwyllgor yn dal i fod angen mynediad at y rhestr lawn. Cytunwyd y byddai adroddiadau statws risg i'r dyfodol yn crynhoi materion amserol i'r Cyd Bwyllgor; yn enwedig risgiau uchel a chanolig, a chynnwys arwydd o'r lefel o hyder sydd ynghlwm â mesurau lliniaru.

Tra bo'r adroddiad yn cael ei ystyried, trafododd Aelodau'r ymdriniaeth o Gysylltiadau Cyhoeddus a chytunwyd i drafod strategaeth a sut i'w ariannu mewn cyfarfod yn y dyfodol.

#### **PENDERFYNWYD :-**

- (a) bod y Cyd Bwyllgor yn nodi'r gofrestr risg wedi ei diweddarau ar gyfer y prosiect;
- (b) bod adroddiadau statws risg i'r dyfodol yn crynhoi materion amserol yn enwedig risgiau uchel a chanolig, a chynnwys arwydd o'r lefel o hyder sydd ynghlwm â mesurau lliniaru; ac y byddai
- (c) adolygiad o strategaeth Cysylltiadau Cyhoeddus a sut i'w ariannu yn cael ei drafod mewn cyfarfod o'r Cyd Bwyllgor yn y dyfodol.

### 6. ADRODDIAD CYNNYDD – PROSIECT TRINIAETH GWASTRAFF

Cyflwynwyd adroddiad (eisoes wedi ei gylchu) gan Steffan Owen, a oedd yn rhoi trosolwg i Aelodau ar ddatblygiadau'r Prosiect Triniaeth Gwastraff yn ystod y cyfnod 21ain Tachwedd – 2il Mawrth 2010.

Rhoddodd Steffan Owen ddiweddariad byr ar y datblygiadau allweddol yn y prosiect ac yn ystod ystyriaeth o'r adroddiad, codwyd y pwyntiau allweddol canlynol:



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- Adroddodd Colin Everett fod Cyngor Sir y Fflint ar 9fed Mawrth wedi cymeradwyo'n llawn yr Achos Busnes Amlinellol.
- Adroddodd y Cynghorydd M. Priestley bod Cyngor Bwrdeistref Sirol Conwy wedi gofyn i'r Cyd Bwyllgor weithio i sicrhau ymrwymiad y 5 awdurdod lleol cyn etholiadau llywodraeth leol 2012.
- Cytunodd y Cyd Bwyllgor y dylai'r pum Awdurdod fod yn rhan o 'Adolygiad Gateway' LICC sydd wedi ei amserlennu ar gyfer Ebrill 2010 ac mae rhestr o aelodau ac uwch swyddogion sydd i gymryd rhan yn yr adolygiad i'w anfon at LICC.
- Roedd swyddogion wedi cyfarfod â Chyngor Sir Powys i drafod synergedd posib ynglŷn â gwasanaethau gwastraff. Cadarnhaodd y cyfarfod bod cysylltiadau rheilffordd yn hanfodol er mwyn cynnwys Powys gan fod logistedd defnyddio'r rhwydwaith ffyrdd i gludo gwastraff yn anymarferol. Felly byddai angen astudiaeth rheilffordd er mwyn symud materion ymlaen.
- Gobeithir cynnal gweithdai gydag aelodau o'r pum Awdurdod cyn diwedd Mai 2010 er mwyn sicrhau bod eu barn a blaenoriaethau yn hysbys. Pwysleisiodd y Cadeirydd bwysigrwydd rhoi digon o rybudd ynglŷn â'r gweithdai, a dywedodd Colin Everett bod raid i'r wybodaeth a roddir yn y gweithdai gyd-fynd â strategaeth y Prosiect.

***PENDERFYNWYD*** bod y *Cyd Bwyllgor yn nodi'r adroddiad cynnydd, ac yr ymdrinnir â'r materion sy'n codi mewn modd priodol.*

## **7. DIWEDDARIAD ABA & IAA**

Cyflwynwyd adroddiad (eisoes wedi ei gylchu) gan Steffan Owen, a oedd yn rhoi manylion i Aelodau o'r Achos Busnes Amlinellol arfaethedig a'r Cytundeb Rhyng Awdurdod (IAA) i'w ystyried ganddynt. Cynghorodd bod yr adborth o'r broses gymeradwyo wedi codi ymchwilio i ddefnydd o'r rheilffyrdd, a gwneud y Cytundeb Rhyng Awdurdod yn fwy clir yng nghyswllt y ffi giât gyffredinol.

Byddai angen i'r Achos Busnes Amlinellol a Chytundeb Rhyng Awdurdod gael eu gwirio gan swyddogion cyfreithiol cyn eu cyflwyno i LICC.

Cytunodd Aelodau y dylid adrodd ar gynnydd i gyfarfodydd y Cyd Bwyllgor i'r dyfodol.

***PENDERFYNWYD*** bod y *Cyd Bwyllgor yn cymeradwyo cyflwyno'r Achos Busnes Amlinellol a'r Cytundeb Rhyng Awdurdod (yn destun i waith gorffen arnynt gan swyddogion cyfreithiol) i Lywodraeth Cynulliad Cymru.*

## **8. DYDDIADAU CYFARFODYDD I'R DYFODOL**



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Cytunodd Aelodau i'r amserlen gyfarfodydd arfaethedig ar gyfer 2010. Byddai'r Pwyllgor hefyd yn cadarnhau argaeledd gyda Steffan Owen ynglŷn â chyfarfod ychwanegol i'w gynnal ar 29ain Hydref, y cytunwyd y byddai'n cael ei gynnal gan Gyngor Gwynedd.

## 9. UNRHYW FATER ARALL

- o Gofynnodd y Cadeirydd i Steffan Owen roi dymuniadau gorau'r Pwyllgor i Stephen Penny yn ystod ei gyfnod personol anodd.
- o Gofynnodd Colin Everett am gymeradwyaeth y Cyd Bwyllgor i adnewyddu contract Stephen Penny, a oedd yn dod i ben ym Mai 2010, ar y telerau ac amodau presennol, a cytunodd yr Aelodau i hynny.



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## **EITEM AGENDA RHIF 4**

**ADRODDIAD I'R :**                   **CYD BWYLLGOR NWRWTP**

**DYDDIAD :**                       **18 Mehefin 2010**

**ADRODDIAD GAN :**               **CYFARWYDDWR PROSIECT**

**PWNC:**                               **ADRODDIAD COFRESTR RISG**

### **1. PWRPAS YR ADRODDIAD**

- 1.1. Gofynnodd aelodau Cyd Bwyllgor NWRWTP am ddiweddariad o'r Gofrestr Risg ym mhob cyfarfod o'r Cyd Bwyllgor.
- 1.2. Bydd yr adroddiad hwn yn amlygu rhai o'r diwygiadau i'r Gofrestr Risg sydd wedi eu gwneud er mwyn adlewyrchu'r ddealltwriaeth gyfredol o risgiau a mesurau lliniaru sydd yn eu lle.

### **2. CEFNDIR**

- 2.1. Bydd y Gofrestr Risg fel y cafodd ei hystyried gan y cyfarfod hwn o'r Cyd Bwyllgor ar 12 Mawrth 2010 angen diweddariad parhaus drwy gydol rhychwant oes y prosiect.

### **3. YSTYRIAETHAU**

- 3.1. Nid oes unrhyw risgiau/materion newydd wedi eu dynodi yn y cyfnod adrodd hwn, a dim newid i'r 5 Risg Uchaf.
- 3.2. Yr unig newidiadau a geir i'r Gofrestr Risg yw'r rheiny yng nghyswllt risg PS5, o ganlyniad i risg uwch o fethu â sicrhau lleoliad ar gyfer un o'r gorsafoedd trosglwyddo gwastraff arfaethedig (gweler atodiad 1).
- 3.3. Gweler y 5 Risg Uchaf (ar ôl rhoi rheolaethau yn eu lle) yn atodiad 2.
- 3.4. Diweddarwyd y Gofrestr Risg fel y gweler yn atodiad 3 sydd ynghlwm.
- 3.5. Bydd y Gofrestr Risg yn parhau i gael ei hadolygu gan y Cyfarwyddwr Prosiect, ac adroddir arni i'r Bwrdd Prosiect mewn cyfarfodydd i'r dyfodol.

### **4. ARGYMHELLION**

- 4.1. Bod y Bwrdd Prosiect yn nodi'r Gofrestr Risg sydd wedi'i diweddarau ar gyfer y prosiect.



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**5.00 GOBLYGIADAU ARIANNOL**

5.01 Amherthnasol

**6.00 EFFAITH GWRTH DLODI**

6.01 Dim

**7.00 EFFAITH AMGYLCHEDDOL**

7.01 Amherthnasol

**8.00 EFFAITH CYFARTALEDD**

8.01 Amherthnasol

**9.00 GOBLYGIADAU PERSONEL**

9.01 Amherthnasol

**10.00 YMGYNGHORIAD SYDD EI ANGEN**

10.01 Amherthnasol

**11.00 YMGYNGHORIAD A WNAETHPWYD**

11.01 Amherthnasol

**DEDDF LLYWODRAETH LEOL  
MYNEDIAD AT WYBODAETH 1985**

**Dogfennau cefndir:**

Dim

**Swyddog Cyswllt : Stephen Penny NWRWTP**





## Atodiad 1 – Prif newidiadau / ychwanegiadau i'r Cofrestr Rig y cyfnod yma

DYNODI'R RISG neu FATER						RHEOLI'R RISG neu FATER								Nodiadau esboniad i ychwanegol	
ID	Risg /Mater (h.y. Bygythiad i'r prosiect)	Canlyniad	Aseidiad Presennol			Sut y rheolir y risg			Risg gweddilliol ar ôl rheolaeth			Dyddiad gweithredu	Dyddiad Adolygu		Dyddiad cau
			Effaith	Tolrwydd	Cyffredinol	Eisoes yn ei le	Pwy sy'n Rheoli	Nid yn ei le (Arfaethedig)	Pwy fydd yn rheoli	Effaith	Tolrwydd				
<b>Cynllunio a chaniatâd - gallu i sicrhau deilliant cynllunio a chaniatâd llwyddiannus i'r datrysiad</b>															
PS5	Nid yw safleoedd addas ym mherchnogaeth y cyngor i gefnogi datblygu'r datrysiad	Oedl'r prosiect tra bo safleoedd addas yn cael eu sicrhau	5	3	15	Tm Prosiect yn dynodi safleoedd a allai fod yn addas ar gyfer lleoli'r gorsafedd trosglwyddo gwastraff a'r cyfleuster(au) trin gwastraff gweddilliol	PD	Cychwyn trafodaethau (pellach) gyda pherchnogion tir y safleoedd ychwanegol a ddynodwyd fel rhai sydd o bosib yn addas ar gyfer lleoli cyfleusterau gyda'r amcan o sicrhau opsiynau/ penawdau'r telerau i'r safleoedd.	PD	5	2	10	Cyfredol	Tach-09	



## Atodiad 2 Risgiau uchel (coch) y cyfnod yma

ID	Risg /Mater (h.y. Bygythiad i'r prosiect)	Canlyniad	Asesiad Presennol			Sut y rheolir y risg				Risg gweddilliol ar ôl rheolaeth			Dyddiad gweithredu	Dyddiad Adolygu	Dyddiad cau	Nodiadau esboniad o'i ychwanegu
			Effaith	T'olrwydd	Cyffredinol	Eisoes yn ei le	Pwy sy'n Rheoli	Nid yn ei le (Arfaethedig)	Pwy fydd yn rheoli	Effaith	T'olrwydd	Cyffredinol				
PO4	Newid mewn deddfwriaeth neu ganllawiau ar lefel Ewropeaidd, Cenedlaethol, neu Ranbarthol/Leol	Efallai bydd angen ailymweld â'r datrysiad a ffeirir, terfynu posib o'r prosiect, costau cydymffurfio gormodol LAS	3	5	15			Cadw mewn cyswllt agos â LICC i sicrhau bod y newidiadau polisi a all effeithio ar y prosiect yn cael eu dynodi'n gynnar.	PD	3	4	12	Cyfredol	Tach-09		



CO4	Pwysau gan grwpiau lobi/cyhoedd yn erbyn y datrysiad a ffefrir a lleoliad.	Rhaid dod o hyd i ddatrysiad/safle amgen, costau datblygu prosiect cynyddol, oedi i'r rhaglen cyflenwi prosiect arfaethedig, costau LAS gormodol, effaith ar enw da Cyngorau Partner	4	5	20	Strategath Cyfathrebu ac ymgynghori wedi'i ddrafftio a wedi'i gytuno ar ddrafft gan y Grwp Swyddogion Cyfathrebu. I fod yn ddogfen "byw" a'i ddiweddarau fel bo angen.	PM	Fe fydd gwaith ar safle arall yn parhau yn ystod camau cynar y broses caffael	PD	4	3	12	Cyfredol	Tach-09		
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P13	Nid yw'r datrysiadau technegol a gynigwyd yn bosib i'w comisiynu oddi mewn i amserlenni tor-dyletswydd LAS	ALLau yn wynebu dirwyon tor-dyletswydd am dirlenwi ychwanegol uwchlaw y lwfans	4	4	16	Modelu'r ABA wedi dangos bod pob awdurdod partner yn medru cyrraedd eu lwfans LAS os maen't yn cynyddu ei ailgylchu a chompostio "pen blaen" a mae'r prosiect yn cael ei weithredu i'r amserlen. Fe fydd unrhyw danberfformiad yn yr ailgylchu a chompostio "pen blaen" tu allan i sgop y prosiect hwn a fydd unrhyw gyfrifoldeb LAS yn nwylo yr awdurdodau partner unigol. Gweler hefyd Risk W1.	Awdurdodau Partner	Proses Caffael i sicrhau ei fod yn gweithredu'n amserol gyda'r risg o weithredu'r gwasanaeth trin gwastraff gweddilliol yn hwyr yn cael ei leihau.	PD	4	3	12	Cyfredol	Tach-09	
PS11	Gwrthwynebiad cyhoeddus i ddatrysiad technegol/cais cynllunio yn cynnwys her gyfreithiol	Oedi i'r rhaglen cyflenwi prosiect, cosbau LAS gormodol, bygwth yr amlen fforddiadwyedd.	4	5	20			Cynllun rhanddeiliad a chyfathrebu gweithredol.	PM	4	4	16	Cyfredol	Tach-09	Risgiau'n berthnasol i bob safle yn cynnwys y rhai a gynigwyd gan y Contractwr, nid safleoedd Awdurdod yn unig.



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															Cyfleuster TGyY yn debygol iawn
W3	Cynhwysiad gwastraff yn wahanol i'r hyn ddisgwyliwyd (data gwael, newid polisi, newid mewn arferion casglu)	Perfformiad o dan y lefel ofynnol, costau cydymffurfio gormodol LAS	3	5	15		Cynhwysedd gwastraff i'w fonitro yn ystod caffael a data i'w rannu yn y Ddeialog Gystadleuol er mwyn hysbysu datrysiad. Mae dadansoddiad Cynhwysedd Gwastraff Cymru gyfan yn cael ei gyflenwi gan LICC trwy WRAP. Gwaith cychwynnol yn dechrau Mehefin 09. Rhoddir prawf ar berfformiad y dechnoleg datrysiad a'i deall fel rhan o'r broses gaffael i ddynodi gallu pob datrysiad i brosesu gwastraff â chynhwysedd gwahanol.	PD	3	4	12	Cyfredol	Tach-09		Technoleg benodol. TGyY yn llai sensitif i newid cynhwysedd gwastraff.



# PTGGGC

Prosiect Trin Gwastraff Gweddilliol Gogledd Cymru

PE1	Marchnad/allfa ddim ar gael o allbynnau'r cyfleuster(au)	Costau gweithredu prosiect cynyddol. Cynnydd yn y galw am wagle tirlenwi	4	4	16		Sicrhau bod cyflenwadwyedd marchnad yn cael ei ddangos fel rhan o'r broses gwerthuso caffael.	PD	4	3	12	Cyfredol	Tach-09	Swn trydan, lludw yn ansicr. Prosiect a Marchnad yn ddibynnol ar dirlawnder
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DYNODI'R RISG neu FATER						RHEOLI'R RISG neu FATER								Nodiadau esboniadol ychwanegol		
ID	Risg /Mater (h.y. Bygythiad i'r prosiect)	Canlyniad	Asesiad Presennol			Sut y rheolir y risg				Risg gweddilliol ar ôl rheolaeth			Dyddiad gweithredu		Dyddiad Adolygu	Dyddiad cau
			Effaith	T'olrwyd	Cyffredinol	Eisoes yn ei le	Pwy sy'n Rheoli	Nid yn ei le (Arfaethedig)	Pwy fydd yn rheoli	Effaith	T'olrwyd	Cyffredinol				
<b>Polisi a risg rheoleiddiol – Newid yn amcanion / rheoliadau LICC</b>																
PO1	LICC yn newid y gefnogaeth ariannol sydd ar gael i brosiectau trin gwastraff gweddilliol oherwydd cyfyngiadau fforddiadwyedd / cyllidebol LICC yn yr hinsawdd economaidd presennol	Mae prosiectau trin gwastraff gweddilliol yn dod yn llai fforddiadwy i'r bartneriaeth a phob Awdurdod partner	4	3	12	Mae'r Tim Prosiect mewn cyswllt â LICC a PUK i sicrhau cyflenwi OBC a chaffael dilynol mewn modd amserol er mwyn sicrhau bod y prosiect NWRWTP yn cael budd o arian LICC (a all leihau dros amser fel y daw prosiectau eraill ar lein)	PD	Y Tim Prosiect i fonitro safleoedd LICC yn nhermau argaeledd cyllideb a lobio ar lefel gweinidogion os oes arwyddion bod y cyllid arfaethedig i'w leihau	PD	4	2	8	Cyfredol	Tach-09		
PO2	Polisi amgylcheddol ac amcanion LICC yn newid	Mae'r prosiect yn awr yn amhriodol	4	4	16	Mae'r Tim Prosiect mewn cyswllt â LICC a PUK i sicrhau cyflenwi OBC a chaffael dilynol mewn modd amserol er mwyn sicrhau bod y prosiect NWRWTP yn cael budd o arian LICC (a all leihau dros amser fel y daw prosiectau eraill ar lein)	PD	Cadw mewn cyswllt agos â LICC i sicrhau bod y newidiadau polisi a all effeithio ar y prosiect yn cael eu dynodi'n gynnar.	PD	4	2	8	Cyfredol	Tach-09		
PO4	Newid mewn deddfwriaeth neu ganllawiau ar lefel Ewropeaidd, Cenedlaethol, neu Ranbarthol/Leol	Efallai bydd angen ailymweld â'r datrysiad a ffefrir, terfynu posib o'r prosiect, costau cydymffurfio gormodol LAS	3	5	15			Cadw mewn cyswllt agos â LICC i sicrhau bod y newidiadau polisi a all effeithio ar y prosiect yn cael eu dynodi'n gynnar.	PD	3	4	12	Cyfredol	Tach-09		
PO5	LICC yn methu â rhoi eglurder o fewn eu hamcanion strategol	Oedi a cholli cefnogaeth rhanddeiliaid	3	4	12			Cadw mewn cyswllt agos â LICC i sicrhau bod y newidiadau polisi a all effeithio ar y prosiect yn cael eu dynodi'n gynnar.	PD	3	3	9	Cyfredol	Tach-09		
<b>Strategaeth Risg – newid yn strategaeth wastraff/ datrysiad a ffefrir unrhyw cyngor cyfranogol</b>																
SR 1	Newid yn strategaeth wastraff neu dechnoleg/ datrysiad a ffefrir unrhyw gyngor cyfranogol gan unrhyw un o'r Awdurdodau Partner		4	4	16	MWMS presennol yn ei le. Proses werthuso opsiynau ddiuedd wedi ei chynnal i ddynodi datrysiad cyfeirio (wedi ei seilio ar fframwaith gwerthuso cenedlaethol LICC). Mewnbyn swyddogion aml - Awdurdod Partner i'r broses hon.	PM & Awdurdodau Partner	Cyfathrebu cyfredol a gwybodaeth i Awdurdodau Partner ar yr angen am y prosiect, technolegau, buddiannau dull mabwysiedig a phroses gaffael dechnoleg niwtral.	PM & Awdurdodau Partner	4	2	8	Cyfredol	Tach-09		
<b>Gwleidyddol</b>																
AP1	Dull Aml-Awdurdod yn arwain at drafodaethau hir i ddatrys materion	Costau ymgynghorol yn cynyddu. Ddim yn cwrrd â'r dyddiad terfyn. Risg cosb LAS yn cynyddu.	3	3	9	Cynllun Prosiect yn manylu ar amserlenni	PM	Proses Caniatâd OBC wedi ei fapio allan i bob Awdurdod partner. Cynnig o gefnogaeth gan y Tim Prosiect ac Ymgynghorwyr yn y broses ganiatâd.	PM	3	2	6	Rhag-09	Tach-09		

AP2	Penderfyniad ar ddyfarnu contract yn aml Awdurdod	Oedi wrth ddethol contractwr oherwydd ymgysylltiad Aml-Awdurdod (proses Gabinet)	4	3	12		Bydd Pencampwyr Prosiect o'r Awdurdodau cyfranogol yn gwerthuso'r cais heb ddatgelu i aelodau/ staff uwch (model GMWDA)- dull gwerthuso yn cael ei bennu cyn cyhoeddiad OJEU	PD	4	2	8	Tach- Rhag-0	Tach-09			
AP4	Diffyg cefnogaeth lleidyddol o fewn un neu fwy o'r Awdurdodau Partner.	Oedi i'r prosiect, cynnydd mewn costau, colli pwysau cystadleuaeth, bygythiad i VFM, her gaffael bosib, neu ddiddymu'r prosiect yn gyfan gwbl	4	3	12	Gwaith presennol ar PID wedi amlygu egwyddorion craidd y cytundeb. Darpariaeth frifio a gwybodaeth i'r Awdurdodau Partner – cynigwyd yn rhagweithiol gan y Tîm Prosiect ac Ymgynghorwyr. Cyfathrebu cyfredol ac ymgysylltiad ar baramedrau allweddol y prosiect.	Prif weithredwr arweiniol, aelodau'r Bwrdd Prosiect (swyddogion arweiniol bob Awdurdod partner)		4	2	8	Cyfredol	Tach-09			
AP5	Newid blaenoriaethau mewn Cyngor	Materion ariannu mawr	4	3	12	Bydd OBC yn dynodi fforddiadwyedd y prosiect a buddiannau'r datrysiad cyfeirio yn nhermau rheolaeth costau.	Prif weithredwr arweiniol, aelodau'r Bwrdd Prosiect (swyddogion arweiniol bob Awdurdod partner)		4	2	8	Cyfredol	Tach-09			
AP6	Ad-drefnu llywodraeth leol	Dryswch ac ansicrwydd	4	4	16	I'w reoli os a phan fo tebygolrwydd yn digwydd yn ystod cyfnod y prosiect	TBC		4	2	8	Cyfredol	Tach-09			
<b>Gweithio ar y cyd – un neu fwy o bartneriaid yn gadael y bartneriaeth</b>																
JW1	Un o'r Awdurdodau Partner yn tynnu'n ôl yn ystod y broses gaffael	Rhaid gosod rhybudd OJEU newydd	5	2	10	IAA 1 wedi'w ddrafftio i ddangos canlyniad clir o Awdurdodau'n gadael y broses yn ystod ac ar ôl y cam caffael.	BD	PID cynhwysfawr yn cael ei gadarnhau gan yr holl bartneriaid cyfranogol. Bydd yr IAA2 yn cael ei lofnodi gan yr Awdurdodau Partner cyn cyhoeddi rhybudd OJEU. Cyfathrebu cyfredol yn ystod proses gaffael	BD	5	1	5	Cyfredol	Tach-09		
<b>Cyllid &amp; Fforddiadwyedd</b>																
F1	Diffyg proffil Cyllideb yn arwain at swrplws annisgwyl	Y swrplws yn cael ei amsugno ac angen ail-ymgeisio	3	2	6	PUK/WLGA yn archwilio gwariant fesul disgyblaeth. Swyddog Cyllid i'w benodi i'r tîm	PD	Taliadau'n seiliedig ar gerrig milltir. PD wedi diweddarau proffil cyllideb prosiect. PD i fonitro a rheoli	PD	3	1	3	Cyfredol	Tach-09		
F2	Oedi mewn caffael yn arwain at gostau caffael cynyddol (oherwydd proses gaffael estynedig)	A.Llau yn chwilio am ariannu ychwanegol neu'n tynnu'n ôl	1	2	2	Chwilio am adroddiadau Cabinet i ymestyn y cyllid fel sydd ei angen tu draw i'r gyllideb	PD	Rheoli oedi mewn caffael trwy ddyluniad priodol o'r broses gaffael.	PD	3	2	6	Ion-10	Tach-09		



F3	Prisiau nwyddau ac adeiladu'n cynyddu'n sylweddol yn ystod y camau caffael ac adeiladu	Costau prosiect cynyddol ac o bosib mynd tu draw i amlen fforddiadwyedd	4	5	20	Ymgynghorwyr wedi defnyddio prisiau marchnad presennol a chydgyssylltu â LICC / PUK yng nghyswilt costau amcangyfrifedig yn y dyfodol a gwneud rhagdybiaethau synhwyrol. Amrediad o brofion sensitifwydd i'w cynnal fel rhan o'r broses OBC er mwyn sicrhau dealltwriaeth o amrediad costau	PD			4	2	8	Cyfredol	Tach-09
F4	Ansefydlogrwydd graddfeydd llog tymor hir tu draw i'r lefelau disgwylidig	Costau prosiect cynyddol ac effaith effeithiol ar yr amlen fforddiadwyedd	3	5	15	OBC i gynnwys a nifer o brofion sensitifwydd i'w modelu i hysbysu'r profill fforddiadwyedd.	PD			3	3	9	Cyfredol	Tach-09
F5	Prisiau'r ceisiadau tu allan i'r amlen fforddiadwyedd	Oedi i'r rhaglen prosiect, costau gormodol cydymffurfio â LAS, costau gormodol yn gysylltiedig â sicrhau a gweithredu datrasiad amgen	4	4	16	Ymgynghorwyr wedi defnyddio prisiau marchnad presennol a chydgyssylltu â LICC / PUK yng nghyswilt costau amcangyfrifedig yn y dyfodol a gwneud rhagdybiaethau synhwyrol. Amrediad o brofion sensitifwydd i'w cynnal fel rhan o'r broses OBC er mwyn sicrhau dealltwriaeth o amrediad costau	PD	Annog diddordeb uchel marchnad trwy ymgysylltu'n weithredol â'r farchnad. Proses gaffael i'w rhedeg o dan ddeialog gystadleuol gan alluogi'r bartneriaeth i geisio gyrru costau'r datrasiad eu hunain	PD	4	2	8	Cyfredol	Tach-09
F6	Nid yw'r datrasiad a ffeirir yn fancadwy	Oedi i'r rhaglen prosiect, costau gormodol cydymffurfio â LAS, costau gormodol yn gysylltiedig â sicrhau a gweithredu datrasiad amgen	5	3	15			Proses gaffael i'w dylunio i sicrhau mai dim ond y datrasiadau y gellir eu cyflenwi (e.e. yn cynnwys bancadwyedd) sy'n alluog o gael dyfarnu'r contract iddynt	PD	5	2	10	Cyfredol	Tach-09
F7	Mabwysiadu strwythur ariannu amhriodol	Methiant, oedi, a chostau	4	3	12			Proses gaffael i'w dylunio i sicrhau mai dim ond y datrasiadau y gellir eu cyflenwi (e.e. yn cynnwys strwythur ariannu ) sy'n alluog o gael dyfarnu'r contract iddynt	PD	4	2	8	Cyfredol	Tach-09
F8	Diwydrwydd dyladwy annigonol pan fo strwythur ariannol nad yw'n un prosiect yn cael ei fabwysiadu	Cynnydd mewn costau caffael a throsglwyddo risg i'r Awdurdod	3	3	9			Sicrhau y ceisir cyngor digonol gan LICC, PUK ac Ymgynghorwyr fel bod risg benthyca darbodus neu lwybr ariannu eraill yn cael ei ddeall yn iawn gan yr Awdurdodau Partner.	PD	3	2	6	Cyfredol	Tach-09
F9	Graddfeydd cyfnewid arian tramor yn newid yn andwyol	Peryglu Fforddiadwyedd	4	3	12	Ymgynghorwyr i wneud rhagdybiaethau darbodus (wedi eu gwrio â PUK a LICC) a chynnal dadansoddiad sensitifwydd fel rhan o ddatblygiad OBC	PD			4	2	8	Cyfredol	Tach-09

F10	Rhagdybiaeth ariannol yn anghywir	Ail-gaffael a lefel is o wasanaeth	5	3	15	Ymgynghorwyr i wneud rhagdybiaethau darbodus (wedi eu gwirio â PUK a LICC) a chymnal dadansoddiad sensitifwydd fel rhan o ddatblygiad OBC	PD		4	2	8	Cyfredol	Tach-09		
F11	Sector bancio yn methu cyflenwi cyfalaf	Costau cynyddol neu methiant caffael	4	4	16		PD	Proses gaffael i'w dylunio i sicrhau mai dim ond y datrysiadau hynny y gellir eu cyflenwi (e.e. yn cynnwys argaeledd arian) y gellir dyfarnu contract iddynt	4	2	8	Cyfredol	Tach-09		
F12	Gwytnwch clybiau ariannol banciau	Costau cynyddol neu methiant caffael	3	4	12		PD	Proses gaffael i'w dylunio i sicrhau mai dim ond y datrysiadau hynny y gellir eu cyflenwi (e.e. yn cynnwys argaeledd arian) y gellir dyfarnu contract iddynt	3	3	9	Cyfredol	Tach-09		
F13	Cefnogaeth ariannol LICC yn diflannu	Prosiect yn anfforddiadwy	5	3	15	Eisoed derbyniwyd sicrwydd gan LICC fod arian ar gael i'r prosiect d'fel y cytunwyd yn flaenorol i'r prosiect Gwyrdd.	PD	Chwilir am sicrwydd penodol gan LICC ar gymeradwyaeth OBC .	5	2	10	Cyfredol	Tach-09		
<b>Ymgynghorwyr – newid mewn personel allweddol</b>															
AD 1	Tim personel ymgynghorol allweddol yn gadael neu ddim bellach ar gael i gefnogi'r prosiect	Oedi a diffyg cynefndra â'r prosiect gan unrhyw staff ymgynghorol newydd.	3	3	9	Cyfarwyddwr Prosiectau'r Ymgynghorydd i gael trosolwg ar waith yr Ymgynghorydd. Capasiti timau i ddarparu cyngor wedi'i brofi yn ystod penodi'r Ymgynghorwyr	PD	Monitro cyfredol o sefyllfa'r Ymgynghorydd i sicrhau mewnbwn ymgynghorol digonol a gwybodaeth o'r prosiect .	3	2	6	Cyfredol	Tach-09		
<b>Cyflenwi'r Prosiect</b>															
PD1	Ymgeiswyr posib ddim yn ymgeisio oherwydd y costau sy'n gysylltiedig â'r broses Deialog Gystadleuol	Llai o gystadleuaeth yn y broses ymgeisio	4	2	8			I sicrhau bod proses gaffael wedi'i liflinio'n addas, yn amserol a'i chyflenwi'n dda yn cael ei mabwysiadu. Defnydd priosol a rhoi cyfarwyddyd i Ymgynghorwyr. Mewnbwn gan LICC PO a PUK.	PD	4	1	4	Cyfredol	Tach-09	
PD2	Ymgeiswyr posib ddim yn ymgeisio oherwydd y risgiau sy'n cael eu pasio i'r Contractwr	Llai o gystadleuaeth yn y broses ymgeisio	4	3	12	Cynhaliwyd gweithdy dyrannu risgiau gyda mewnbwn gan yr Ymgynghorwyr i sicrhau y gwneir dyraniadau risg priodol ar gyfer caffael a bod y bartneriaeth yn mabwysiadu safle cyflenwadwy yn fasnachol ac yn gynaliadwy.		<b>Fydd y Cytundeb Prosiect yn cyraedd cytundeb safonol a ddarperir gan LICC / PUK. Fydd unrhyw newidiadau o'r sefyllfa safonol hyn yn cael ei gytuno gan LICC / PUK cyn gweithredu i sicrhau trosglwyddiad risg dderbyniol.</b>	PD	4	2	8	Tach-09	Tach-09	
PD 3	Ymgeiswyr posib ddim yn ymgeisio oherwydd diffyg cydlynad y bartneriaeth	Llai o gystadleuaeth yn y broses ymgeisio	4	3	12	<b>Cytundeb Partneriaeth wedi'i ddrafftio &amp; Threfniadau Llywodraethu wedi ei ddiffinio yn yr ABA a'r CRHa</b>	PD	<b>Cytundeb Rhyng Awdurdod wedi'i arwyddo</b>	PD	4	2	8	Cyfredol	Tach-09	
PD4	Ymgeiswyr posib ddim yn ymgeisio oherwydd y gofynion rhagnodol	Llai o gystadleuaeth yn y broses ymgeisio	4	3	12	Caffael i fod yn "Dechnoleg Niwtral"	PD	Sicrhau dyluniad briodol y broses gaffael.	PD	4	2	8	Cyfredol	Tach-09	

PD 5	Ymgeiswyr posib ddim yn ymgeisio gan fod maint y gwastraff yn rhy fychan	Llai o gystadleuaeth yn y broses ymgeisio	4	3	12		Ystyried ychwanegu gwastraff Masnachol a Diwydiannol i sgôp y prosiect. Ystyried caniatáu i ymgeiswyr fod yn agored i gontractau eraill. Adolygu'r safle hwn mewn cyswllt â'r Ymgynghorwyr fel rhan o'r broses dylunio caffael	PD	4	2	8	Cyfredol	Tach-09	
PD6	Gormod o ymgeiswyr yn dod ymlaen ac yn anodd dad-ddethol i greu rhestr fer addas	Oedi i'r rhaglen gaffael, costau cam datblygu cynyddol	3	3	9		Bydd y broses gaffael yn cael ei dylunio i cheir adnoddau iddi a fydd yn caniatáu i nifer o ymgeiswyr gael eu hasesu.	PD	3	1	3	Cyfredol	Tach-09	Lefel gyfyngedig o feini prawf ar gamau caffael PQQ ac ISOS.
PD7	Mae'r Ymgeisydd a Ffefrir yn tynnu'n ôl neu'n methu â dod i derfyn masnachol/ ariannol boddhaol	Oedi'r rhaglen, costau cam datblygu cynyddol, cosbau LAS gormodol, colli pwysau cystadleuaetha chynnydd posib mewn costau datrysiad cyffredinol	5	2	10		PD Bydd y broses gaffael yn cael ei dylunio i sicrhau gallu ac/ neu awch am gau'r contract yn ddealladwy cyn penodi'r Ymgeisydd a Ffefrir. Dim materion sylweddol i'w gadael heb eu datrys cyn yr Ymgeisydd a Ffefrir.	PD	5	1	5	Cyfredol	Tach-09	Hyd yma ni ddigwyddodd gan ar y cam hwyr hwn mae'r Contractwr yng nghanol ei ymgysylltiad.
PD8	Un o'r ddau ymgeisydd terfynol yn tynnu'n ôl	Bygythiad i VFM, pris yn cynyddu, mynd tu draw i'r amlen fforddiadwyedd o bosib, oedi i'r rhaglen gaffael	4	3	12		PD Bydd y broses gaffael yn cael ei dylunio i sicrhau gallu ac/ neu awch am gau'r contract yn ddealladwy cyn y penodiad tendr terfynol. Yn ceisio cytundeb gyda'r holl ymgeiswyr ar y cam hwn yng nghyswllt materion sylweddol.	PD	4	2	8	Cyfredol	Tach-09	Wedi digwydd ar nifer o brosiectau UK PFI.
PD9	Efallai na fydd cysylltiadau cyfleustodau ar gael i'r datrysiad	Bygythiad posib i fforddiadwyedd, oedi i'r rhaglen	3	3	9		PD Rhoi tasg i Ymgynghorwyr Technegol i sicrhau bod y gallu i ddiogelu cysylltiadau cyfleustodau yn ddealladwy yn gynnar yn y broses gaffael.	PD	3	2	6	Cyfredol	Tach-09	
PD10	Contractwr Adeiladu yn mynd yn fethdalwr yn ystod y cam adeiladu	Oedi wrth gychwyn prosesu gwastraff, costau LAS gormodol, angen adeiladydd arall - costau cyfalaf cynyddol	3	3	9		Ymgeiswyr i arddangos safle ariannol fel rhan o'r PQQ a hefyd ail-wirio ar gamau allweddol yn ystod y broses gaffael	PD	3	2	6	Cyfredol	Tach-09	Pryder cyfredol yn arbennig
PD11	Adnoddau prosiect annigonol (niferoedd a gwybodaeth/ profiad y staff/Tîm Prosiect)	Oedi prosiectau, costau datblygu cynyddol i 'drwsio'r' prosiect, llai o ddi-ddordeb marchnad a cholli pwysau cystadleuaeth VFM yn sgîl hynny	3	3	9	PD a PM yn awr mewn swydd	PD Awdurdodau i enwebu unigolion priodol ac i gefnogi eu swyddi. Angen mewnbwn gan swyddogion allweddol yn yr Awdurdodau Partner. PD wedi cynhyrchu atodlen mewnbwn adnoddau amcangyfrifedig i gynorthwyo Awdurdodau Partner â rheoli adnoddau	Awdurdodau Partner Unigol	3	2	6	Cyfredol	Tach-09	Dethol allan naturiol contractwyr bychain analluog oherwydd fforddiadwyedd costau uchel cais.

PD12	Trafodaethau ar y contract yn hir a thu draw i'r rhaglen gytunedig	Contractwr yn cael cyfle i ailymgeisio, pris yn cynyddu, colli VFM, bygwith fforddiadwyedd, oedi'r prosiect, costau LAS gormodol yn bosib.	3	4	12		Bydd y broses gaffael ynn cael ei diffinio'n glir. Safleoedd partner i'w mynegi'n glir i'r ymgeiswyr ar bob cam.	PD	3	2	6	Cyfredol	Tach-09	Gall y meini prawf ar gyfer y prosiect newid os oes oedi gormodol.	
PD13	Oedi wrth gynhyrchu/cymeradwyo'r OBC	Oedi posib i'r rhaglen, colled potensial o ariannu LICC, mynd i gostau cydymffurfio LAS	4	3	12	Rhaglen yn ei lle, tasgau wedi'u dyrannu ac LICC wedi derbyn amserlen cymeradwyaethau'r Awdurdodau Partner	PD	Awdurdodau Partner i sicrhau bod cefnogaeth uwch reolwyr digonol yn cael ei roi i'r broses gymeradwyo	PWwyr Awdurdodau Partner, Cyfarwyddwyr Corfforaetho I, Aelodau PB,	4	2	8	Cyfredol	Tach-09	Os rhoddir ariannu mewn risg gan oedi gyda chais OBC.
PD14	Oedi wrth gynhyrchu/cymeradwyo cytundeb rhyng-Awdurdod	Oedi posib i'r rhaglen, colled potensial o ariannu LICC, mynd i gostau cydymffurfio LAS	3	3	9	Rhaglen yn ei lle, tasgau wedi'u dyrannu ac LICC wedi derbyn amserlen cymeradwyaethau'r Awdurdodau Partner	PD	Awdurdodau Partner i sicrhau bod uwch reolwyr yn rhoi cefnogaeth i'r broses gymeradwyo	PWwyr Awdurdodau Partner, Cyfarwyddwyr Corfforaetho I, Aelodau PB,	3	2	6	Cyfredol	Tach-09	Gall y meini prawf i'r prosiect newid os oes oedi gormodol.
PD15	Disgyblaeth rheoli prosiect annigonol	Oedi posib i'r rhaglen prosiect, mynd i gostau cydymffurfio LAS, ddim yn cwrrd ag amcanion rheoli cyflenwad, rhanddeiliaid mewnlol yn cwyno	2	2	4	PD a PM yn awr mewn swydd. PD i wirio bod rheolaethau PM digonol yn eu lle. Archwlio mewnlol i'w penodi cyn Caffael.	PD	LICC i gynnal adolygiad porth o'r prosiect cyn caffael. PD i gymryd sylw o unrhyw argymhellion.	PD	2	1	2	Cyfredol	Tach-09	Annhebygol. Risg i'r Awdurdod.
PD16	Cyfleusterau heb eu comisiynu ar amser	Oedi posib i'r rhaglen prosiect, mynd i gostau cydymffurfio LAS.	3	3	9		Bydd y broses gaffael yn cael ei dylunio i sicrhau bod safleoedd yn cael eu dynodi a'u deall yn nhermau cyflenwadwyedd cynllunio. Gwaith archwilio safleoedd cychwynnol i'w cynnal ar yr holl safleoedd cyfeirio. Proses gaffael i roi prawf ar amserlenni cyflenwi'r ymgeiswyr.	PD	PD	2	2	4	Cyfredol	Tach-09	Penodol prosiect/technoleg.
PD17	LICC yn gwrthod yr OBC (oherwydd esgeulustod, gormod o gystadleuaeth oddi wrth Awdurdodau eraill)	Oedi posib i'r rhaglen prosiect, mynd i gostau cydymffurfio LAS.	3	3	9	OBC yn dilyn canllawiau LICC. Cyfarfodydd rheolaidd â LICC gyda mewnbwn gan y trafodwr PUK.	PD		PD	3	2	6	Cyfredol	Tach-09	Risg i'r bartneriaeth
PD18	Dim ond un ymgeisydd derbyniol sy'n dod ymlaen	Oedi'r prosiect, cost cynyddol mynd yn ôl at y farchnad, prisiau cais cynyddol, methiant i sicrhau VFM, costau cydymffurfio gormodol LAS	4	2	8	PD wedi cychwyn ymgysylltiad marchnad. Adborth da a lefel uchel o ddiorddeb eisoes wedi ei fnyegi gan nifer o ymgeiswyr posib.	PD	Sicrhau cysondeb neges i'r farchnad.	PD	4	1	4	Cyfredol	Tach-09	Annhebygol wedi'i seilio ar y sefyllfa bresennol.

PD19	Dim diddordeb marchnad oherwydd cynhwysedd cyfyngedig oddi mewn i'r diwydiant	Oedi i'r rhaglen prosiect, costau cydymffurfio gormodol LAS, costau gormodol yn gysylltiedig â chwyddiant ac angen ailymweld â'r farchnad i sicrhau datrysiad derbyniol Gwneud drwg i enw da'r bartneriaeth.	5	2	10	PD wedi cychwyn ymgysylltiad marchnad. Adborth da a lefel uchel o ddidordeb eisoes wedi ei fynegi gan nifer o ymgeiswyr posib.	PD				5	1	5	Cyfredol	Tach-09	Y farchnad ar hyn o bryd yn agos at ddirlawnder ar gyfer deunyddiau eildro a thyfu ailgylchu IBA.
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**Cyfathrebu & rhanddeiliaid – Methiant i ymgysylltu'n rhagweithiol â rhanddeiliaid allweddol yn arwain at oedi a diffyg cefnogaeth gyhoeddus i'r datrysiad arfaethedig.**

CO1	Camwbyodaeth i Aelodau'n cael ei achosi gan wahaniaethau mewn adroddiadau a dogfennaeth	Awdurdodau yn gweithio i wahanol agendâu/deilliannau yn arwain at i'r consortia dorri i lawr	3	3	9	Grwp Swyddog Cyfathrebu wedi sefydlu, gyda protocol cyfryngau wedi'i gytuno i sicrhau neges cyson	PM				3	2	6	Cyfredol	Tach-09	
CO2	Risg o her i ganiatâd cynllunio os na roddir cyfle i rhanddeiliaid roi mewnbnw i ddatblygiad y manylebau a fframweithiau gwerthuso a fydd yn tanategu'r caffael a'r broses caniatâd cynllunio cyfleuster dilynol.	Risg o gais cynllunio aflwyddiannus neu adolygiad barnwrol yn erbyn caniatâd cynllunio ac felly methu cyflenwi'r prosiect fel y cafodd ei gaffael.	4	3	12	Sesiynau ymgynghori wedi'i drefnu gyda Aelodau'r pum awdurdod partner ym Mai/Mehefin i gael mewnbnw i'r fframwaith gwerthuso	PM	Sesiynau ymgynghori ar y fframwaith gwerthuso i'w drefnu ar gyfer Mai / Mehefin			4	2	8		Tach-09	
CO3	Safleoedd cyfeirio'n cael eu dynodi o fewn yr OBC yn medru arwain at wrthwynebiad sylweddol i'r datblygiad arfaethedig. Fel canlyniad efallai na fydd pwyllgor(au) cynllunio ac / neu adolygiad barnwrol yn cefnogi deiliant cynllunio positif os na wneir ymgysylltiad cynnar gyda'r cymunedau yr effeithir armynt.	Risg o gais cynllunio aflwyddiannus neu adolygiad barnwrol yn erbyn caniatâd cynllunio ac felly methu cyflenwi'r prosiect fel y cafodd ei gaffael.	4	3	12	Sesiynau trafod anffurfiol wedi'i drefnu yn ardal y safle cyfeiriol. Cysylltiad wedi ei wneud gyda busnesau allweddol ogwmpas y safle cyfeiriol.	PM	Gwaith cyfathrebu ac ymgynghori ychwanegol i'w wneud ogwmpas y safle (a safleoedd eraill os y gelli adnabod) ar adegau allweddol o'r prosiect.			4	2	8	Cyfredol	Tach-09	
CO4	Pwysau gan grwpiau lobi/cyhoedd yn erbyn y datrysiad a ffefrir a lleoliad.	Rhaid dod o hyd i ddatrysiad/safle amgen, costau datblygu prosiect cynyddol, oedi i'r rhaglen cyflenwi prosiect arfaethedig, costau LAS gormodol, effaith ar enw da Cynghorau Partner	4	5	20	Strategath Cyfathrebu ac ymgynghori wedi'i ddrafftio a wedi'i gytuno ar ddrafft gan y Grwp Swyddogion Cyfathrebu. I fod yn ddogfen "byw" a'i ddiweddarau fel bo angen.	PM	Fe fydd gwaith ar safle arall yn parhau yn ystod camau cynnar y broses caffael			4	3	12	Cyfredol	Tach-09	
Amserlenni																

T4b	Oedi mewn caffael yn arwain at gostau caffael cynyddol (oherwydd prosesau Caniatâd estynwedig)	Allau yn chwilio am ariannu ychwanegol neu'n tynnu'n ôl	3	3	9	PID yn dynodi amserlen ragamcanedig a phwyntiau penderfynu allweddol.	PD	Trafodaeth neu adborth LICC PO / PUK ar liflinio'r broses ganiatâd i'w ystyried. Cyfarwyddwr Prosiect (gyda chefnogaeth y Bwrdd Gwastraff) i geisio sicrhau dynodiad cynnar a liflinio'r prosesau caniatâd.	PD	3	2	6	Cyfredol	Tach-09
T5	Gweithgareddau Allweddol heb eu dynodi yn y cynllun prosiect	Potensial o oedi i'r prosiect oherwydd diffyg adnodd neu faterion dibynadwyedd	3	2	6	Arbenigwyr WAO a PUK i graffu dogfennaeth y prosiect	PD	Ceisio adborth Ymgynghorwyr technegol, cyfreithiol ac ariannol ar y cynllun prosiect plan ac ymgorffori unrhyw ddiwygiadau angenrheidiol	PD	3	1	3	Cyfredol	Tach-09

Strategaeth a Phroses Gaffael														
P2	Contractau a chyfleusterau presennol yn rhwystro'r holl Awdurdodau cyfranogol rhag defnyddio pob elfen o'r datrysiad terfynol arfaethedig	Taliadau dyblygol yn cael eu gwneud gan Awdurdodau	2	2	4	Telir am gyfleusterau trwy ffi ar y giat yn ol defnydd (fydd gwarant leiafswm tunelli yn gymwys). Cytundeb o Ffi ar y Gat Cyffredinol wedi'i w ysgrifennu i'r Cytundeb Rhyng Awdurdod. Amserlen i'r prosiect wedi ei hysbysu yn glir i'r awdurdodau partner. Nid os gan unrhyw un o'r awdurdodau partner gytundebau sydd yn gorgyffwrdd gyda dechrau'r gwasanaeth hon.	PD		PD	2	1	2	Cyfredol	Tach-09
P10	Mae'r risgiau ynglŷn â methodolegau cyllluidio angen cynnig amrywiadol a threfniadau cylllido canlynol yn bresennol yn PQQ	Cyfnod gwerthuso PQQ yn cael ei ymestyn i gynnwys amrwyiadau a risgiau ynglŷn â'r methodolegau ariannu	2	2	4	Ymgynghoriaeth i wneud asesiad ariannol	PD	Adolygu'r sefyllfa hon mewn cydweithrediad ag Ymgynghorwyr fel rhan o'r broses dylunio caffael	PD	2	2	4	Cyfredol	Tach-09
P12	Nid yw'r datrysiad a gynnigir yn ddichonadwy'n dechnegol	Ni chafwyd gwiro o dirlenwi, A.L.'au yn cael cosbau tor-dyletswydd	5	3	15	Dirwy tor-dyletswydd LAS yn cael ei phasio ymlaen i'r Contractwr. Dichonoldeb technegol yn cael ei sgorio o fewn y ddogfennaeth gaffael	PD	Fframwaith gwerthuso priodol (wedi ei seilio ar fframwaith LICC) i'w ddatblygu a'i ddefnyddio ar gyfer y prosiect.	PD	5	2	10	Cyfredol	Tach-09

P13	Nid yw'r datrysiadau technegol a gynigwyd yn bosib i'w comisiynu oddi mewn i amserleni tor-dyletswydd LAS	Allau yn wynebu dirwyon tor-dyletswydd am dirlenwi ychwanegol uchlaw y lwfans	4	4	16	Modelu'r ABA wedi dangos bod pob awdurdod partner yn medru cyrraedd eu lwfans LAS os maen't yn cynyddu ei ailgylchu a chompostio "pen blaen" a mae'r prosiect yn cael ei weithredu i'r amserlen. Fe fydd unrhyw danberfformiad yn yr ailgylchu a chompostio "pen blaen" tu allan i sgop y prosiect hwn a fydd unrhyw gyfrifoldeb LAS yn nwylo yr awdurdodau partner unigol. Gweler hefyd Risk W1.	Awdurdodau Partner	Proses Caffael i sicrhau ei fod yn gweithredu'n amserol gyda'r risg o weithredu'r gwasanaeth trin gwastraff gweddilliol yn hwyr yn cael ei leihau.	PD	4	3	12	Cyfredol	Tach-09
P14	Ceisiadau'n cael eu sgorio gan dîm mewnol dibrofiad	Nid y datrysiad a ddetholwyd yw'r tendr mwyaf manteisiol ac mae'n agored i'w herio gan ymgeiswyr afwyddiannus	4	3	12			Y tîm cais yn cael ei ddethol gan y Cyfarwyddwr Prosiect a PUK	PD	4	2	8	Cyfredol	Tach-09
P15	Ceisiadau'n cael eu sgorio gan ymgynghorwyr allanol	Nid yw'r datrysiad a ddetholwyd yn cwrd ag anghenion lleol ac nid yw'n cael ei dderbyn gan yr A.L.l'au	4	3	12			Y tîm cais yn cael ei ddethol gan y Cyfarwyddwr Prosiect a PUK yn cynnwys cymysgedd o sgiliau prïodol (yn cynnwys Ymgynghorwyr)	PD	4	2	8	Cyfredol	Tach-09
P16	Mae canfyddiad fod gan swyddog(ion) syniadau rhagdybiedig ynglŷn â'r datrysiad 'gorau'	Diffyg ymddiriediaeth yn y detholiad o ymgeisydd a'r datrysiad a ddetholwyd	4	3	12			Meini prawf sgorio a fframwaith werthuso cytunedig (wedi ei seilio ar Fframwaith LICC) Gwerthuso sgoriau i sicrhau cysondeb y dull gwerthuso.	PD	4	2	8	Cyfredol	Tach-09
<b>Newid Sgôp – Newid perthnasol yn sgôp y gwasanaethau sydd eu hangen</b>														
SC1	Newid perthnasol yn sgôp y gwasanaethau sydd eu hangen	Oedi i'r broses gaffael wrth i ymgeiswyr dynnu'n ôl o gaffael oherwydd ansicrwydd	4	3	12	Mewnbwn swyddog technegol ar y Fanyleb Ddrafft a'i chymeradwyo fel rhan o'r OBC gan yrAwdurdodau Partner	PM	Bydd y Fanyleb Ddrafft yn destun i adolygiad pellach gan aelodau a swyddogion a mewnbwn gan randdeiliaid trwy ddefnyddio grwpiau ffocws ayb.	PM	4	2	8	Cyfredol	Tach-09
<b>Cynllunio a chaniatâd - gallu i sicrhau deiliant cynllunio a chaniatâd llwyddiannus i'r datrysiad</b>														
PS1 (was S9)	Cynllun Gwastraff Rhanbarthol mewn gwrthdaro â'r datrysiadau posib	Llai o gystadleuaeth yn y broses ymgeisio	4	3	12			Llifgwaith Cynllunio a safle i'w sefydlu i gynorthwyo â lleihau ansicrwydd safle a chynllunio a gwella'r rhagolygon ar gyfer deiliant cynllunio positif i'r prosiect.	PD	4	2	8	Cyfredol	Tach-09
PS5	Nid yw safleoedd addas ym mherchnogaeth y cyngor i gefnogi datblygu'r datrysiad	Oedi'r prosiect tra bo safleoedd addas yn cael eu sicrhau	5	3	15	Tîm Prosiect yn dynodi safleoedd a allai fod yn addas ar gyfer lleoli'r gorsafedd trosglwyddo gwastraff a'r cyfleuster(au) trin gwastraff gweddilliol	PD	Cychwyn trafodaethau (pellach) gyda pherchnogion tir y safleoedd ychwanegol a ddynodwyd fel rhai sydd o bosib yn addas ar gyfer lleoli cyfleusterau gyda'r amcan o sicrhau opsiynau/ penawdau'r telerau i'r safleoedd.	PD	5	2	10	Cyfredol	Tach-09

PS6	Oedi wrth sicrhau caniatâd cynllunio (safle cyfeirio dynodedig)	Methiant i gydymffurfio â LAS, costau cynyddol, effaith ar ddyfarnu Trwydded Amgylcheddol	3	3	9		Ymgysylltiad / ymgynghoriad cyfredol gyda'r Awdurdodau Cynllunio perthnasol a rhanddeiliaid/ ymgynghorai statudol eraill. Aseiad safle ac archwilio'r gwaith a wnaethpwyd gan y bartneriaeth.	PD	3	2	6	Cyfredol	Tach-09	Ar safle cyfeirio wedi ei ddynodi
PS7	Oedi wrth sicrhau caniatâd cynllunio (Prif safle a safle datrysiad ychwanegol )	Methiant i gydymffurfio â LAS, costau cynyddol, effaith ar ddyfarnu Trwydded Amgylcheddol	4	4	16		Ymgysylltiad/ ymgynghoriad cyfredol gydag awdurdodau cynllunio perthnasol a rhanddeiliaid/ ymgynghorwr statudol eraill. Aseiad safle ac archwilio gwaith a wnaethpwyd gan y bartneriaeth.	PD	3	3	9	Cyfredol	Tach-09	Prif safle a safle ychwanegol (safle ychwanegol heb ei ddynodi eto)
PS8	Oedi wrth sicrhau caniatâd cynllunio (prif safle cyfeirio datrysiad amgen- heb ddynodi)	Methiant i gydymffurfio â LAS, costau cynyddol, effaith ar ddyfarnu Trwydded Amgylcheddol	4	4	16		Dynodiad cynnar o brif safle amgen addas posib. Ymgysylltiad/ ymgynghoriad cyfredol gydag awdurdodau cynllunio perthnasol a rhanddeiliaid/ ymgynghorwr statudol eraill. Aseiad safle ac archwilio gwaith a wnaethpwyd gan y bartneriaeth.	PD	3	3	9	Cyfredol	Tach-09	Ar safleoedd cyfeirio heb eu dynodi
PS9	Mae gan y caniatâd cynllunio amodau beichus	Datrysiad is-optimaid, perfformiad yn is na'r lefel ofynnol, costau cynyddol	3	3	9		Ymgysylltiad/ ymgynghoriad cyfredol gydag awdurdodau cynllunio perthnasol a rhanddeiliaid/ ymgynghorwr statudol eraill. Aseiad safle ac archwilio gwaith a wnaethpwyd gan y bartneriaeth.	PD	3	2	6	Cyfredol	Tach-09	Risgiau'n berthnasol i bob safle yn cynnwys y rhai a gynigir gan y contractwr, nid safleoedd Awdurdod yn unig
PS10	Ni chafwyd caniatâd cynllunio hyd yn oed ar ôl apelio	Perfformiad gwyr o dan y lefel ofynnol, cosbau LAS gormodol, costau cynyddol	5	3	15		Proses gaffael i ddynodi cyflenwadwyedd risgiau cynigion contractwr, yn cynnwys tebygolrwydd canlyniad cynllunio llwyddiannus.	PD	5	2	10	Cyfredol	Tach-09	Risgiau'n berthnasol i bob safle yn cynnwys y rhai a gynigir gan y contractwr, nid safleoedd Awdurdod yn unig
PS11	Gwrthwynebiad cyhoeddus i ddatrysiad technegol/cais cynllunio yn cynnwys her gyfreithiol	Oedi i'r rhaglen cyflenwi prosiect, cosbau LAS gormodol, bygwth yr amlen fforddiadwyedd.	4	5	20		Cynllun rhanddeiliaid a chyfathrebu gweithredol.	PM	4	4	16	Cyfredol	Tach-09	Risgiau'n berthnasol i bob safle yn cynnwys y rhai a gynigwyd gan y Contractwr, nid safleoedd Awdurdod yn unig. Cyfleuster TGyY yn debygol iawn
PS12	Ni chafwyd y Drwydded Amgylcheddol yn unol â'r rhaglen prosiect	Costau datblygu'r prosiect yn uwch na'r disgwyl, oedi i'r prosiect, cosbau LAS gormodol	4	3	12		Proses gaffael i ddynodi cyflenwadwyedd risgiau cynigion contractwr, yn cynnwys tebygolrwydd canlyniad trwydded llwyddiannus.	PD	4	2	8	Cyfredol	Tach-09	Ymarfer technegol
PS13	Y cais cynllunio gan yr ymgeisydd llwyddiannus yn methu dangos y Dewis Amgylcheddol Ymarferol Gorau (BPEO)	Cais cynllunio aflwyddiannus	4	4	16	I ddynodi BPEO mewn Aseiad Cylch Bywyd (LCA) (Wizard) fel rhan o ddatblygiad OBC, ac i sicrhau defnyddio mesurau ategol i gyflenwi safleoedd a fframwaith werthuso i'r broses gaffael, a thrwy hynny gefnogi cyflenwad BPEO		PD	4	2	8	Cyfredol	Feb-10	Ymarfer technegol

Safleoedd



Safleoedd	Amodau'r safle nid fel y disgwylwyd	Oedi yn y rhaglen prosiect, costau LAS gormodol, prisiau Capex gormodol, bygythiad posib i fforddiadwyedd	3	3	9	Gofynnwyd i Ymgynghorwyr Technegol adolygu cyfyngiadau'r safle	PD	Rhoi cyfarwyddyd i Ymgynghorwyr Technegol gynnal astudiaethau archwilio safle ac EIA gysylltiedig cyn cychwyn caffael	PD	3	2	6	Cyfredol	Tach-09	Ar bob safle
Safleoedd	Safle unigol ddim ar gael ar gyfer cyfleuster gweddilliol	Ail-ddiffinio'r prosiect, oedi, costau, ayb.	5	3	15	Eisoes dynodwyd y safle datrasiad cyfeirio cychwynnol		Rhagor o waith dynodi safle i'w gynnal cyn ac yn cynnwys camau cynnar y broses gaffael	PD	5	2	10	Cyfredol	Tach-09	Ar safle cyfeirio wedi ei ddynodi
Safleoedd	Un neu fwy o'r safleoedd ddim ar gael ar gyfer rhai cyfleusterau gweddilliol	Ail-ddiffinio'r prosiect, oedi, costau, ayb.	4	3	12	Eisoes dynodwyd nifer o safleoedd posib.	PD	Angen gwaith asesu a chaffael posib.	PD	4	2	8	Cyfredol	Tach-09	Prif safle a safle ychwanegol
Safleoedd	Un neu fwy o'r safleoedd ddim ar gael ar gyfer rhai cyfleusterau TS	Costau anghymesur ar rai Awdurdodau Partner	4	3	12	Eisoes dynodwyd nifer o safleoedd posib.	PD	Angen gwaith asesu a chaffael posib.	PD	4	2	8	Cyfredol	Tach-09	Ar safleoedd cyfeirio heb eu dynodi
<b>Gwastraff</b>															
W1	Cyngor yn methu ei dargedau ailgylchu neu'n mynd drostynt yn sylweddol	Costau prosiect gormodol posib, bygythiad i fforddiadwyedd, cosbau LAS gormodol yn bosib os yw'r cyfleusterau dan eu maint.	2	3	6	Trafodaethau cychwynnol eisoes wedi eu cynnal ar y mecanwaith talu allweddol ac egwyddorion rhyng Awdurdod i ddisgrifio risg a sut y bydd costau'n cael eu dynodi ymhlith yr Awdurdodau Partner am dan-ddarpariaeth/ gor-ddarpariaeth tunelledd gwastraff o ganlyniad i berfformiad tan-ailgylchu/tan-gompostio a gor-ailgylchu /gor-gompostio yn erbyn proffiliau gwastraff cytunedig.	PD	Ymgysylltiedig a chyfathrebu cyfredol ag Awdurdodau Partner er mwyn deall gwasanaethau ailgylchu a chompostio gwastraff arfaethedig fel y gellir terfynu'r proffiliau tunelledd cyn cam ISDS y broses gaffael		2	2	4	Cyfredol	Tach-09	Cyngorau'n debygol o gyrraedd targedau ond gormodiant neu danberfformiad yn annhebygol
W2	Model llif gwastraff yn wallus oherwydd rhagdybiaethau anghywir	Ailymgeisio posib yn arwain at gostau prosiect cynyddol, oedi i'r prosiect, o bosib costau cydymffurfio gormodol LAS	3	3	9	Mae nifer o brofion sensitifwydd yn cael eu cynnal er mwyn deall effaith gwahanol ragdybiaethau.	PD	Sicrhau y gellir addasu'r llif gwastraff trwy gamau cynnar caffael (hyd at ISDS). Adeiladu "lle uwch ben" i mewn - yn nhermau uchafswm/isafswm tunelledd i'w gytuno â'r ymgeiswyr (gan ddibynnu ar eu datrasiad arfaethedig)	PD	3	2	6	Cyfredol	Tach-09	Model yn debygol iawn o fod â diffygion oherwydd yn delio gyda nifer o elfennau yn cynnwys cynhwysedd gwastraff a thunelledd. Materion Atodlen 2.

W3	Cynhwysiad gwastraff yn wahanol i'r hyn ddisgwyliwyd (data gwael, newid polisi, newid mewn arferion casglu)	Perfformiad o dan y lefel ofynnol, costau cydymffurfio gormodol LAS	3	5	15		Cynhwysedd gwastraff i'w fonitro yn ystod caffael a data i'w rannu yn y Ddeialog Gystadleuol er mwyn hysbysu datrysiad. Mae dadansoddiad Cynhwysedd Gwastraff Cymru gyfan yn cael ei gyflenwi gan LICC trwy WRAP. Gwaith cychwynnol yn dechrau Mehefin 09. Rhoddir prawf ar berfformiad y dechnoleg datrysiad a'i deall fel rhan o'r broses gaffael i ddynodi gallu pob datrysiad i brosesu gwastraff â chynhwysedd gwahanol.	PD	3	4	12	Cyfredol	Tach-09		Technoleg benodol. TGyY yn llai sensitif i newid cynhwysedd gwastraff.
W4	Newidiadau potensial yn niffiniad cyfreithiol y Gwastraff Soled nad yw'n Drefol (presennol) fel eu bod yn dod yn gyfrifoldeb i'r Awdurdodau partner	Efallai bydd rhaid cynnwys gwastraff ychwanegol yn y datrysiad	3	2	6	Tim Prosiect i barhau i fonitro Polisi LICC a Llywodraeth y DU	PD		3	2	6	Cyfredol	Chwef-10		
<b>Perfformiad</b>															
PE1	Marchnad/allfa ddim ar gael o allbynnau'r cyfleuster(au)	Costau gweithredu prosiect cynyddol. Cynnydd yn y galw am wagle tirlenwi	4	4	16		Sicrhau bod cyflenwadwyedd marchnad yn cael ei ddangos fel rhan o'r broses gwerthuso caffael.	PD	4	3	12	Cyfredol	Tach-09		Sŵn trydan, lludw yn ansicr. Prosiect a Marchnad yn ddibynnol ar dirlawnder
PE2	Mae'r dechnoleg a ddetholwyd yn methu perfformio i'r lefel ofynnol (annibynadwy neu berfformiad gwael)	Costau cydymffurfio gormodol LAS, Asiantaeth yr Amgylchedd yn cau'r cyfleuster, Contractwr yn methu, angen addasu'r datrysiad gan arwain at Capex uwch	3	3	9		Sicrhau record sydd wedi'i phrofi, prawf digonol ar brofiad gweithredu'r contractwr a bod cynigion y contractwr yn cael eu harchwilio'n fanwl a'u deall yn iawn.	PD	3	2	6	Cyfredol	Tach-09		Detholiad allanol naturiol contractwyr llai nad ydynt yn abl oherwydd fforddiadwyedd costau ymgeisio uchel.
<b>Contractwr</b>															
C1	Contractwr yn methu	Ail-gaffael a chostau ychwanegol	5	3	15		Sicrhau record profiad y contractwr, dealltwriaeth o gyflenwadwyedd y cynnig (ar ad daliad masnachol rhesymol i'r contractwr). Edrych ar y cynigion hynny gan y contractwr a ystyrir yn rhai sydd â phosiblwydd uchel posib o fethu cyflenwi, gan eu marcio'n unol hynny yn ôl y fframwaith gwerthuso	PD	5	2	10	Cyfredol	Tach-09		Newid mewn cynhwysedd gwastraff a galw yn debygol iawn. Angen hyblygrwydd i dunelledd a hyd contract ar gyfer rhybudd OG.

Allwedd  
PD

Cyfarwyddwr Prosiect

PM  
BD

Rheolwr Prosiect  
Barry Davies (Swyddog Monitro FCC)

**RHIF AR YR AGENDA: 5****PROSIECT TRIN GWASTRAFF GWEDDILLIOL GOGLEDD CYMRU****CYD-BWYLLGOR TRIN GWASTRAFF GWEDDILLIOL GOGLEDD CYMRU****Date : 18 Mehefin 2010****Cyfnod: 2 Mawrth i 11 Mehefin 2010****CRYNODEB O'R PROSIECT**

Caffael ateb rheoli gwastraff cynaliadwy ar gyfer y 5 awdurdod lleol yng Ngogledd Cymru (Conwy, Sir Ddinbych, Sir y Fflint, Gwynedd ac Ynys Môn) a fydd yn cynorthwyo gyda gostwng allyriadau nwyon tŷ gwydr o dirlenwi a lleihau'r tunelledd gwastraff gweddilliol a anfonir i dirlenwi gan a sicrhau bod yr awdurdodau yn osgoi cosbau methu cyflawni'r Cynllun Lwfans Tirlenwi ac yn cwrdd â thargedau'r Strategaeth Gwastraff Cenedlaethol.

**STATWS Y PROSIECT**

<b>Statws y Prosiect yn gyffredinol</b>	
Gwyrdd	Gynhaliwyd cyfarfod Panel Craffu ABA gyda LICC ar 12 Mai. Roedd SP a un cynrychiolydd o'r ymgynghorwyr technegol, ariannol a chyfreithiol yn bresennol. Derbyniwyd adborth gan LICC, ac o ganlyniad fe redwyd nifer o sensitifeddu ariannol ychwanegol. Disgwylir benderfyniad terfynol yng nghanol Mehefin yn dilyn cymeradwyaeth Gweinidogaethol, mewn amser i'r Cyd Bwyllgor ar 18 Mehefin. Mae paratodau ar gyfer y proses caffael wedi'i gychwyn, gyda'r holiadur cyn-gymhwyso wedi ei ddsbarthu am sylwadau, a sesiynau wedi ei gynnal gyda swyddogion technegol ar y manyleb.

<b>Statws y gyllideb</b>	
Gwyrdd	Mae'r Tîm Prosiect yn aros am gadarnhâd gan LICC ar arian ychwanegol "RCAF" cyn cadarnhau cost i bob awdurdod partner am 2009/10. Cyfanswm gwariant prosiect ar gyfer 2009/10 yw £405,927.81.



Statws	Ystyr
Gwyrdd	Nid oes unrhyw broblemau, mae popeth yn symyd ymlaen fel a gynllunwyd.
Ambr	Mae rhai mân broblemau. Mae angen gweithredu mewn rhai meysydd ond mae rhannau eraill yn datblygu'n foddhaol.
Coch	Mae yna broblemau sylweddol ac mae angen gweithred brys a phendant

**DIWEDDARIAD PROSIECT**– Gweithgareddau i'w gwblhau 2 Mawrth i 11 Mehefin 2010 (gyda rhai weithgareddau tu hwnt i'r dyddiadau yno).

ID	Gweithgaredd	Statws "RAG"	Sylwadau	Rhagolwg	Gwir ddyddiad
1	Mae'r gofyniad i, â'r dull i ddelio gyda'r angen posibl am gapasiti dros dro i drin gwastraff gweddilliol yn cael ei nodi fel rhan o ddatblygiad Achos Busnes Amlinellol.	Ambr	Trafodaethau wedi'i gynnal rhwng yr awdurdodau partner ar photensial i gydweithio ar gytundebau tirlenwi hyd at y byth cyflwuster(au) PTGGGC yn dod ar lein – tu allan o sgop y prosiect.	Rhagfyr 2009	Mehefin 2010
3	Cwblhau'r Cytundeb Rhyng Awdurdod	Gwyrdd	Disgwylir arwyddo hwn yn ystod yr wythnos yn dechrau 14 Mehefin 2010.	Ebrill 2010	Mehefin 2010
5	Cyfathrebu ac ymgysylltu â fydd-ddeiliad o amgylch safle Glannau Dyfrdwy	Ambr	Wedi mynychu cyfarfod Fforwm Sirol yn Sir y Fflint ar 17 Mawrth 2010. Cynhaliwyd sesiynau trafod anffurfiol ger Glannau Dyfrdwy ar 21, 22 a 23 Ebrill 2010	14/15 Rhagfyr 2009	Mawrth ac Ebrill 2010
7	Pwrcasu cefnogaeth cyfathrebu ar gyfer y prosiect.	Ambr	Tendrau wedi'i werthuso, a chymeradwyaeth y bwrdd prosiect wedi'i dderbyn ar 4 Mehefin i apwyntio. Adran Caffael Sir y Fflint i hysbysu y tendrwy i gyd.	Chwefror 2010	Mehefin 2010



# PTGGGC

Prosiect Trin Gwastraff Gweddilliol Gogledd Cymru

8	Arolwg barn ar draws y rhanbarth	Ambr	Canlyniadau wedi'i dderbyn a chynhaliwyd cyfarfod gyda swyddogion gwastraff a chyfathrebu. Datganiad i'r wasg wedi'i baratoi, yn barod i'w gyhoeddi ar yr adeg addas.	Ionawr 2010	Diwedd Mawrth 2010
10	Cwblhau'r fframwaith gwerthuso a'r manyleb safonol yn dilyn ymgynghori â fydd-ddeiliaid yn barod ar gyfer cymeradwyaeth y Cyd-Bwyllgor	Gwyrdd	Nodir bod yr amserlen arwyddol a ddangoswyd yn wreiddiol ac mae yn cael ei gadarnhau rwan.	Mai 2010	
11	Dogfennaeth caffael yn barod ar gyfer cymeradwyaeth y Cyd-Bwyllgor	Gwyrdd	Gweler eitem 7 ar yr agenda	Mai 2010	Cynnar Mehefin 2010
12	Diweddaru'r sefyllfa ar safleoedd a mynediad iddynt gan yr awdurdodau partner cyn cyflwyno'r Achos Busnes Amlinellol i Lywodraeth Cynulliad Cymru.	Gwyrdd	Bydd y tîm prosiect yn gweithio i gael mynediad i safleoedd hyd at ddechrau'r broses gaffael. Diweddariad llafar ar safleoedd yn ystod y cyfarfod.	12 Mawrth 2009	
13	Adolygiad "Gateway" WAG	Gwyrdd	Gweler eitem 6 ar yr agenda	Ebrill 2010	Ebrill 2010
14	Cyflwyno'r Achos Busnes Aminellol i Lywodraeth Cynulliad Cymru	Gwyrdd	Wedi'i gyflwyno i LICC ar amser ar 9 Ebrill.	9 Ebrill 2010	9 Ebrill 2010
15	Cymeradwyo'r Achos Busnes Amlinellol a'r Cytundeb Rhyng Awdurdod gan Llywodraeth Cynulliad Cymru	Gwyrdd	Disgwylir cymeradwyaeth Gweinidogaethol ar 15 Mehefin. Gweler eitem 8 ar yr agenda	10 Mai 2010	15 Mehefin 2010
16	Cyhoeddi hysbysebiad OJEU	Gwyrdd	Gweler eitem 7 ar yr agenda	21 Mehefin 2010	Gorffennaf
18	Cwblhau archwiliad iechyd cynllunio	Gwyrdd	Entec i weithredu. Fydd angen cwblhau erbyn cyflwyno'r Achos Busnes Amlinellol i Llywodraeth Cynulliad	Diwedd Chwefror 2010	Wedi'i cwblhau



# PTGGGC

Prosiect Trin Gwastraff Gweddilliol Gogledd Cymru

			Cymru		
19	Paratoi fframwaith gwerthuso cyn-gymhwyso	Gwyrdd	Drafft cyntaf wedi'i cwblhau	Diwedd Mai 2010	Diwedd Mai 2010
20	Paratoi holiadur cyn-gymhwyso	Gwyrdd	Drafft cyntaf wedi'i cwblhau	Diwedd Mai 2010	Diwedd Mai 2010
22	Paratoi drafft 1af of fframwaith gwerthuso a cytuno elfennau fyddai'n cael budd o mewnbwn gan fydd-ddeiliaid e.g. effaith gweledol, rheilffordd yn erbyn ffordd ayb	Gwyrdd	Sesiynau wedi'i cynnal gyda swyddogion technegol	Diwedd Mai 2010	Mai a Mehefin 2010
23	Darparu gweithdai ar y fframwaith gwerthuso gyda Aelodau pob awdurdod partner.	Gwyrdd	Sesiynau gyda Aelodau y pum awdurdod partner wedi'i drefnu a gwahoddiadau wedi'i yrru allan. Llythyr atgoffa i'w yrru allan wythnos yn cynwyn 14 Mehefin 2010. Ymgynghorwyr cyfathrebu newydd i hwyluso.	Diwedd Mai 2010	Gorffennaf 2010
24	Darparu gweithdai ar y fframwaith gwerthuso gyda fydd-ddeiliad allanol (e.e Cyfeillion y Ddaear ayb)	Gwyrdd	Bydd hyn yn cael ei arwain gan Entec a'r cynghorwyr cyfathrebu (hwyluso). SO i drefnu dyddiadau gyda'r ymgynhorwyr cyfathrebu newydd.	Diwedd Mai 2010	Gorffennaf / Awst 2010
25	Paratoi model llif gwastraff ar gyfer ymgeiswyr	Gwyrdd	Entec i gynnal y gwaith hwn wrth ddefnyddio'r data diweddaraf gwastraff outturns ar y cyd â'r swyddogion technegol.	Mehefin 2010	Mehefin 2010
26	Paratoi cynlluniau, trwyddedau ayb cyfleusterau presennol. Cadarnhad o wybodaeth teitl a hawddfrentiau /	Gwyrdd	Mae Entec wedi dechrau'r gwaith yma gyda'r awdurdodau partner.	Diwedd Gorffennaf 2010	



	cyfyngiadau				
27	Casglu gwybodaeth yn nodi gofynion safleoedd penodol a gwaith ychwanegol fydd ei angen	Gwyrdd	Mae Entec wedi dechrau'r gwaith yma gyda'r awdurdodau partner.	24 Medi 10	
28	Trefnu diwrnod ymgeiswyr ar gyfer 25 Mehefin 2010	Gwyrdd	Diwrnod ymgeiswyr wedi ei rhoi yn y dyddiadur ar gyfer 16 Awst 2010.	Dechrau Mehefin 2010	16 Awst 2010
29	Comisiynu a derbyn canlyniad astudiaeth ddichonoldeb rheilffordd	Gwyrdd	Drafft gweithiol wedi'i dderbyn, a SP wedi rhoi adborth ar hwn. Disgwylir yr astudiaeth diwedd Mehefin 2010.	Mawrth 2010	
30	Comisiynu astudiaethau daearyddol technegol ac Ecolegol, Aseiad Cychwynol Effaith Ansawdd Aer, ac astudiaeth galwad gwres ar gyfer safle Glannau Dyfrdwy	Gwyrdd	SP wedi gofyn am cymeradwyaeth y Bwrdd Prosiect ar 4 Mehefin 2010 i gommisiynu'r astudiaethau. Derbyniwyd y cymeradwyaeth fel a ofynwyd.	Medi 2010	
31	Comisiynu gwaith i liniaru risg cynllunio o ganlyniad Dewis Amgylcheddol Ymarferol Gorau (DAYG) fod yn weithredol yng Nghymru.	Gwyrdd	Rhodddwyd SP adroddiad o flaen y Bwrdd Prosiect yn gofyn am ganiatad i gommisiynu gwaith i liniaru risg cynllunio. Y gwaith yma yw diweddarau yr Aseiad Opsiynau gyda'r model newydd WRATE2 (WRATE oedd y model blaenorol). Yn ail yw i gario allan Aseiad Strategol Amgylcheddol ar y gwaith dewis safleoedd, astudiaeth ddichonoldeb rheilffordd, Cynllun Gwastraff Rhanbarthol Gogledd Cymru a'r gwaith ymgynghori presennol.		





**PTGGGC**

Prosiect Trin Gwastraff Gweddilliol Gogledd Cymru

**RISGIAU ALLWEDDOL – Gweler eitem 4 ar yr agenda**

**EITEM AGENDA RHIF 6****ADRODDIAD I'R :**                    **CYD BWYLLGOR****DYDDIAD :**                        **18 Mehefin 2010****ADRODDIAD GAN :**                **CYFARWYDDWR PROSIECT****PWNC :**                                **CANLYNIAD ADOLYGIAD GATEWAY****1.00 PWRPAS YR ADRODDIAD**

1.01 I ddiweddarau'r Cyd Bwyllgor ar ganlyniad Adolygiad Gateway ac i geisio cytundeb i ymdrin ag argymhellion yr adroddiad.

**2.00 CEFNDIR**

2.01 Ar gyfer pob prosiect sylweddol fel yr NWRWTP mae'n ddefnyddiol cynnal archwiliad a dilysu allanol, er mwyn sicrhau bod y prosiect yn debygol o lwyddo ac i ddynodi gweithrediadau cywirol sydd o bosib eu hangen. Cyhoeddodd isadran Swyddfa Rhaglen Caffael Gwastraff (WPPO) yn LICC y Gyfundrefn Sicrhau Ansawdd y maent yn disgwyl i bob prosiect triniaeth gwastraff gweddilliol yng Nghymru gydymffurfio â hi. Mae'r camau hyn yn cynnwys cymeradwyo'r ABA, gwiriad iechyd cyn gwahodd datrysiadau manwl, gwiriad iechyd cyn penodi'r cynigydd a ffefrir, a chadarnhau'r FBC. Fel yr adran sy'n enwebu o fewn LICC, mae WPPO hefyd wedi gofyn i NWRWTP fod yn destun Adolygiad Gateway a fyddai ar gael i LICC, ac y cymerir i ystyriaeth ganddynt wrth iddynt ystyried yr ABA. Cytunwyd ar hyn a chynhaliwyd yr Adolygiad Gateway yn y cyfnod 19 - 22 Ebrill 2010.

**3.00 YSTYRIAETHAU****Adolygiad Gateway**

3.01 Gweler ynghlwm gopi llawn o adroddiad Adolygiad Gateway, os gwelwch yn dda.

3.02 Yn gryno, graddiwyd y prosiect gan y tîm adolygu fel Ambr/ Gwyrdd. Diffinnir hwn yn yr adroddiad fel "Ymddengys bod cyflenwad llwyddiannus yn debygol; fodd bynnag, bydd angen sylw cyson i sicrhau nad yw risgiau'n troi'n faterion sylweddol a fydd yn bygwth cyflenwi". Mae'r asesiad hyder cyflenwi'n cyrraedd barn gyffredinol bod y "Prosiect ar hyn o bryd mewn sefyllfa dda i lwyddo".



3.03 Yn yr arddodiad, mae'r tîm adolygu yn gwneud nifer o argymhellion. Gweler y Tabl argymhellion isod, ynghyd â'r gweithredu arfaethedig i ymdrin â'r argymhellion.

<b>Rhif cyf.</b>	<b>Argymhelliad</b>	<b>Critigol/ Hanfodol/ Argymhellir</b>	<b>Gweithredu arfaethedig i ymdrin â phryderon/ argymhellion</b>	<b>Gweithredu gan bwy</b>
1.	Bod y Bartneriaeth, o bosib mewn cysylltiad â Wrecsam, yn datblygu, ymgynghori a mabwysiadu strategaeth i'r rhanbarth.	Hanfodol O fewn 6 mis	Gweler y sylw manwl yn adrannau 3.04 i 3.10 isod.	
2.	Y dylai'r Tîm prosiect ddatblygu cynllun prosiect wrth gefn sy'n darparu ar gyfer materion/oedi a all godi yn ystod y broses gynllunio.	Critigol	Mae'r Tîm prosiect eisoes wedi rhoi amserlen wrth gefn ychwanegol yn y cynllun prosiect	SP/SO
3.	Y dylai'r Tîm prosiect ddatblygu cynllun ar gyfer deialog sy'n cwmpasu strwythurau trefniadol, rolau/ cyfrifoldebau ac awdurdodau dirprwyedig. Dylai hyn hefyd gynnwys mecanweithiau priodol a phrotocolau ar gyfer cyfathrebu ac adrodd.	Hanfodol O fewn 3 mis	Mae'r tîm prosiect wedi cychwyn cynllunio'r broses gaffael i gynnwys y tîm gwerthuso, tîm negodi a phrotocolau cyfathrebu. Adroddir ar hyn i gyfarfod Medi y Cyd Bwyllgor hwn.	SP/SO
4.	Bod y sgiliau, profiad a gofynion adnoddau ar gyfer y cam caffael o'r Prosiect yn cael eu dynodi (i'r Bartneriaeth a phob Awdurdod Lleol unigol) a'u rhoi yn eu lle cyn i rybudd yr OJEU gael ei gyhoeddi a'i ailasesu ar gamau allweddol y Prosiect.	Hanfodol O fewn 3 mis	Bydd y tîm prosiect yn paratoi (fel yn y cam ABA) ac yn cyhoeddi cynllunydd adnoddau (ac asesiad anghenion hyfforddiant) a fydd yn dynodi'r camau allweddol y caffael, gydag amserlen gysylltiedig a mewnbynnau adnoddau disgwylidiedig.	SP/SO



			Adroddir ar hyn i gyfarfod Medi y Cyd Bwyllgor hwn.	
5.	Bydd angen cynnal ymrwymiad uwch/arweiniol i sicrhau bod digon o amser ac ynni'n cael ei briodoli i'r Prosiect.	Parhaus	Prif Weithredwr Arweiniol i sicrhau ei fod yn parhau i fod "ar yr agenda" gan holl awdurdodau partner CExs  Cynrychiolwyr Bwrdd Prosiect i sicrhau yr adroddir yn rheolaidd ar y prosiect yn eu hawdurdod.	CE  Cynrychiolydd Bwrdd Prosiect
6.	Bod y cynllun rheolaeth rhanddeiliaid yn cael ei gwblhau, ei gymeradwyo gan y Bartneriaeth, a'i weithredu. Dylai gynnwys cyfathrebu parhaus gyda'r farchnad.	Critigol	Adolygir a diweddarir y Cynllun Cyfathrebu gan yr ymgynghorydd cyfathrebu ac ymglymu allanol sy'n dod i mewn, fel tasg brydlon. Bydd hyn yn dod i'r Bwrdd Prosiect hwn a'r Cyd Bwyllgor am gymeradwyaeth	SO

**3.04 Sylw penodol ar argymhelliad 1 (Bod y Bartneriaeth o bosib mewn cysylltiad â Wrecsam yn datblygu, ymgynghori a mabwysiadu strategaeth i'r rhanbarth).**

3.05 Yng Nghymru mae Cynlluniau Gwastraff Rhanbarthol yn gosod allan y fframwaith cyffredinol i'r dull strategol gwastraff (Cynllun Gwastraff Rhanbarthol Gogledd Cymru sy'n berthnasol i ardal y Bartneriaeth). Wedi ei gynhyrchu gan Grŵp Gwastraff Rhanbarthol Gogledd Cymru, mae'r Cynllun Gwastraff Rhanbarthol yn ddogfen anstatudol y bwriedir iddi ddarparu fframwaith cynllunio defnydd tir strategol ar gyfer Cynlluniau Datblygu Lleol a Rheolaeth Ddatblygu er mwyn galluogi rheolaeth gynaliadwy o wastraff ac adennill adnoddau yng Ngogledd Cymru. Mae'r ddogfen yn datblygu a gweithredu Nodyn Cyngor Technegol (TAN) 21 Gwastraff (2001) ac mae'n ystyriaeth berthnasol yn y broses gynllunio. Bu'r cynllun hwn yn destun i ymgynghoriad cyhoeddus ac mae wedi ei fabwysiadu gan yr holl awdurdodau partner. Dealltwriaeth y Cyfarwyddwr Prosiect yw bod argymhelliad Adolygiad



Gateway yn cael ei yrru gan farn yr asesydd, y gall Strategaeth Rheoli Gwastraff drefol ar y cyd leihau risg cynllunio ac felly gynyddu'r tebygolrwydd o gyflenwad llwyddiannus o'r prosiect. Dylid nodi bod y mwyafrif o Adolygiadau Gateways ar brosiectau triniaeth gwastraff gweddilliol hyd yn hyn wedi bod ar brosiectau yn Lloegr, ble mae Strategaethau Rheoli Gwastraff Trefol yn ofyniad statudol – nid yw hynny'n wir yng Nghymru. Mae'r adolygwyr yn gywir y gallai cyd-destun polisi cyson sy'n gefnogol i'r prosiect gynorthwyo i liniaru rhai agweddau ar y risg cynllunio.

## Awdurdod partner Strategaethau Rheoli Gwastraff Trefol

- 3.06 Yn ychwanegol at Gynllun Gwastraff Rhanbarthol Gogledd Cymru, mae gan bob Awdurdod partner Strategaeth Rheoli Gwastraff (Trefol) presennol. Roedd y tîm prosiect a'i ymgynghorwyr eisoes wedi dynodi bod y rhain angen eu hadolygu a'u diweddarau. Nodir y farn hon yn yr ABA a'r ddogfen gwiriad iechyd cynllunio cysylltiedig a anfonwyd at LICC. Y ffordd o symud ymlaen a awgrymir yn yr ABA yw bod pob awdurdod partner yn adolygu ei Strategaeth Rheoli Gwastraff unwaith y bo LICC wedi cyhoeddi y fersiwn derfynol o'r Strategaeth Wastraff Genedlaethol a bod y "Cynllun Sector Trefol" cysylltiedig hefyd wedi ei gyhoeddi.
- 3.07 Ar y pwynt hwn, efallai y bydd nifer o ddewisiadau ar gael i bob awdurdod partner, i:-
- Adolygu a diweddarau eu Strategaeth Rheoli Gwastraff unigol i sicrhau ei fod yn ymdrin â'r Strategaeth Wastraff Genedlaethol a'r Cynllun Sector Trefol newydd ac felly'n adlewyrchu'n fwy clos ddull y bartneriaeth;
  - Tynnu'n ôl y Strategaeth Rheoli Gwastraff bresennol os nad yw'n berthnasol bellach (nid oes gorfodaeth statudol i gael un)
  - Adleoli'r Strategaeth Rheoli Gwastraff bresennol gyda chynllun gweithredu sy'n cynnwys dull y bartneriaeth o reoli gwastraff gweddilliol.
- 3.08 Byddai angen i unrhyw adolygiadau neu newidiadau o'r fath i'r Strategaethau Rheoli Gwastraff presennol fod wedi'u cwblhau cyn cyflwyno unrhyw geisiadau cynllunio ar gyfer y prosiect hwn (dyddiad targed Medi 2012). Felly mae amser i gytuno ar ddull cyffredinol.

## Cyfle am ddull ar y cyd

- 3.09 Efallai'n wir bod peth diddordeb ymhlith yr awdurdodau partner i ddatblygu dull bartneriaeth ehangach (nid ar gyfer darparu gwasanaethau triniaeth gwastraff gweddilliol yn unig), fel mae'n ymddangos bod Adolygiad Gateway yn ei awgrymu. Fodd bynnag byddai angen i hyn gynnwys dull ar y cyd ar gyfer yr holl wasanaethau "pen blaen" fel gwasanaethau lleihau gwastraff, aildddefnydd, ailgylchu a chompostio. Mae hyn tu allan i sgôp y Prosiect NWRWTP a'r trefniadau llywodraethu presennol. Fodd bynnag mae'r tîm prosiect yn



deall mai'r Prif Weithredwr Arweiniol ar gyfer y prosiect hwn yw swyddog arweiniol Bwrdd Rhaglen Amgylchedd Gogledd Cymru sydd newydd ei greu, ac felly gall cyfleoedd godi i ddatblygu gweithio mewn partneriaeth ar draws amrediad eang o wasanaethau gwastraff.

- 3.10 Argymhellir cynnal rhagor o drafodaethau pan fo ffurf derfynol y Strategaeth Wastraff Genedlaethol a'r Cynlluniau Sector Trefol yn hysbys (disgwylir Mehefin/ Gorffennaf 2010).

## **ARGYMHELLION**

- 4.01 I gymeradwyo'r gweithredu arfaethedig i ymdrin â'r argymhellion fel a gafwyd yn Adolygiad Gateway.

### **5.00 GOBLYGIADAU ARIANNOL**

- 5.01 Dim

### **6.00 EFFAITH GWRTH DLODI**

- 6.01 Dim

### **7.00 EFFAITH AMGYLCHEDDOL**

- 7.01 Dim

### **8.00 EFFAITH CYFARTALED**

- 8.01 Dim

### **9.00 GOBLYGIADAU PERSONEL**

- 9.01 Dim

### **10.00 YMGYNGHORIAD SYDD EI ANGEN**

- 10.01 Dim

### **11.00 YMGYNGHORIAD A WNAETHPWYD**

## **DOGFENNAU CEFNDIR**

## **DEDDF LLYWODRAETH LEOL (MYNEDIAD AT WYBODAETH) 1985**



**PTGGGC**

Prosiect Trin Gwastraff Gweddilliol Gogledd Cymru

Swyddog Cyswllt : Stephen Penny  
Ffôn : (01352) 704914  
E-bost : [Stephen.penny@flintshire.gov.uk](mailto:Stephen.penny@flintshire.gov.uk)

**OGC Gateway™ Review 1: Business justification**  
**Project Title: North Wales Residual Waste Treatment Project**  
**OGC Gateway™ ID: VW/10/03/G**  
**Privacy Marking: UNCLASSIFIED**

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**OGC Gateway™ Process**  
**Review 1: Business justification**

**Version number:** Draft 0.1

**Date of issue to SRO:** 22 April 2010

**SRO:** Colin Everett

**Department:** Environment

**Authority:** Flintshire Council on behalf of the North Wales Residual Waste Treatment Partnership

**OGC Gateway™ Review dates:** 19 - 22 April 2010

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**OGC Gateway™ Review Team Leader:**  
Tracey Lee

**OGC Gateway™ Review Team Members:**  
Tom Booty  
Bernard Warr



## OGC Gateway™ Review 1: Business justification

**Project Title: North Wales Residual Waste Treatment Project**

**OGC Gateway™ ID: VW/10/03/G**

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### OGC Gateway Delivery Confidence Assessment

<u>Delivery Confidence Assessment</u>	<u>Amber/Green</u>
<p>The Review Team finds that the Project is fundamentally well-managed. The Partnership has invested in a professional team who are experienced, motivated and skilled. The Project has very well developed documentation and robust governance arrangements.</p> <p>There is enthusiasm and commitment to the Project at both officer and councillor level. There is currently adequate staffing capacity. Stakeholder engagement is recognised as being a key task and will begin formally shortly.</p> <p>There is a pride in the project and a genuine passion for future collaboration across North Wales.</p> <p>The Outline Business Case (OBC) has been submitted to the Welsh Assembly Government (WAG) and it is expected that a response will be received in mid May. It is clear that significant effort went into the development of the OBC by officers, councillors and external advisors.</p> <p>On the assumption that the OBC will be approved, the Project Team now needs to prepare to enter the very challenging procurement phase that will require a range of different skill sets, and continued robust governance arrangements able to deliver timely decisions.</p> <p>The Project is currently well placed to succeed.</p>	

The Delivery Confidence assessment RAG status should use the definitions below.

<u>RAG</u>	<u>Criteria Description</u>
Green	Successful delivery of the project/programme to time, cost and quality appears highly likely and there are no major outstanding issues that at this stage appear to threaten delivery significantly
Amber/Green	Successful delivery appears probable however constant attention will be needed to ensure risks do not materialise into major issues threatening delivery
Amber	Successful delivery appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and if addressed promptly, should not present a cost/schedule overrun
Amber/Red	Successful delivery of the project/programme is in doubt with major risks or issues apparent in a number of key areas. Urgent action is needed to ensure these are addressed, and whether resolution is feasible
Red	Successful delivery of the project/programme appears to be unachievable. There are major issues on project/programme definition, schedule, budget required quality or benefits delivery, which at this stage do not appear to be manageable or resolvable. The project/programme may need re-baselining and/or overall viability re-assessed

## OGC Gateway™ Review 1: Business justification

Project Title: North Wales Residual Waste Treatment Project

OGC Gateway™ ID: VW/10/03/G

Privacy Marking: UNCLASSIFIED

### Summary of Report Recommendations

The Review Team makes the following recommendations which are prioritised using the definitions below.

Ref. No.	Recommendation	Critical/ Essential/ Recommended
1.	<b>That the Partnership possibly in conjunction with Wrexham develops, consults on and adopts a strategy for the region.</b>	Essential Within 6 months
2.	<b>That the Project Team should develop a contingent project plan providing for potential issues/delays which may arise through the planning process.</b>	Critical
3.	<b>That the Project Team should develop a plan for dialogue encompassing organisational structures, roles/responsibilities and delegated authorities. This should also include appropriate mechanisms and protocols for communication and reporting.</b>	Essential Within 3 months
4.	<b>That the skill, experience and resource requirements for the procurement phase of the Project are identified (for both the Partnership and each individual Local Authority) and put in place before the OJEU Notice is publicised and reassessed at key stages of the Project.</b>	Essential Within 3 months
5.	<b>Senior/leadership commitment will need to be maintained to ensure that sufficient time and energy is dedicated to this Project.</b>	Ongoing
6.	<b>That the stakeholder management plan is completed, approved by the Partnership and implemented. It should include continued communication with the market.</b>	Critical

**Critical (Do Now)** – To increase the likelihood of a successful outcome it is of the greatest importance that the programme/project should take action immediately

**Essential (Do By)** – To increase the likelihood of a successful outcome the programme/project should take action in the near future. [Note to review teams – whenever possible Essential recommendations should be linked to project milestones e.g. before contract signature and/or a specified timeframe e.g. within the next three months.]

**Recommended** – The programme/project should benefit from the uptake of this recommendation. [Note to review teams – if possible Recommended recommendations should be linked to project milestones e.g. before contract signature and/or a specified timeframe e.g. within the next three months.]

## **OGC Gateway™ Review 1: Business justification**

**Project Title: North Wales Residual Waste Treatment Project**

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### **Background**

#### **The aims of the project:**

To procure a sustainable waste management solution for five Local Authorities in North Wales (Conwy, Denbighshire, Flintshire, Gwynedd and Isle of Anglesey) that will assist with the reduction in greenhouse gas emissions from landfill and will minimise the tonnage of waste residue sent to landfill thus ensuring that the authorities avoid Landfill Allowance Scheme (LAS) infringement penalties and meet National Waste Strategy targets.

#### **The driving force for the project:**

The driving force for the project is the EU Landfill Directive and in turn the Landfill Allowance Scheme, the Landfill Tax regime and the available landfill capacity.

#### **The procurement/delivery status:**

The Outline Business Case (OBC) for the joint procurement has been submitted to the Welsh Assembly Government (WAG) for approval and (should the OBC be approved) the publication of the OJEU notice is expected during the Summer.

#### **Current position regarding OGC Gateway™ Reviews:**

This is the first review of the Project.

### **Purpose and conduct of the OGC Gateway™ Review**

#### **Purpose of the OGC Gateway™ Review**

The primary purpose of an OGC Gateway Review 1: Business Justification is to confirm that the Strategic Outline Business Case is robust – that is, in principle it meets business need, is affordable, achievable with appropriate options explored and likely to achieve value for money.

Appendix A gives the full purposes statement for an OGC Gateway Review 1.

#### **Conduct of the OGC Gateway™ Review**

This OGC Gateway Review 1 was carried out from 19 April 2010 to 22 April 2010 at the Technium Optic Centre, St Asaph, Denbighshire, LL17 OJD and at County Hall, Mold, Flintshire, CH7 6NB. The team members are listed on the front cover.

The people interviewed are listed in Appendix B.

The Review Team would like to thank the North Wales Residual Waste Treatment Project (NWRWTP) Team for their support and openness, which contributed to the Review Team's understanding of the Project and the outcome of this Review. The Review Team would particularly like to thank the Project Manager Steffan Owen for the compilation and provision of extensive background material and for organising the logistics for the review.

## OGC Gateway™ Review 1: Business justification

Project Title: North Wales Residual Waste Treatment Project

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### **Findings and recommendations**

#### **1: Policy and business context**

The Review Team found that the Project fits well with National policies, in particular the EU Landfill Directive. However, the Review Team noted that there was no joint waste strategy for North Wales.

#### **Recommendation:**

**That the Partnership, possibly in conjunction with Wrexham develops, consults on and adopts a strategy for the region.**

There was a high level of understanding of the strategic context and policy drivers for the Project. This was evident at officer level, and the Review Team were particularly impressed by the excellent understanding of the wider strategic context at Councillor level. This understanding has clearly led to a high level of ownership and enthusiasm for the project across all the constituent local authority partners. Despite differences in the structures, political make-up and location of the partner authorities, each is unequivocally committed to the Project.

The security of WAG's ongoing financial commitment, and the potential vulnerability of the Project to a change in waste strategy at National level, was a persistent concern, although the Review Team were satisfied that all reasonable measures were being taken to manage this risk. Indeed WAG are due credit for establishing clear requirements and guidelines for the project and communicating them effectively. This has enabled the Project to be developed with a clear focus and shared understanding of the desired outcomes, and has galvanised collaborative working between the authorities.

Another common concern was the Project's potential vulnerability to wider market conditions, such as the reliance on private finance in the current market, and the constant risk around the affordability of the project if gate fees increase as landfill options reduce. Again, it was felt that the risk exposure in this area was being well managed, and the Project Teams efforts to "future-proof" the project by considering potential threats to affordability such as increases in fuel costs and possible road pricing are to be commended.

## **OGC Gateway™ Review 1: Business justification**

**Project Title: North Wales Residual Waste Treatment Project**

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### **2: Business Case and stakeholders**

The OBC has been developed by the Partnership and after receiving formal approval from each of the five partner Local Authorities was submitted to WAG earlier this month. The OBC accurately and concisely sets out the business need for this project. A facility serving a broader regional area was considered but found to be impractical.

In parallel with the development of the OBC the partners have been developing an Inter Authority Agreement (IAA) and this is now in the process of being individually approved by each partner. This is scheduled to be completed by the end of April 2010 although this represents some challenge. However, notwithstanding this, the process to get the OBC and the IAA approved by all five partners has demonstrated an overall commitment to the joint approach and sharing of risk. The adoption of the universal gate fee concept is seen as an example of good partnership working.

Waste flow and financial modelling have been carried out by the advisors with appropriate officer challenge.

Affordability models have been produced for each of the partner Authorities and there is strong commitment from all to providing the necessary funding for the Project and its ongoing revenue cost. The impact of “doing nothing” has been assessed against the cost of the reference project and it is apparent that each Authority is comfortable that the proposals represent the most viable solution.

A draft stakeholder management plan is being developed and it is intended that all the partner authorities will input to and approve this. The Local Authorities understand the importance of good communications in particular where associated with potential sites.

## **OGC Gateway™ Review 1: Business justification**

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### **3: Risk management**

The Review Team observed a robust risk management regime within the Project. There is a clear allocation of risks to senior officers and a systematic approach to the assessment of dependencies and application of mitigation and escalation procedures.

As the Project moves into the procurement stage the management of the risk matrix will become very important to the success of the Project. A key risk underpinning the Project is in relation to the commitment of funding from WAG, particularly with the Environment Minister, a key driver behind the funding, standing down in the next election. This is particularly pertinent given the current financial and economic situation. The Project Team are aware that ongoing engagement with WAG will be vital.

There are also a range of potential issues that the Partnership is aware of, including but not limited to, the retention of key officers leading the procurement, market interest, site selection, possible planning challenge/delays, successful procedural challenge in relation to the procurement process, and the commitment of sufficient and adequate resources throughout the life of the Project. The Partnership is conscious of these issues and the risk register reflects that awareness with a suitable mitigation plan.

There is currently an excellent risk interface between the Partnership and WAG. The Review Team understands that the Project risk register is communicated to WAG on a six-monthly basis to ensure that individual project risks are noted and escalated when necessary at a Programme level.

## **OGC Gateway™ Review 1: Business justification**

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### **4: Readiness for next phase – Delivery strategy**

The current Project Team has moved the Project forward significantly over the past year, with particular credit due to the Project Director and Project Manager who appear to work as a cohesive team driving the Project forward. There is an overall view that the Partnership is working well as a collaborative team. Attendance and involvement at the Joint Committee meetings and Project Team meetings is well proportioned across the Partnership and effective governance exists both in substance and form.

A project plan is in place which is recognised as challenging but the Project Team are confident that they can deliver in line with the specified milestones. There is the risk of delays to the planning process such as the requirement for an enquiry. The implications of delays do not appear to be reflected in the project plan.

#### **Recommendation:**

**That the Project Team should develop a contingent project plan providing for potential issues/delays which may arise through the planning process.**

Experienced legal, technical and financial advisors have been successfully procured to support the Project, with additional marketing resources being procured at present. The Review Team notes that the current lack of a dedicated finance officer to the Project is currently being addressed. The working relationships to date between the five Local Authorities and each core discipline have been effective, including appropriate challenge by officers of external advisors.

As the Project moves forward towards procurement it will be essential that the Project Team is properly organised and structured to deliver an effective competitive dialogue. The Office of Government Commerce provides suitable guidance on this process.

It will be important that clear reporting structures are established to ensure that the officers within each discipline understand and communicate matters of importance back to their respective authorities. This will be particularly true in the case of key decisions such as selection of preferred bidder.

#### **Recommendation:**

**That the Project Team should develop a plan for dialogue encompassing organisational structures, roles/responsibilities and delegated authorities. This should also include appropriate mechanisms and protocols for communication and reporting.**

The Project is scheduled to publicise the OJEU notice (provided the OBC is approved) in June 2010. As the Project moves forward into the critical procurement phase, it will be important that sufficient resources are made available to the Project and that the various disciplines receive appropriate training and development to manage responsibilities. A resource plan should be based on a detailed programme of activities for the competitive dialogue, which should include dialogue meetings and all key milestones.

#### **Recommendation:**

**That the skill, experience and resource requirements for the procurement phase of the Project are identified (for both the Partnership and each individual Local Authority)**

## **OGC Gateway™ Review 1: Business justification**

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**and put in place before the OJEU Notice is publicised and reassessed at key stages of the Project.**

It is recognised that this Project is a key priority to the Partnership and each Local Authority at an individual level. Furthermore, this Project can be described as an example of effective collaboration across the five Local Authorities and that future joint working is highly likely to be based on the successful model of the Partnership. It will be important, as the Project moves forward, that senior/leadership commitment to the Project is maintained, particularly as competing priorities (on other collaborative projects) arise.

### **Recommendation:**

**Senior/leadership commitment will need to be maintained to ensure that sufficient time and energy is dedicated to this Project.**

An important aspect of the procurement will be in creating and maintaining the interest of the market in the Project. There are already a number of competing schemes in the market and appropriate communication and stakeholder management will be very important to keep bidders committed. It is understood that a Stakeholder Management Plan is currently being drafted by a joint working group of marketing representatives across the Partnership and it is important that this is approved and implemented. As part of this, a factsheet to enable all stakeholders to reference when answering questions about the project would be beneficial to creating a unified approach.

### **Recommendation(s):**

**That the stakeholder management plan is completed, approved by the Partnership and implemented. It should include continued communication with the market.**

**The next OGC Gateway™ Review is expected at the preferred bidder stage in early 2012. We would expect this to be a Gateway 3 – Investment Decision.**



## **OGC Gateway™ Review 1: Business justification**

**Project Title: North Wales Residual Waste Treatment Project**

**OGC Gateway™ ID: VW/10/03/G**

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### **APPENDIX A**

#### **Purposes of the OGC Gateway™ Review 1: Business justification**

- Confirm that the Business Case is robust – that is, in principle it meets business need, is affordable, achievable, with appropriate options explored and likely to achieve value for money.
- Confirm that appropriate expert advice has been obtained as necessary to identify and/or analyse potential options.
- Establish that the feasibility study has been completed satisfactorily and that there is a preferred way forward, developed in dialogue with the market where appropriate.
- Confirm that the market's likely interest has been considered.
- Ensure that there is internal and external authority, if required, and support for the project.
- Ensure that the major risks have been identified and outline risk management plans have been developed.
- Establish that the project is likely to deliver its business goals and that it supports wider business change, where applicable.
- Confirm that the scope and requirements specifications are realistic, clear and unambiguous.
- Ensure that the full scale, intended outcomes, timescales and impact of relevant external issues have been considered.
- Ensure that the desired benefits have been clearly identified at a high level, together with measures of success and a measurement approach.
- Ensure that there are plans for the next stage.
- Confirm planning assumptions and that the project team can deliver the next stage.
- Confirm that overarching and internal business and technical strategies have been taken into account.
- Establish that quality plans for the project and its deliverables are in place.
- Confirm that the project is still aligned with the objectives and deliverables of the programme and/or the organisational business strategy to which it contributes, if appropriate.

## OGC Gateway™ Review 1: Business justification

Project Title: North Wales Residual Waste Treatment Project

OGC Gateway™ ID: VW/10/03/G

Privacy Marking: UNCLASSIFIED

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### APPENDIX B

#### Interviewees

NAME	FROM	ROLE
Colin Everett	NWRWTP	SRO, Chief Executive
Stephen Penny	NWRWTP	Project Director (Environment Directorate, Flintshire CC)
Steffan Owen	NWRWTP	Project Manager ((Environment Directorate, Flintshire CC)
Carl Longland	NWRWTP	Director for Environment, Flintshire CC
*Jonathon Bebb	Entec	Technical Advisor
Councillor Eryl Williams	NWRWTP	Denbighshire CC
*Huw Roberts	PUK	Transactor
*Tal Maynard (on behalf of Dawn Brace)	WAG	Head of Waste Programme
*Mike Read	Grant Thornton	Financial Advisor
Dilwyn Owen Williams	NWRWTP	Corporate Director, Gwynedd
Andrew Kirkham	NWRWTP	Head of Finance, Conwy
Kerry Feather	NWRWTP	Head of Finance, Flintshire
Barry Davies (supported by Louise Pedreschi)	NWRWTP	Head of Legal, Flintshire
Councillor Nancy Matthews	NWRWTP	Flintshire CC
*Neil Tindall	Pinsents Masons	Legal Advisor
Meirion Edwards	NWRWTP	Chief Waste Management Officer, Anglesey

\* Telephone interview



**PTGGGC**

Prosiect Trin Gwastraff Gweddilliol Gogledd Cymru

**EITEM AGENDA RHIF 7**

**ADRODDIAD I'R :** **CYD BWYLLGOR GWASTRAFF GWEDDILLIOL GOGLEDD CYMRU**

**DYDDIAD :** **18 Mehefin 2010**

**ADRODDIAD GAN :** **CYFARWYDDWR PROSIECT**

**SUBJECT:** **RHYBUDD OJEU A DOGFENNAETH CYN GYMHWYSO**

**1. PWRPAS YR ADRODDIAD**

1.1. Gofynnir i aelodau Cyd Bwyllgor NWRWTP gymeradwyo'r rhybudd OJEU a'r Ddogfennaeth cyn gymhwyso a ddefnyddir i gychwyn y broses gaffael.

**2. CEFNDIR**

2.1. Mae angen rhybudd OJEU (Cylchgrawn Swyddogol yr Undeb Ewropeaidd) i gychwyn caffael y prosiect NWRWTP. Yn ychwanegol er mwyn sicrhau y gwahoddir nifer hwylus o gynigwyr potensial i gyflwyno datrysiadau amlinellol, defnyddir y cam caffael Cyn Gymhwyso.

2.2. Mae'r Cyd Bwyllgor yn gyfrifol am gymeradwyo dogfennaeth gaffael a ddefnyddir fel rhan o'r broses caffael triniaeth gwastraff gweddilliol.

**3. YSTYRIAETHAU**

**Rhybudd OJEU**

3.1. Datblygwyd Rhybudd OJEU drafft gan y tîm prosiect a'i ymgynghorwyr, a'i gylchu i'r awdurdodau partner a'i gymeradwyo ganddynt fel rhan o'r broses cymeradwyo'r ABA. Roedd cymeradwyo'r Rhybudd OJEU yn fater wrth gefn i bob Awdurdod partner. Dim ond newidiadau testun bychain sydd wedi eu gwneud i'r drafft OJEU hwn ac maent wedi bod yn destun i graffu gan LICC fel rhan o'r broses craffu'r ABA.

3.2. Mae'r ffactorau allweddol yn cynnwys :

3.2.1. Amrediad mewn hyd contract o 20 i 40 mlynedd.

3.2.2. Cyfeiriad at awdurdodau lleol yng Ngogledd a Chanolbarth Cymru (fel y gall awdurdodau cymdogol eraill gael mynediad at y contract yn y dyfodol petai'r bartneriaeth ar unrhyw amser yn teimlo bod hynny'n ddymunol).

3.2.3. Yn rhoi arwydd bod tunelledd y gwastraff oddeutu 150ktpa ond yn cadw'r hawl i ddiwygio'r ffigwr hwn i fyny neu i lawr.

3.3. Gweler Atodiad 1 am gopi o'r Rhybudd OJEU



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## **Holiadur PQQ a'r Ddogfen Ddisgrifiadol Gychwynnol.**

- 3.4. Unwaith y bo'r Rhybudd OJEU wedi ei gyhoeddi, (dyddiad targed wythnos gyntaf Gorffennaf 2010), anfonir holiadur cyn gymhwyso ynghyd â Dogfen Ddisgrifiadol Gychwynnol at y cynigwyr potensial hynny sy'n mynegi diddordeb, a fydd yn disgrifio'r broses gaffael, yr amserlen, rhoi peth gwybodaeth am y prosiect, a hefyd cyfarwyddiadau ar sut i gwblhau'r PQQ.
- 3.5. Mae'r holiadur PQQ yn ceisio dynodi'r wybodaeth ganlynol:
  - 3.5.1. Gwybodaeth am y cwmni (y cynigydd neu gonsortiw m y cynigydd)
  - 3.5.2. Gwybodaeth ariannol (e.e. statws ariannol y cwmni a phrofiad mewn ennill cyllid i brosiectau)
  - 3.5.3. Profiad technegol / record cyflawni mewn cyflenwi prosiectau tebyg (yn cynnwys ennill cynllunio, adeiladu, comisiynu a gweithredu)
  - 3.5.4. Iechyd a Diogelwch, Ansawdd, polisïau a rhaglenni cydraddoldeb, a systemau rheolaeth ayb.
- 3.6. Ar y cam hwn, rhagwelir y bydd hyd at 8 o gynigwyr yn cael caniatâd i gyn gymhwyso, ac yna'n cael gwahoddiad i Gyflwyno Datrysiadau Amlinellol.
- 3.7. Darperir Dogfen Ddisgrifiadol Gychwynnol i gynigwyr er mwyn rhoi gwybodaeth gefndir i gynigwyr ar y prosiect. Mae'r wybodaeth wedi ei seilio ar yr hyn a geir yn yr Achos Busnes Amlinellol.
- 3.8. Efallai y bydd y ddogfennaeth angen mân ddiwygiadau cyn ei chyhoeddi'n derfynol i gynigwyr (yn cynnwys newidiadau posib a awgrymwyd gan LICC a thrafodwr y prosiect ar y ddogfennaeth). Felly mae'r Cyfarwyddwr Prosiect yn gofyn am awdurdod gan y Cyd Bwyllgor i wneud unrhyw fân ddiwygiadau /mireinio'r ddogfennaeth cyn ei chyhoeddi i gynigwyr.
- 3.9. Dogfennaeth Gaffael

Gweler Atodiad 2 am yr Holiadur Cyn Gymhwyso (PQQ)  
Gweler Atodiad 3 am y Dogfen Ddisgrifiadol Gychwynnol

## **4. ARGYMHELLION**

- 4.1. Bod aelodau yn cymeradwyo'r Rhybudd OJEU, yr holiadur PQQ a'r Ddogfen Ddisgrifiadol Gychwynnol.
- 4.2. Bod aelodau yn awdurdodi'r Cyfarwyddwr Prosiect i wneud mân ddiwygiadau i'r ddogfennaeth cyn ei chyhoeddi i gynigwyr.

## **5.00 GOBLYGIADAU ARIANNOL**

- 5.01 Amherthnasol



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**6.00 EFFAITH GWRTH DLODI**

6.01 Dim

**7.00 EFFAITH AMGYLCHEDDOL**

7.01 Amherthnasol

**8.00 EFFAITH CYFARTALEDD**

8.01 Amherthnasol

**9.00 GOBLYGIADAU PERSONEL**

9.01 Amherthnasol

**10.00 YMGYNGHORIAD SYDD EI ANGEN**

10.01 Amherthnasol

**11.00 YMGYNGHORIAD A WNAETHPWYD**

11.01 Amherthnasol

**DEDDF LLYWODRAETH LEOL  
MYNEDIAD AT WYBODAETH 1985**

**Dogfennau cefndir:**

Dim

**Swyddog Cyswllt : Stephen Penny NWRWTP**



## Appendix 1 OJEU notice

### UK-Flintshire: Refuse Services

#### CONTRACT NOTICE

##### Services

1. CONTRACTING AUTHORITY

1.5 **NAME, ADDRESSES AND CONTACT POINT(S):**

**Official Name** - Flintshire County Council.

**Postal address** – [Legal & Corporate Services, Corporate Procurement],  
County Hall, Mold, CH7 6NB

**Contact Point:** Stephen Penny, Project Director.

E-mail: Stephen\_Penny@flintshire.gov.uk.

Tel: 01352 704 914

Fax 01352 701727

**Internet address(es):**

General address of the contracting authority: [www.flintshire.gov.uk](http://www.flintshire.gov.uk)

**Further information can be obtained at:** As in above-mentioned contact point(s).

**Specifications and additional documents (including documents for competitive dialogue and a dynamic purchasing system) can be obtained at:** As in above-mentioned contact point(s).

**Tenders or requests to participate must be sent to:** As in above-mentioned contact point(s).

1.5 **TYPE OF THE CONTRACTING AUTHORITY AND MAIN ACTIVITY OR ACTIVITIES:**

Regional or local authority.

General public services.

Environment.

The contracting authority is purchasing on behalf of other contracting authorities: Yes.



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## 2. OBJECT OF THE CONTRACT

### 1.5 DESCRIPTION

2..0 **Title attributed to the contract by the contracting authority:** North Wales Residual Waste Treatment Partnership PPP Contract

2..1 **Type of contract and location of works, place of delivery or of performance:**

Services.

**Service category:** No 16.

**Main place of performance:** North Wales although the specific place of performance within North Wales will depend on the solution proffered.

**NUTS code:** UKL UKL11 (Isle of Anglesey), UKL12 (Gwynedd), UKL13 (Conwy and Denbighshire), UKL23 (Flintshire and Wrexham)].

**The notice involves:** A public contract.

2..2 **Information on framework agreement:**

Not applicable.

2..3 **Short description of the contract or purchase(s):**

Flintshire County Council (for and on behalf of itself and Conwy County Borough Council, Denbighshire County Council, Gwynedd Council and Isle of Anglesey County Council and/or such local authority(ies) in north or central Wales (including but not limited to Powys County Council and Ceredigion County Council) as may join these authorities or may be substituted for one or more of these authorities), together the North Wales Residual Waste Treatment Partnership ("the **Partnership**"), are seeking, subject to value for money and affordability considerations, a contractor (or consortium) to enter into a long-term PPP contract for the provision of a solution for the treatment and disposal of the Partnership's residual waste (the "**Project**"). The Project is being supported by the Welsh Assembly Government ("**WAG**") with possible revenue support to be provided towards the annual payments for the service.

The Project may include, but is not limited to, the design, build, finance and/or operation of a waste treatment facility (or facilities) and waste transfer station(s) and/or a merchant waste treatment facility(ies) and or merchant waste treatment capacity ("**the Project**"). The Project is anticipated to include the handling of all treatment outputs, rejects and residues from the solution including (but not limited to) the marketing and sale of recyclable materials, compostable materials, other materials recovered, transfer, loading and onward transport to final destinations including the provision of landfill for residues to the extent necessary.

The Partnership reserves the right to explore with the applicants during the procurement process the potential for marketing any energy (heat and/or power and/or electricity) produced by the solution to neighbouring users and/or to the Partnership and/or to the National Grid and/or to other users. The procurement is not intended to include any of the collection or delivery functions to the solution. However as a matter of flexibility, the Partnership may wish to include some ancillary waste management services such as (but not limited to) construction and operation of waste transfer stations and bulking and haulage operations.



Dependent on the solution proffered, the expectation is that financing for the Project will be predominantly, if not wholly, procured from private finance. However the Partnership reserves the right to adopt a contract structure that best meets its respective needs or to provide or procure capital contributions and/or finance for the Project from other sources including (but not limited to) prudential borrowing and/or the European Investment Bank.

The Partnership has identified a site within the ownership of the Partnership which is considered suitable and can be considered by the applicants when putting forward their solution, although the Partnership and applicants will be free to put forward other sites for the Project. The Partnership site is located at Deeside EM1 13 at Weighbridge Road, Deeside Industrial Park, Flintshire. The Partnership does not intend to specify a particular technology for the solution and will, therefore, consider any technology solution that meets the Partnership requirements which will be assessed in accordance with the evaluation criteria/methodology for the Project. The potential for the solution to cater for commercial and industrial waste as well as waste from other public sector organisations may be explored during competitive dialogue.

The Partnership will follow a lead authority model and Flintshire County Council will enter into the contract for and on behalf of itself and the other local authorities in the Partnership.

For further details refer to Sections II.2.1 and V.3.

## 2..4 Common procurement vocabulary (CPV):

### Main object

Code	Description
90500000	Refuse and Waste Related Services
<b>Additional objects</b>	
90510000	Refuse Disposal and Treatment
90530000	Operation of a Refuse Site
90531000	Landfill Management Services
90513000	Non-hazardous Refuse and Waste Treatment and Disposal Services)
90514000	Refuse Recycling Services
45222100	Waste Treatment Plant Construction Work
45222110	Waste Disposal Site Construction Work





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Code	Description
09310000	Electricity
09320000	Steam, hot water and associated products
31682000	Electricity supplies
42914000	Recycling equipment
45111000	Demolition, site preparation and clearance work
45112350	Reclamation of waste land
45213270	Construction works for recycling station
45232470	Waste transfer station
45252000	Construction works for sewage treatment plants, purification plants and refuse incineration plants
45252300	Refuse – incineration plant construction work
45450000	Other building completion work
51135110	Installation services of waste incinerators
60513100	Household-refuse disposal services
90000000	Sewage, refuse, cleaning and environmental services
90512000	Refuse transport services
90513200	Urban solid – refuse disposal services
90513300	Refuse incineration services
90513400	Ash disposal services
90524200	Clinical – waste disposal services
905173300	Refuse incineration services

2..5 **Contract covered by the Government Procurement Agreement (GPA):**

Yes.

2..6 **Division into lots:**

No.

2..7 **Variants will be accepted:**

Yes.

1.5 **QUANTITY OR SCOPE OF THE CONTRACT**

2..0 **Total quantity or scope:**

The Partnership envisages a contract period of approximately 30 (thirty) years (to include a 5 (five) year build period) with an option to extend for 5 (five) years) however the actual contract period will be determined by best value



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considerations during the competitive dialogue procedure and may also be dependent on financial market conditions. For the avoidance of doubt, a 30 (thirty) year duration with an option to extend for 5 (five) years is indicative only and is not intended to specify the maximum or minimum length of the contract.

It is envisaged that the construction of the facilities may take up to 5 (five) years to complete depending on the chosen technical solution, and the services will be for a period of up to 25 (twenty-five) years following completion. In 2008-2009 approximately [335,500] tonnes of municipal waste were generated in the Partnership area. The Partnership estimates that around [150,000] tonnes per annum of residual municipal waste may be required to be treated through a residual waste treatment facility (but reserves the right to amend this figure up or down).

Estimated value excluding VAT: [ ] This is provided by way of estimate only and depends upon the solution put forward. The Partnership reserves the right to invite variant solutions and further details are set out in the [Information Memorandum][Descriptive Document] provided with the Pre-Qualification Questionnaire ("PQQ").

#### 2..1 **Options: Yes**

The Partnership may discuss with the applicants during the competitive dialogue procedure the possibility of being granted option(s) to extend the Contract for a period of up to 5 (five) years (subject to the caveats outlined in Section II.2.1). The time duration in Section II.3 includes any possible extension but is subject to the caveats on duration in Section II.2.1.

#### 1.5 **DURATION OF THE CONTRACT OR TIME-LIMIT FOR COMPLETION:**

Duration in months: 420 (from the award of the contract).

### 3. LEGAL, ECONOMIC, FINANCIAL AND TECHNICAL INFORMATION

#### 1.5 **CONDITIONS RELATING TO THE CONTRACT**

##### 3..0 **Deposits and guarantees required:**

The Partnership reserves the right to require guarantees, parent company guarantees (in a form acceptable to the Partnership), direct agreements, deposits, bonds or other forms of appropriate security as it may require. Further details will be set out in the Project documentation.

##### 3..1 **Main financing conditions and payment arrangements and/or reference to the relevant provisions regulating them:**

Payment and the payment terms and conditions will be set out in the contract and the payment mechanism. The contract and the payment mechanism will be based on the Defra/WIDP standard form residual waste treatment contract as further amended and approved by WAG to be relevant for Wales. The payment terms and conditions will be discussed with the applicants during competitive dialogue procedure and further information will be provided in the Project documentation.

##### 3..2 **Legal form to be taken by the group of economic operators to whom the contract is to be awarded:**

Requests to participate will be accepted from groupings of economic operators (consortia). In the event of a successful consortium bid, the Partnership may specify that the consortium (and or member of the consortium) takes a



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particular legal form and/or require that a single consortium member takes primary liability or that each member undertakes joint and several liability irrespective of the legal form adopted. Where a subsidiary company is used, the ultimate parent company may be required to provide a guarantee in respect of the performance of the Contract by the subsidiary before acceptance. Full details of the proposed contracting structures must be provided in the pre-qualification stage.

**3..3 Other particular conditions to which the performance of the contract is subject:**

Yes.

The successful applicant (and any consortium members and/or sub-contractors) will be required to actively participate in the achievement of social, economic and environmental regeneration of the locality of and surrounding the place of delivery of the Project. Accordingly contract performance conditions may relate in particular to social, economic, environmental or other corporate social responsibility considerations. Further details of these and any other conditions will be set out in the Project documentation.

**1.5 CONDITIONS FOR PARTICIPATION**

**3..0 Personal situation of economic operators, including requirements relating to enrolment on professional or trade registers:**

Information and formalities necessary for evaluating if requirements are met: In accordance with Articles 45 to 50 of Directive 2004/18/EC and Regulations 23 to 25 of the Public Contracts Regulations 2006 and as set out in the PQQ.

**3..1 Economic and financial capacity:**

Information and formalities necessary for evaluating if requirements are met: In accordance with Article 47 of Directive 2004/18/EC and Regulation 24 of the Public Contracts Regulations 2006 and as set out in the PQQ.

Minimum level(s) of standards possibly required: As set out in the PQQ.

**Technical capacity:**

Information and formalities necessary for evaluating if requirements are met: In accordance with Articles 48 to 50 of Directive 2004/18/EC and Regulation 25 of the Public Contracts Regulations 2006 and as set out in the Pre-Qualification Questionnaire.

Minimum level(s) of standards possibly required: As set out in the PQQ.

**3..2 Reserved contracts:**

No.

**1.5 CONDITIONS SPECIFIC TO SERVICES CONTRACTS**

**3..0 Execution of the service is reserved to a particular profession:**

No.

**3..1 Legal entities should indicate the names and professional qualifications of the staff responsible for the execution of the service:**

Yes.



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#### 4. PROCEDURE

##### 1.5 TYPE OF PROCEDURE

###### 4..0 Type of procedure:

Competitive dialogue.

###### 4..1 Limitations on the number of operators who will be invited to tender or to participate:

Envisaged minimum number: 3. Maximum number: 10

Objective criteria for choosing the limited number of candidates: As stated in the PQQ.

###### 4..2 Reduction of the number of operators during the negotiation or dialogue:

Yes - Recourse to staged procedure to gradually reduce the number of solutions to be discussed or tenders to be negotiated.

##### 1.5 AWARD CRITERIA

###### 4..0 Award criteria:

The most economically advantageous tender in terms of the criteria stated in the specifications, in the invitation to tender or to negotiate or in the descriptive document.

###### 4..1 An electronic auction will be used:

No.

##### 1.5 ADMINISTRATIVE INFORMATION

###### 4..0 File reference number attributed by the contracting authority:

###### 4..1 Previous publication(s) concerning the same contract: No

###### 4..2 Conditions for obtaining specifications and additional documents or descriptive document Time limit for receipt of requests for documents or for accessing documents: [ ]

###### Payable documents:

**Terms and Method of payment:** The E-Box Document portal will be used to distribute documents throughout the procurement process. Access during the pre-qualification stage is free – however from PQQ onwards there will be a monthly charge per user of approximately £20 GBP which will be payable directly to E-Box for the duration of the procurement process.

###### 4..3 Time-limit for receipt of tenders or requests to participate:

16:00

###### 4..4 Date of dispatch of invitations to tender or to participate to selected candidates: [ ]

###### 4..5 Language(s) in which tenders or requests to participate may be drawn up:

English



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4.6 **Minimum time frame during which the tenderer must maintain the tender:**

4.7 **Conditions for opening tenders:**

5. **COMPLEMENTARY INFORMATION**

1.5 **THIS IS A RECURRENT PROCUREMENT:**

No.

1.5 **CONTRACT RELATED TO A PROJECT AND/OR PROGRAMME FINANCED BY EU FUNDS:**

No.

1.5 **ADDITIONAL INFORMATION:**

In accordance with II.1.9, the Partnership may accept variant bids in addition to a standard bid as set out in the tender/contract documents provided the Partnerships core requirements are met and provided the variant is submitted in accordance with the tender/contract documents.

Applicants should note that it is very important to the Partnership that this Project be completed within the shortest possible timeframe. Applicants' ability to comply with the timeframes specified by the Partnership will be an important factor in the evaluation of the applicants' proposals at tender- evaluation stage.

Requests to participate must be made by completion and return of the Pre-Qualification Questionnaire by the date and time specified in Section IV.3.4 above and in accordance with the instructions set out in the Pre-Qualification Questionnaire and in the manner prescribed electronically via E-Box. Completed Pre-Qualification Questionnaires submitted after the deadline may not be considered.

For consortium bids, the information in Section III.2 must be supplied by each consortium member but the lead member should aggregate its members' details and submit this as a single application.

Applicants are advised that the Partnership is subject to the Freedom of Information Act 2000 (the "Act"). If an applicant considers that any of the information supplied as part of this procurement procedure should not be disclosed because of its commercial sensitivity, confidentiality or otherwise, they must, when providing this information, clearly identify the specific information they do not wish to be disclosed and clearly specify the reasons for its sensitivity. The Partnership shall take such statements into consideration in the event that it receives a request pursuant to the Act which relates to the information provided by the interested party. Please note, it is not sufficient to include a statement of confidentiality encompassing all the information provided in the response.

There may be a TUPE requirement associated with this contract.

Please note that all dates, time periods and figures in relation to values and volumes specified in this notice are approximate only and the Partnership reserves the right to change any or all of them.

The Partnership shall not be responsible for any costs, charges or expenses incurred by participants and accepts no liability for any costs, charges or expenses, irrespective of the outcome of the competition, or if the competition



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is cancelled or postponed. The Partnership reserves the right to not award any or part of this contract and to abandon this procurement at any stage.

**1.5 PROCEDURES FOR APPEAL**

**5..0 Body responsible for appeal procedures:** See Section V.4.2 below.

**5..1 Lodging of appeals:**

Precise information on deadline(s) for lodging appeals: In accordance with Regulation 32 (Information about Contract Award Procedures and the application of standstill period prior to Contract Award) and Regulation 47 (Enforcement of Obligations) of the Public Contracts Regulations 2006.

**Service from which information about the lodging of appeals may be obtained:**

**1.5 DATE OF DISPATCH OF THIS NOTICE:**

[     ].



## Appendix 2 PQQ questionnaire

### North Wales Residual Waste Treatment Project

### PQQ for Residual Waste Treatment Services Contract

## Pre-Qualification Questionnaire

### Introduction

This Pre-Qualification Questionnaire (PQQ) assesses the technical capability and capacity, financial and economic strengths of organisations expressing an interest in bidding for the Project.

The Descriptive Document included in the Information Pack provides information about North Wales Residual Waste Treatment Partnership (The Authority) and the Project.

In this document the "**Consortium**" refers to the organisation/company or group of shareholding organisations that make up a bidding project consortium that would ultimately become the Project Company contracting with the Authority.

A "**Member Organisation**" is the term used to describe the individual organisations that constitute the Consortium. This would usually include the technology provider and operations and maintenance contractor.

A "**Relevant Organisation**" is the term used to describe all organisations connected with the bid. This includes:

- the shareholders, including **Third Party Equity Providers**
- the **Designer(s)**
- the **Advisers**; and
- the **Member Organisations**.

The Authority reserves the right to require some or all Consortia to clarify their submissions in writing. Any such request shall be made in writing to the Consortium or its nominated representative. Failure to respond adequately may result in that Consortium not qualifying.

The Authority will wish to be satisfied that, within the parameters of Regulations 23 - 29 of The Public Contracts Regulations 2006, each Consortium selected has the appropriate qualities and resources to undertake the Project and successfully meet the necessary requirements to design, build, finance and operate the relevant services.

The Authority reserves the right to reject any Consortium that fails to comply fully with the requirements of the selection process set out in this document or which is guilty of a serious misrepresentation in supplying any information requested.

### Instructions

Consortia and Relevant Organisations must complete all sections of the PQQ, and supply any additional information as required. Where a section is not applicable this should be clearly stated. Failure to complete the PQQ will



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automatically and immediately disqualify the applicant from this Project, and the Authority will undertake no further evaluation of the PQQ.

To ensure a fair and even handed assessment, please answer the questions in the spaces provided, using no smaller than 11-point fonts, unless otherwise provided for in the question and in English language. Answers should not exceed this length and additional pages should not be inserted unless specifically requested.

The layout of the PQQ has been designed to enable applicants to complete it as easily as possible and is organised as follows:

- General Information sections 1 – 6: Details of the Consortium as a whole
- General Information sections 7: Bid Evaluation Approach
- Sections A - B: Economic and Financial Standing
- Sections C – F: Technical and Performance
- Section G: Declaration and Non-Collusion
- Appendix A: Financial Reference Authorisation
- Appendix B: Prosecutions Relating to Waste Management Operations

The inclusion of an executive summary or a statement of reasons for selection is not required and will not be considered in the evaluation of the PQQ.

All sections should be produced as stand alone documents to allow for ease of assessment. Where there is insufficient space in the PQQ to provide the necessary response, please ensure that the information is included within the section and clearly referenced and numbered correctly.

Requested documents, but no further information, should be inserted at the end of the appropriate section rather than at the end of the document. Applicants must provide three paper copies and eight copies on CD ROM of their response.

Responses should be returned, marked for the attention of:

**Flintshire County Council, Corporate Services, 3rd Floor, County Hall, Mold, Flintshire, CH7 6NA**

Responses must reach The Authority **by 12 noon 29th September 2010** and must be clearly marked “FPxxx PQQ response for Residual Waste Treatment Services Contract”. Failure to use the forms enclosed will invalidate the response. The responses must be in a plain sealed package and marked “PQQ response for Residual Waste Treatment Services Contract” and returned by registered post or recorded delivery or delivered by hand when an official receipt must be obtained. The envelope/package containing the response documents must bear no mark or indication of the sender.

Any responses received after the date and time indicated will not be considered unless there is evidence that it was posted or dispatched early enough to be received in due time by the normal course of post or dispatch AND it is received before the other tenders have been opened.





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No responses received after the other Responses have been opened shall be considered but shall be rejected for late delivery and shall be immediately returned to the sender by the Authorised Officer and no details within such responses shall be recorded or disclosed.

Responses received other than strictly in accordance with the foregoing instructions will not be considered

Please note that if any of the information supplied in this Questionnaire changes in the ensuing evaluation period, the Relevant Organisation is required to notify the Authority accordingly.

You are invited to attend a **Bidders' Briefing Day in relation to the Project on 16 August 2010**. In the afternoon, it will be possible to inspect the reference site. Transport will be made available for those requesting it in advance, if possible, by **noon on the 9 August 2010**, by contacting Karen Powell on (01352) 703226. Those wishing to attend should complete the Bidders' Briefing Day Response Form given in the Information Pack and return to the address given above or e-mail to [procurement@flintshire.gov.uk](mailto:procurement@flintshire.gov.uk)

#### **General Queries**

Should you have any general enquiries relating to these instructions or documentation please make them to Andy Argyle (Procurement Officer) at the following address:

#### **General enquiries**

Andy Argyle  
Procurement Officer  
Flintshire County Council  
Corporate Services Directorate  
County Hall  
Mold  
Flintshire  
CH7 6NA  
Tel: 01352 701814  
Email: [procurement@flintshire.gov.uk](mailto:procurement@flintshire.gov.uk)



## General Information Details of the Consortium

To be completed on behalf of all Member Organisations making up the Consortium.

1	Consortium Name:	
	Address:	
	Telephone:	
	Fax:	
	E-mail:	

### Consortium's Authorised Representative (person for contact purposes)

Name:	
Address:	
Telephone:	
Fax:	
Email:	

Declaration and certificate of non-collusion that must be signed by the Consortium are at the end of the document in Section G.

### 2 Status of Consortium

(a)	Single Candidate		Consortium		Other joint venture	
-----	------------------	--	------------	--	---------------------	--

(b)	Already a Limited Company		To be incorporated		Not to be incorporated	
-----	---------------------------	--	--------------------	--	------------------------	--

### 3 Where Consortium is already a limited company:

Registered Name:	
Current Trading Name:	
Previous Trading Names (if different):	



Registered Address (if different to 1):	
Telephone (if different to 1):	
Fax (if different to 1):	
E-mail (if different to 1):	
Registered No:	
Year of Registration:	
Country of Registration:	

4 Indicate the Relevant Organisations that will undertake the following roles on the Project

Role	Name of organisations (full title)
Shareholding Companies	
Technology Supplier	
O&M Service Provider	
Architects, Designer(s) and other Technical Adviser(s),	
Legal Adviser	
Financial Adviser	
Insurance Adviser	
Other Companies(s)	

5 Provide an organisation chart showing internal relationships between the Consortium and Member and Relevant Organisations. State whether membership, roles and responsibilities will change during the PFI procurement, design, construction and operational phases of the contract.

6 Provide a statement that there are no grounds applicable to any Relevant Organisation pursuant to which a Bidder may be rejected under Regulation 23 of The Public Contracts Regulations 2006.

7 The Authority's preferred approach to the evaluation of bids for the procurement is as follows:

- Disclose all criteria and weightings for this Prequalification Questionnaire with the Initial Descriptive Document
- Disclose all criteria and weightings for ISOS, ISDS, ISRF (if required) and CFT at ITPD.



**Applicants shall indicate their acceptance of the approach or comment accordingly in the table below.**

<b>YES / NO</b>
If no, please give details or reasons:



**Section A - Economic and Financial Standing**  
**SECTION A – GENERAL COMPANY INFORMATION**

Name of Applicant	
-------------------	--

*If further space is needed to answer any question please complete on a separate page clearly marking upon it the question to which it relates.*

*Questions A1 to A6, to the extent applicable, are to be completed by the Lead Organisation, or if the Applicant is a sole organisation, that organisation.*

A1 Name of the organisation that will act as Lead Organisation for this project and each of the other Relevant Organisations

<p><b>Lead Organisation:</b></p>    <p><b>Relevant Organisations:</b></p> <p>1.</p> <p>2.</p>  <p>3.</p>   <p>4.</p>   <p>5.</p>   <p><i>(Expand as necessary)</i></p>
--



A2 Name and contact details for person applying on behalf of the Lead Organisation:

<p>Name:</p> <p>Position in Organisation:</p> <p>Address:</p> <p>E-mail:</p> <p>Telephone:</p> <p>Mobile:</p> <p>Fax:</p>
--

A3 Specify the services that each Relevant Organisation will deliver.

Relevant Organisation	Services to be delivered
1.	
2.	
3.	
4.	
5.	



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A4 Please provide details of each Relevant Organisation's main areas of business and confirm (in the case of a company) that the objects set out in the Memorandum of Association include the provision of such services as are described within the Contract Notice. Please indicate the approximate turnover relating to each service area for each Relevant Organisation for the last three years.

A5 (a) Provide an organisation chart and details of the relationship including details of any performance guarantees, between the Relevant Organisations and whether this may change during the design, installation and operational phases of the contract.



A5 (b) Please complete the table below setting out, in percentage terms, the anticipated split of costs between the Relevant Organisations or their guarantor (either costs borne or underwritten)

Relevant Organisation (or guarantor)	% of capital costs to be borne / underwritten	% of operating phase costs to be borne/underwritten
1.		
2.		
3.		
4.		
5.		
6.		
Total	100%	100%

A6 Provide details of the likely share holding of each Relevant Organisation in the service delivery vehicle for this project (where relevant).





**Questions A7 to A16 are to be completed by the Lead Organisation and each Relevant Organisation on separate pages, where applicable.**

A7 Name of Organisation.

A8 Provide details of registered office and registered number, VAT number and date of registration if a company or LLP organisation (public / private limited company, limited liability Council, or their equivalent, or other – please specify). If not a company, provide status of organisation, including details of the trading address. If based outside of the UK please provide equivalent information.

Registered Office:

  

Registration number:

  

Date of registration:

  

VAT Number:

*Please enclose a copy of the Company Certificate of Incorporation (if applicable) and any certificate of incorporation on change of name or equivalent documentation applying in the relevant jurisdiction of the lead organisation.*

A9 Names of Directors and Secretary (if a company)

Names of Partners (if a Council)



A10 If the Relevant Organisation is a limited company, or its equivalent, is it a subsidiary of another company? If so, provide details of the name of each holding or parent company.

A11 Provide details of any court and/or employment tribunal proceedings in which the Relevant Organisation has been involved in the last three years (company wide, not limited to specific service areas).

A12 Provide details of any such court and/or employment tribunal proceedings that are currently outstanding against the Relevant Organisation (company wide, not limited to specific service areas).

A13 Has the Relevant Organisation at any time:

(a) Being an individual:

- i) been made bankrupt, had a receiving order or administration order made against them,
- ii) made any composition or arrangement (whether formal or informal) with or for the benefit of their creditors or has made any conveyance or assignment for the benefit of their creditors or has had an interim receiver of their property appointed under Section 286 of the Insolvency Act 1986 or has been made the subject of an application for an interim order under Section 253 of the Insolvency Act 1986.

(b) Being a partnership or cooperative been involved in dissolution or termination;



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(c) Being a partnership:

- i) entered into a voluntary arrangement under clause 4 of the Insolvent Partnership Order 1994 (“the Order”); or
- ii) had a petition presented to any court for its winding up under clauses 7 and 8 of the Order; or
- iii) had a petition presented to any court for an administration order under clause 6 of the Order; or
- iv) presented a petition for winding up under clauses 9 and 10 of the Order; or
- v) presented any joint bankruptcy petition under clause 11 of the Order.

(d) Being a company:

- i) passed a resolution for winding up or been subject to an order of the Court for winding up otherwise than for the purposes of a bona fide reconstruction or amalgamation, or been the subject of any voluntary arrangement under Part 1 of the Insolvency Act 1986 or had a receiver, manager administrator or administrative receiver on behalf of a creditor appointed in respect of the company's business or any part thereof; or

(e) Had a judgement debt of over £10,000 enforced against the Applicant; or

Is the subject of any similar procedure under the law of any other state under (a), (c), (d) and (e)?

1.5 Yes  No

If yes, please provide details.



A14 Has any proprietor, Director, partner or associate of any Relevant Organisation ever been subject to any process indicated in question A13 above?

Yes  No

If yes, please provide details.

A15 Has the Relevant Organisation, or any proprietor, director, partner or associate thereof ever in the course of his business:

- (a) Been convicted of a criminal offence relating to the conduct of that business, or
- (b) Committed an act of grave misconduct in the course of that business.

Yes  No

If yes, please provide details.



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A16 Please provide details of any prosecutions in the last 3 years against the Relevant Organisation, in relation to any of the provisions set out in Appendix 2 of this questionnaire.



**Section B Economic and Financial Information for each Relevant Organisation**

Name of Applicant	
-------------------	--

B1 Name and contact details of the officer responsible for finance for the Relevant Organisation to whom financial queries can be directed.

<p>Name:</p> <p>Position:</p> <p>Address:</p> <p>E-mail:</p> <p>Telephone:</p>
--

B2 Name and Address of Bankers – You may be requested to provide written authority for The Council to approach your bankers for a reference – please confirm that the Council can obtain references from them, if required.

--

B3 Name and Address of Auditors– You may be requested to provide written authority for the Council to approach your auditor for verification of financial details and/or a reference – please confirm that references can be obtained from them, if required.

--



B4 Provide two copies of the full annual report and audited accounts for each of the previous three financial years.

Accounts Attached	Yes / No
-------------------	----------

If three years accounts are not available please set out in the table below what financial information you have provided to demonstrate the robustness and financial viability of the Relevant Organisation

B5 If the most recent balance sheet is more than ten months out of date, please include a copy of the chairman's half-yearly statement (if available) and a statement signed by the director responsible for financial matters setting out any known significant changes in the current financial position from the last available balance sheet.

B6 Where relevant please provide evidence of any company announcements made to the authorities of the stock exchange, market or bourse on which the stocks or shares of the organisation are publicly traded, since the date of publication of the last set of accounts.

B7 Provide details of the Relevant Organisation's overall turnover and the turnover for services similar to those included in this contract for the previous three financial years.

Turnover	2009/10:	2008/09:	2007/08:
Overall Turnover			
Waste Treatment (PFI/PPP)			
Other Waste treatment turnover			
Other PFI/PPP Project (non-waste treatment) turnover			

B8 Provide a statement, as at the last reporting date, of any contingent liability or loss (where not otherwise reported) that would require disclosure in accordance with International Accounting Standard 10. Provide a statement of any other material events, subsequent to the



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publication of the last audited accounts, which may be disclosed in the next audited accounts.

**B9** Please state if you wish your economic and financial standing assessment to be based on your parent company/group or a guarantor? A parent company guarantee will be required prior to contract award if the assessment is to be based on the parent company accounts.

The assessment is/is not\* to be based on parent company/group accounts/guarantor.

A parent company guarantee is/is not\* available. If yes, please provide details and letter of support from parent company.

Section B has/has not\* been completed in relation to both the Relevant Organisation and the parent company.

\* Please delete as appropriate

**B10** Provide a statement that the ownership of the organisation or change of structure of the organisation has not changed significantly over the past 12 months. Where applicable, please provide details.

**B11** Provide a statement that the Relevant Organisation has not been subject to a financial investigation by an accredited UK or EC regulator. Where applicable please provide details.

**B12** Provide details of any outstanding legal or financial claims the Relevant Organisation is subject to.





B13 Provide examples of structures / performance guarantees that you have provided on similar contracts to give comfort regarding the on-going performance of the Contract.

**Insurance**

B14 Provide evidence of the Public Liability Insurance and Professional Liability or Indemnity Insurance for the Relevant Organisation. The evidence should include the name of the insurers, policy numbers, expiry date, and limits for any one accident and the excesses under the policy. Please provide copies of relevant insurance certificates.

	Employers Liability Insurance	Public Liability Insurance	Professional Liability or Indemnity Insurance
Name of insurers			
Policy numbers			
Expiry dates			
Limits for any one incident			
Excess limit			

B15 Would you be willing to increase the value of cover if your current level is considered to be insufficient for the contract being applied for?

Yes  No

B16 Provide details of experience in raising the finance required for a Contract of this size and scope. Information as to the form of that finance and, where the information is being provided by a Relevant Organisation, the role played by that Relevant Organisation in that project (i.e. Applicant, consortium member etc.).



**Section C – Technical And Professional Ability**

*Questions C1 and C2 are to be completed by each Relevant Organisation, on separate pages, if applicable. Responses to this section should be no longer than 20 pages of A4. Please note information above 20 pages long will not be evaluated and scores may be impacted.*

**Project Experience**

**C1** Please provide details of up to five current or recent (those that may have terminated within the past 3 years) contracts for large scale infrastructure contracts or large scale waste management contracts in which each Relevant Organisation has performed, participated in, or those contracts where the Relevant Organisation has provided services comparable with its proposed role within a consortium within the UK, Europe and elsewhere. Please provide the full names and addresses of relevant client / customer contacts in order that references may be taken up.

Please copy this table within section C1 as many times as is necessary to provide details for each project.

Contract title	
Name of organisation	
Address of organisation	
Contact officer & Title Address Tel No. Email address	
Description of Relevant Organisation's role in Contract (e.g. Lead, Turnkey Supplier, Financier, Partial supplier, Licensor or Process integrator)	
Key sub-contractors/Organisations and roles within the Contract delivery	
Is the contract a PFI, PPP or other type of infrastructure or waste management contract? (Please state)	
Details of works and service provided including any specific waste experience	
Key facilities and technologies	



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used in the provision of works and services (please note Appendix 1 should be completed)	
Feedstock Description (attach composition where available):	
Design Capacity:	
Current Operating Throughput:	
Regulatory Authority (stating local office where appropriate):	
Contract value (£) Annual contract value (£) Annual Value for your element of Service (£)	
Funding raised and funding source	
Contract Start Date	
Contract Completion Date	

*Answer those questions which are relevant to the service being described, marking the questions which are not relevant as 'N/A'.*

*Please repeat this table as required.*



**C2** Please provide details of where the Relevant Organisations have managed sub-contractors to deliver elements of large-scale infrastructure or waste management projects.

**C3** Provide details of any Contracts to which the Relevant Organisation is a signatory over £10 million where there has been a failure to complete the contract on time or at all, or where there have been claims for damages, or where damages have been deducted or recovered, in either case only where the amounts exceed £1 million. Also details of any contracts terminated or employment determined. This statement should only take account of incidents in the past three years.

	Year 2007	Year 2008	Year 2009
Relevant Organisation:			
Failures to complete the Contract			
Claims for Damages			
Damages deducted or recovered			
Contracts terminated			
Employment determined			

**C4** Please also provide details of any successful prosecution against the organisation in relation to the contracted services and facilities described in C1 during the last 5 years (please indicate the magnitude of any fine, the duration of any prison sentence and the nature of the offence). Additional information should be provided at appendix 2.

**Technical Experience**

*Responses to this section (C5, C6 & C7) should be no longer than 15 pages in total of A4. Please note information above 15 pages long will not be evaluated and scores may be impacted.*



**C5** Please provide details, for the past five years only of the Relevant Organisation's experience in gaining and securing planning permission, relevant to the types of facility identified in Question C1 or for projects with similar public issues to similar scale residual waste treatment facilities. Information provided should include details of the planning authority, facility type and scale, location and date. If any of the planning applications were subject to objections or judicial review (or the equivalent in the jurisdiction of the relevant organisation) the details of how these issues were overcome should be included.

**C6** Please provide details, for the past five years only, of the necessary consents and permits the Relevant Organisation has obtained relevant to the types of facility identified in Question C1. Information provided should include details of the issuing authority, facility type and scale/capacity, length of application process, location and date of issue and expiry. If any of the applications were subject to objections or judicial review (or the equivalent in the jurisdiction of the relevant organisation) the details of how these issues were overcome must be included. Details of where consents or permits have been modified or withdrawn should be included.

**C7** What experience or involvement does the Relevant Organisation have in providing waste services, in the UK, Europe or overseas in the past five years?



## Staff Experience

*Questions C9 to C14 to be completed by each Relevant Organisation, on separate sheets, if applicable*

- C8** Provide details of key persons who have experience in the development and provision of services relevant to the contract, and similar to those described in the Descriptive Document and who are likely to be involved in the management structure and/or running of the bid/project for the Applicant and state if these are different from those who will be involved in negotiations with the Partnership. Job titles/roles should be identified and a **one** page CV should be attached for the key people (e.g., Bid Manager, Planning Manager, Construction Manager etc).

- C9** Provide details of the bid teams nominated project manager for delivery of the project, including experience in team management and procurement negotiations. A CV for the nominated project manager should be attached.

- C10** Provide details of the ability of each of the identified key persons to allocate sufficient time to delivery of the project. Identify any existing or future potential time conflicts for each key person, particularly those prior to financial close and subsequently commencement of facility development and subsequent operations.



**C11** Provide details for the Relevant Organisation showing:

	Permanent Full Time	Permanent Part Time	Casual
Managerial/Supervisory			
Operational			
Total staff employed			
Number of staff directly involved in waste management activities			

	2007	2008	2009
Details of staff turnover as a percentage of workforce for past 3 years			

**C12** Provide details of the membership of relevant trade associations / professional bodies of both the Relevant Organisation and the staff identified in C10.

**C13** Provide evidence of the public liability insurance and professional liability or indemnity insurance from the Relevant Organisation. The evidence should include the name of the insurers, policy numbers, expiry date and limits for any one accident and the excesses under the policy.

Name of Insurer	Policy Number	Expiry Date	Limit for any one Accident	Excess



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**C14 Please provide, if possible, two examples of existing contracts where the organisation can provide demonstrable experience of the following activities:**

Activity	Contracting Organisation	Contact at Contracting Organisation (including name, address & telephone number)	Details (including objectives, performance indicators and delivery)
Partnering	1 2		
Continuous Improvement	1 2		

Note: The Partnership at its discretion reserves the right to seek references from the named contracting organisations.



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## Section D – Experience of Working on Similar Projects

**Questions D1 to D4 are to be completed by the Lead Organisation on no more than 5 pages of A4.**

- D1** Provide details for the past three years as to whether the Relevant Organisation(s) have worked or are working together on other similar Public Private Partnerships or Private Finance Initiative projects within the EU. Disclose the date when the Relevant Organisation's involvement started and whether the scheme is at bidding stage, at Preferred Bidder, has reached financial close, has completed construction / installation, has been cancelled, or if none of these are applicable, the stage the scheme has reached.

- D2** If the Relevant Organisations are working together for the first time, please provide details of where new relationships are being formed to create an Applicant under this contract.

- D3** Identify any potential conflicts of interest that may arise if the Applicant were selected (taking into account all Relevant Organisations).

- D4** Provide a statement of any material pending or threatened litigation or other legal proceedings connected with similar projects against any Relevant Organisation that may affect the Applicant's ability to deliver on this project.



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## Section E - Quality Assurance

**The information requested in Section E to be provided by each relevant organisation.**

- E1** Please confirm whether the Relevant Organisation are currently, or are in the process of becoming, accredited to International Standards Organisation (ISO) 9002, Investors in People (UK only) or other recognised or equivalent quality standard. Please state appropriate assessment level, and to which business functions the accreditation applies. Please enclose a copy of the certificate.

<b>Certificate enclosed YES / NO</b>



**Section F Equal Opportunities**

**The information requested in Section F to be provided by each relevant organisation.**

**F1** As an employer and service provider, do you follow the Race Relations Act 1976, and Race Relations (Amendment) Act 2000, and accordingly is it your policy and practice not to treat any person less favourably because of their colour, race, nationality or ethnic origin when you are recruiting, training or promoting employees and providing services to the public.

Please tick the appropriate box.

<b>YES</b>	<input type="checkbox"/>
<b>NO</b>	<input type="checkbox"/>

Please provide appropriate evidence

**F2** In the last 3 years, has any court or industrial tribunal found that your firm has discriminated against someone because of their race?

Please tick the appropriate box.

<b>YES</b>	<input type="checkbox"/>
<b>NO</b>	<input type="checkbox"/>

Please provide appropriate evidence

**F3** In the last 3 years, has your organisation been investigated by the Commission for Racial Equality because of allegations of unlawful discrimination?

Please tick the appropriate box.

<b>YES</b>	<input type="checkbox"/>
<b>NO</b>	<input type="checkbox"/>

Please provide appropriate evidence

**F4** As an employer, do you follow the Sexual Discrimination Act 1975, the Equal Pay Act 1975 and the Sex Discrimination (Gender Reassignment) Regulations 1999?

Please tick the appropriate box.

<b>YES</b>	<input type="checkbox"/>
<b>NO</b>	<input type="checkbox"/>

Please provide appropriate evidence



**F5** In the last 3 years, has any court or industrial tribunal found that your firm has discriminated against someone because of their sex, sexual orientation, religion or belief, or the level of pay you gave them?

Please tick the appropriate box.

<b>YES</b>	<input type="checkbox"/>
<b>NO</b>	<input type="checkbox"/>

Please provide appropriate evidence

**F6** As an employer and service provider, do you follow the Disability Discrimination Act 1995?

Please tick the appropriate box.

<b>YES</b>	<input type="checkbox"/>
<b>NO</b>	<input type="checkbox"/>

Please provide appropriate evidence

**F7** In the last 3 years, has any court or industrial tribunal found that your firm has discriminated against someone because of their physical or mental impairment?

Please tick the appropriate box.

<b>YES</b>	<input type="checkbox"/>
<b>NO</b>	<input type="checkbox"/>

Please provide appropriate evidence

**F8** If the answer to question F2, F5, or, F7 is yes, or, in relation to question F3 the Commission made a finding against your organisation, what steps did you take as a result of that finding?

Please tick the appropriate box.

<b>YES</b>	<input type="checkbox"/>
<b>NO</b>	<input type="checkbox"/>

Please provide appropriate evidence

**F9** Is your policy on equal opportunities set out in the following?

Instructions given to people you are recruiting, training and promoting?  
Please tick the appropriate box.



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<b>YES</b>	<input type="checkbox"/>
<b>NO</b>	<input type="checkbox"/>

Documents available to employees, recognised trade unions or other employee groups?

Please tick the appropriate box.

<b>YES</b>	<input type="checkbox"/>
<b>NO</b>	<input type="checkbox"/>

In job adverts?

Please tick the appropriate box.

<b>YES</b>	<input type="checkbox"/>
<b>NO</b>	<input type="checkbox"/>

Instructions given to sub-contractors/third parties providing services on your behalf?

Please tick the appropriate box.

<b>YES</b>	<input type="checkbox"/>
<b>NO</b>	<input type="checkbox"/>

**F10** Please enclose a copy of your Equal opportunities Policy. Documents Enclosed?

Please tick the appropriate box.



<b>YES</b>	
<b>NO</b>	

Please provide appropriate evidence

- F11** Do you observe, as far as possible, the Commission for Racial Equality’s Code of Practice for Employment (2005) as approved by Parliament in 1983, which gives practical guidance to employers and others on the elimination of Racial Discrimination and the promotion of Equality of Opportunity in Employment, including the steps that can be taken to encourage black and ethnic minority people to apply for jobs or take up training opportunities?

Please tick the appropriate box.

<b>YES</b>	
<b>NO</b>	

Please provide appropriate evidence

- F 12** Is your company able to provide evidence of monitoring and promoting Equal Opportunities and adhering to all Equal Opportunities Legislation?

Please tick the appropriate box.

<b>YES</b>	
<b>NO</b>	

Please provide appropriate evidence of any monitoring undertaken

- F 13** Does your company have procedures in place to comply with the requirements of the Welsh Language Act 1993 (or as amended) when acting on behalf of public sector bodies?

Please tick the appropriate box.

<b>YES</b>	
<b>NO</b>	

Please provide appropriate evidence

- F14** Do you provide training for your staff in relation to equality legislation and awareness?

Please tick the appropriate box.





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YES	
NO	

Please provide appropriate evidence



## Section G Health and Safety

The information requested in Section G to be provided by each relevant organisation.

To ensure an accurate assessment of your Company is made, please answer as many of the following questions as possible. Use additional sheets of paper if necessary.

- G1** Is your Policy as an Employer to comply with your statutory obligations under the Health and Safety at Work Act 1974 and the Factories Act 1961 together with subsequent associated regulations and approved Codes of Practice?

Please tick the appropriate box.

YES	<input type="checkbox"/>
NO	<input type="checkbox"/>

Please provide appropriate evidence

- G2** Does your organisation have a documented and implemented Health & Safety Policy? Please enclose a copy of your policy document.

Please tick the appropriate box.

YES	<input type="checkbox"/>
NO	<input type="checkbox"/>

Please provide appropriate evidence

- G3** Does your organisation have a recognised Health & Safety Manager? Please tick the appropriate box.

YES	<input type="checkbox"/>
NO	<input type="checkbox"/>

Please provide appropriate evidence

- G4** Have any of the following been served on your Company within the past three years by the Health and Safety Executive (HSE)

Improvement Notice

Please tick the appropriate box.

YES	<input type="checkbox"/>
NO	<input type="checkbox"/>

Prohibition Notice



Please tick the appropriate box.

YES	<input type="checkbox"/>
NO	<input type="checkbox"/>

Other Enforcement Notice

Please tick the appropriate box.

YES	<input type="checkbox"/>
NO	<input type="checkbox"/>

**G5** If you answered yes to any points in Question E4 please provide details

**G6** Please provide details of any prosecutions undertaken against your company or individuals employed by your Company for breaches of Health and Safety Legislation during the past five years.

**G7** Please indicate whether your company is compliant with COSHH Regulations 2002 and PUWER 1998 Regulations

Please tick the appropriate box.

YES	<input type="checkbox"/>
NO	<input type="checkbox"/>



Please provide appropriate evidence  
Please note that we may ask further questions on health and safety.



**Section H Environment and Sustainability**

**The information requested in Section E to be provided by each relevant organisation.**

**H1** Please confirm whether the Relevant Organisation are currently, or are in the process of becoming, accredited to ISO 14001 or other recognised or equivalent environmental standard.

Please tick the appropriate box.

<b>YES</b>	<input type="checkbox"/>
<b>NO</b>	<input type="checkbox"/>

Please provide a copy of the certificate or other appropriate evidence

**H2** Does the Relevant Organisation have an environmental policy for any of the works and services likely to be provided within the proposed project?

<b>YES</b>	<input type="checkbox"/>
<b>NO</b>	<input type="checkbox"/>

Please provide appropriate evidence and state which part of the services the policy relates to.

**H3** Does the Relevant Organisation have a policy relating to Sustainable Development?

Please tick the appropriate box.

<b>YES</b>	<input type="checkbox"/>
<b>NO</b>	<input type="checkbox"/>

Please provide appropriate evidence

**H4** Within the last three years has any Relevant Organisation been prosecuted for breaching any UK or EU Environmental laws?

Please tick the appropriate box.

<b>YES</b>	<input type="checkbox"/>
<b>NO</b>	<input type="checkbox"/>

Please provide appropriate evidence including outcomes and details of any remedial actions taken or recommended

**H5** Within the last three years has any Relevant Organisation had any notice served upon it by any environmental regulator or authority?

Please tick the appropriate box.



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YES	
NO	

Please provide appropriate evidence including outcomes and details of any remedial actions taken or recommended.



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**Section I - Declaration and Non-Collusion**

**On completion of the questionnaire, please read and sign the declaration below.**

I certify that the information supplied in the questionnaire is accurate to the best of my knowledge.

I also understand it is a criminal offence, punishable by imprisonment, to give or offer any gift or consideration whatsoever as an inducement or reward to any servant of a public body and that such action will empower the Authority to exclude the Consortium or Relevant Organisation from the selected list of bidders.

I agree that the Authority may, if it so wishes, make inspections of completed projects, the details of which will be provided if required by the Authority.

I hereby declare that I am authorised by the under mentioned Consortium and its member companies to supply the information given above and, at the date of signing, the information given is a true and accurate record.

Signed: \_\_\_\_\_

Name: \_\_\_\_\_

Position: \_\_\_\_\_

Date: \_\_\_\_\_

The declaration must be signed by an authorised signatory, in his/her own name, and for an on behalf of the Consortium and Relevant Organisations

Please return this form with your completed questionnaire.



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**Certificate As To Non-Collusion**

The essence of the public procurement process is that the Authority shall receive bona fide competitive tenders from all Bidders. In recognition of this principle, we hereby certify that this is a bona fide response to the Pre-Qualification Questionnaire and (except as authorised by the Authority in the Information Memorandum) we have not and insofar as we are aware neither has any Bidder Party (as defined in the Memorandum Information):

1. Entered into any agreement with any other person with the aim of preventing responses to the Pre-Qualification Questionnaire being made or as to the fixing or adjusting of the conditions on which any Pre-Qualification Questionnaire Response is made; or
2. Informed any other person, other than the person calling for this Pre-Qualification Questionnaire Response, of the nature or details of the Pre-Qualification Questionnaire Response; or
3. Caused or induced any person to enter into such an agreement as is mentioned in paragraph (1) above or to inform us of the amount or the approximate amount of any rival Pre-Qualification Questionnaire Response for the Contract; or
4. Committed any offence under the Prevention of Corruption Acts 1889 to 1916 or Section 117 of the Local Government Act 1972; or
5. Offered or agreed to pay or give any sum of money, inducement or valuable consideration directly or indirectly to any person for doing or having done or causing or having caused to be done in relation to any other Pre-Qualification Questionnaire Response or proposed Pre-Qualification Questionnaire Response for the works any act or omission; or
6. Canvassed any other persons referred to in paragraph (1) above in connection with the Contract; or
7. Contacted any officer of the Authority about any aspect of the Contract including (but without limitation) for the purposes of discussing the possible transfer to the employment of the Bidder of such officer for the purpose of the Contract or for soliciting information in connection with the Contract.

In this certificate the word "person" includes any person, body or association, corporate or incorporate and "agreement" includes any arrangement whether formal or informal and whether legally binding or not.

(1) Signed: ..... (2) Signed: .....

For and on behalf of: .....  
For and on behalf of: .....

Dated: .....





## **Appendix A – North Wales Residual Waste Treatment Contract - Financial Reference Authorisation**

### **TO BE COMPLETED ON HEADED NOTEPAPER AND ADDRESSED TO YOUR PRINCIPAL BANKERS**

Dear Sirs

You are hereby authorised to provide to North Wales Residual Waste Treatment Partnership upon request a financial reference in respect of our financial position and confirm that we will meet any costs associated with the provision of such a financial reference.

Yours faithfully

### **Appendix B - Prosecutions Relating to Waste Management Operations**

[ Please insert details of prosecutions relating to Waste Management Operations in this Appendix].



## Appendix 3 Initial Descriptive Document