

29 September 2009

Dear Sir/ Madam,

**Contract Title: Northern Ireland Authority for Utility Regulation
Consultancy input into the Social Action Plan (SAP) Customer Debt Project - Code of
Practice Research and Recommendations Paper**

Contract Reference: ENV / 4 / 09

The Northern Ireland Authority for Utility Regulation (the Utility Regulator) invites you to tender for the above project, which is detailed in the attached Terms of Reference.

Please note the following forms which are contained in subsequent parts of the paperwork further below **MUST** be signed, completed and returned if you wish to enter a tender for this project:

- Schedule of Costs (part 3)
- Form of Tender (part 4)
- Certificate of Bona Fide Tendering (part 4)
- VAT Registration (part 4)
- Fair Employment Declaration (part 4)
- Freedom of Information (part 4)
- Authorised Representative (Appendix B to Part 5)

The closing date for the return of tenders is **no later than 3.00pm on Wednesday 28th October 2009**. The Utility Regulator plans to select the winning tender during the first two weeks of November and we would expect the assignment to commence on Monday 23rd November 2009. On this commencement date the successful tenderer is expected to make themselves available for briefing at the Utility Regulator offices.

Please note that the Utility Regulator is not obliged to accept the lowest or any tender. Under no circumstances, will late tenders be considered.

Thank you for your interest and response.

Yours sincerely

Emma Magill
Social & Environmental Branch
NIAUR
Queens House
14, Queen Street
Belfast BT1 6ED

Tel: 02890 316643
e-mail: emma.magill@niaur.gov.uk

The sections listed below are set out in the following paperwork.

Part 1	Instructions to Tendering Organisations
Part 2	Terms of Reference/Consultancy Brief
Part 3	Pricing Schedule
Part 4	Forms and Certificates
Part 5	Standard Northern Ireland Authority for Utility Regulation (NIAUR) Terms and Conditions of Proposed Contract

Part 1

Instructions to Tenderers

INSTRUCTIONS TO TENDERERS

Completion and Submission of Tender Documentation

Responses, completed as directed, should be returned by post to:

Emma Magill
The Utility Regulator
3rd Floor Reception
Queens House
14 Queen Street
Belfast
BT1 6ED

Proposals must be received at the Utility Regulator by 3.00pm on the Wednesday 28th October 2009.

Tenderers should include one original hard copy and 2 photocopies of the tender to be delivered to the address above before 3.00pm on the closing date.

Tenders will not be accepted by fax or e-mail.

If returning by post, where documentation is bulky, suppliers must ensure that the packaging is strong enough to secure the documents. Envelopes or packages should bear no marks indicating the identity of the supplier, but should clearly identify the tender reference.

Tenders sent by post should be registered or sent by Recorded Delivery or Datapost. The envelope containing tender documents shall be clearly marked 'TENDER SUBMISSION - Contract Number ENV / 4 / 09'.

Tender documents should be heat seal bound and there should be no amendments to the original documentation save for the elements that the tenderer has to sign.

Tenderers are advised that manually delivered tenders can only be accepted during normal office hours, which are between 9.00am and 5.00pm (Monday to Friday) and that a receipt stamped with the date and the time of acceptance should be requested. Tenders sent by special delivery or delivered by hand will not be accepted on either weekends or on Northern Ireland Public and Statutory Holidays.

The Utility Regulator cannot accept responsibility for postal or delivery delays.

Late tenders will not be considered.

All submissions must be in the English language.

Tenders must be fully compliant with the requirements detailed in the tender documentation.

All prices entered in the pricing schedule or other documents must be exclusive of VAT and in pounds sterling.

Tenders may be rejected if the required information is not given at the time of tendering.

Economic and Financial Standing

Tenderers may be required to furnish information as to economic and financial standing for assessment by the Utility Regulator prior to the acceptance of any tender.

Costs and Expenses

Tenderers will not be entitled to claim from the Utility Regulator any costs or expenses which may be incurred in preparing their tender whether or not it is successful.

Period of Validity

Tenderers are required to keep their tenders valid for acceptance for a period of ninety days from the closing date.

Confidentiality

Tenderers should treat the tender documents as private and confidential between the tenderer and the Utility Regulator. Tenderers should note that Utility Regulator shall use the tender documents for the purposes of evaluation.

Official Amendments

If it is necessary for the Utility Regulator to amend the tender documentation in any way, prior to receipt of tenders, all tenderers in receipt of documents will be notified simultaneously. If deemed appropriate, the deadline for receipt of tenders will be extended.

Canvassing

Any tenderer who directly or indirectly canvasses any official of the Utility Regulator concerning the award of contract or who directly or indirectly obtains or attempts to obtain information from such official concerning the proposed or any other tender will be disqualified. This should not, however deter any supplier seeking clarification in relation to the tender.

Assumptions

Tenderers must not make assumptions that the Utility Regulator has experience of their organisation or their service provision even if on a current or previous contract. Tenderers will only be evaluated on the information provided in their response.

Compliance

Tenders must be submitted in accordance with these instructions. Failure to comply may result in a tender being rejected by the Utility Regulator.

Freedom of Information Act (FOIA)

The tenderer should treat the tender documents as private and confidential between themselves and the Utility Regulator. Tenderers are advised that as a public body, the Utility Regulator must ensure full compliance with the Freedom of Information Act. Please note that unless an exemption provided for under the Act is applicable in relation to any particular information, a public authority will be obliged to disclose that information in response to a request regardless of the terms of any contract.

Tenderers are asked to consider if any of the information supplied in the course of this tender competition should not be disclosed because of its sensitivity. Tenderers must complete the “Freedom of Information Statement contained at Part 4 (e) “Forms and Certificates: Freedom of Information Statement” identifying which information is considered commercially sensitive and specify the reasons for its sensitivity. The Utility Regulator will consult with you about sensitive information before making a decision on any Freedom of Information requests received.

Evaluation Criteria

Tenders will be evaluated using the following criteria and associated weightings:

Criterion	Percentage
Methodology	40
Relevant Staff Experience and Expertise	40
Cost	20

Format of Response

Organisations should submit tenders detailing how and where they will deliver the requirement taking account of the criteria and requirements specified below in the Terms of Reference. To be considered, each prospective tender must address the following key areas:

Approach / Methodology of how the provider will work with the Utility Regulator to understand their requirements and offer a flexible, value for money service; proposed ways of working with the Utility Regulator to ensure that the provider understands the Utility Regulator’s needs and can deliver robust services. See Part 2 for full Terms of Reference.

The Resources (e.g. pen pictures and concise CVs of personnel) the provider will commit to carrying out and delivering the project, with particular reference to the experience and capabilities of **assigned staff** (as opposed to general firm experience) which are relevant to the services required. The submission should also include examples of previous relevant work completed by the company. Rather than providing exhaustive lists of previous experience, bidders are asked to give details of **recent** examples and should give their reasons why they believe the experience is relevant to this particular exercise.

Costs for carrying out and delivering services by the provider, according to the Terms of Reference - this will include daily rates of all provider staff identified at Part 3 (Pricing Schedule).

It should be noted that the Utility Regulator estimates that the required external consultancy services **will not exceed £30,000**.

Providers should also identify likely **expenses** incurred in delivering the service. All expenses must be covered within the total specified budget. Tenders must separately identify project fee and expenses.

Conflict of Interest

Tenderers must highlight in their proposals if there is any possibility of a conflict or perceived conflict of interest in relation to their servicing this contract. A statement to highlight this should be made in the covering letter sent with the completed tender documentation, along with proposals of how the tenderer would guarantee to deal with / avoid such conflict if necessary.

Contact Details

If tenderers require further information or wish to clarify any points of doubt or difficulty relating to the tender documentation before submitting their tender. For the purposes of this contract the contact point is: -

Emma Magill
The Utility Regulator
Queens House
14 Queens Street
Belfast
BT1 6ED

Tel: 02890 316643

Email: emma.magill@niaur.gov.uk

Part 2

**Terms of Reference and Consultancy
Brief**

Northern Ireland Authority for Utility Regulation

Terms of Reference for Consultancy Project regarding a Social Action Plan (SAP) Customer Debt Project – Code of Practice Research and Recommendations Paper

A. Background to the Utility Regulator

The Northern Ireland Authority for Utility Regulation (Utility Regulator) is a Non-Ministerial Government Department. It is headed by a Board of Directors, comprising seven non-executive Directors and one executive Director – the Authority's Chief Executive. The Authority's Chairman is Peter Matthews. It is not a policy-making Department of Government and its role is to ensure that the utility industries in Northern Ireland are regulated and developed within the strategic policy parameters determined by Ministers. Within the office, the Utility Regulator currently has approximately 75 staff and its annual budget is just under £8m this year.

In March 2009, the Authority published its Forward Work Programme for 2009-10. The programme, together with further information about the work of the Authority, may be viewed at www.niaur.gov.uk. Also available from the website, is our Corporate Strategy 2009-14 published in April 2009.

Energy

The Utility Regulator's objectives are set out in the respective Electricity and Gas Orders as amended by the Energy (Northern Ireland) Order. It has two main objectives:

- To protect the interests of electricity consumers with regard to price and quality of service by promoting competition in the Generation and Supply of Electricity; and
- To promote the development and maintenance of an economic and coordinated gas industry and to protect the interests of gas consumers with regard to price and quality of service

The Utility Regulator also places a high priority on sustainable development in the energy sector and promotes measures which will most effectively support renewables, CHP and energy efficiency.

The electricity and natural gas industries occupy a central position in the NI economy and provide essential services for domestic, industrial and commercial electricity and gas customers.

There are around 100,000 gas customers in Northern Ireland, mostly in the Greater Belfast area. Northern Ireland's gas infrastructure is still under construction and connection rates have been high over the last decade.

Northern Ireland has around 760,000 electricity consumers with load split around 60/40 between domestic and non-domestic customers. (Northern Ireland has significantly less energy-intensive industry than GB.) Peak load in Northern Ireland is around 1,700MW and total demand around 9GWh. This electricity is generated by three main power stations, plus a large number of smaller and renewable stations. Significant volumes are imported from Scotland through the 450MW Moyle interconnector, and there is a 500MW interconnector to the Republic of Ireland.

The small scale of the Northern Ireland market creates security of supply challenges and significant cost. In 2004 the UK and Republic of Ireland governments set a policy framework for moving to an all-island energy market. A major element of this strategy is the creation of a Single Electricity Market (SEM) which went live in November 2007.

Water

The Water Directorate was established on 1 April 2007 with the specific responsibility for the economic regulation of the water and sewerage industries in Northern Ireland. Our principal role is to regulate Northern Ireland Water Ltd (NIW) in a way that provides incentives and encourages the company to achieve the highest possible service for customers in terms of both quality and value.

The Utility Regulator's duties with respect to water and sewerage are broadly in line with the role currently discharged by Ofwat in England and Wales, although somewhat wider in one or two instances (e.g. we have somewhat wider functions in relation to treatment of land disposals for example).

Other Work Streams

The Utility Regulator also holds a number of competition law powers and is Northern Ireland's competition authority for the industries it regulates. The Utility Regulator is also uniquely placed as the UK's only cross-utility regulator and Northern Ireland's only non-ministerial government department. These facts create challenges and opportunities in equal measure which the Utility Regulator is keen to address over the coming years.

The Utility Regulator is also responsible for certain aspects of the Government's "green" agenda and works daily on administrative and monitoring aspects of Northern Ireland's Renewables Obligation (with assistance from Ofgem on an agency basis), via the issuance of Renewables Obligation Certificates. It also has a guiding role to play with the Northern Ireland Energy Efficiency Levy, recently re-branded as the Northern Ireland Sustainable Energy Programme. The Utility Regulator also recently consulted on a Social Action Plan 2009-12 which will be published in October 2009, reflecting its statutory duties to have due regard to the needs of vulnerable customers.

The Utility Regulator has quasi-judicial powers to determine certain complaints, disputes and appeals. It is expected that this role will expand over time as both industry and consumers come to terms with their regulatory rights.

B. Terms of Reference for the Consultancy Project

The Utility Regulator wishes to appoint an external expert consultant to carry out research into debt and disconnection issues in relation to energy supplies to domestic customers. The purpose of the research is to inform the development of a best practice model/Code of Practice for energy suppliers in dealing with debt and disconnection and in helping customers to avoid getting into debt. The expected outcome of the consultancy project will be a research paper for publication, subject to approval from the Utility Regulator, which includes recommendations on the best practice standards that a Code of Practice should contain. The timescale for delivery of the research paper is March 2010.

Background to Project

In January 2009, the Utility Regulator published a consultation document entitled "The Utility Regulator's Social Action Plan 2009-2014". Preparation of the consultation document was informed by pre-consultation meetings with a number of key stakeholders and government departments as well as customer research commissioned jointly with the Consumer Council for Northern Ireland (CCNI). The consultation ended in March 2009 and 29 responses were received. The consultation document and all the individual responses are published on our web site www.niaur.gov.uk under 'Corporate Publications' along with the decision paper that was published in August 2009. A formal Social Action Plan document for the Utility Regulator will be published in October 2009.

The decision paper incorporates a Forward Work Plan for Social Action 2009-2012. One of the main themes within the work plan is 'Reducing Financial Insecurity' and this includes an action to address issues in relation to debt management policies of the energy companies. (As domestic customers do not pay water charges at the present time, debt management is not currently applicable to the water industry but the lessons learnt from this exercise will be used to inform policy if the NI Executive decides to introduce domestic water charges in the future.) The January 2009 consultation document included a section looking at what the energy companies do to help customers in debt which discussed payment methods, debt recovery policies and the issue of self-disconnection. Respondents were asked a number of questions in relation to these issues including being asked to comment on the merits of a harmonized approach to helping vulnerable customers to avoid debt and to manage their way out of debt. Over 75% of the respondents thought that a harmonized policy was a good idea and only one respondent was opposed to it. Therefore, the Utility Regulator, within the decision paper, committed to developing a harmonized policy/Code of Practice to help

address some of the issues regarding financial vulnerability which many respondents to the consultation felt should be treated as a priority.

Terms of Reference

In order to make recommendations for a best practice model for energy suppliers in dealing with debt and disconnection, Consultants will be expected to review existing debt and disconnection policies and sample their application in relation to individual customers who are in debt.

The research methods will be expected to include:

- Survey research to be carried out with a suitably designed survey to an appropriate sample group of electricity and gas customers;
- Various stakeholder meetings and/or workshops with both Utility Regulator and CCNI involvement. (The Utility Regulator will provide a list of stakeholders that need to be included, in particular those who responded to the original Social Action Plan Consultation, representatives of Section 75 Equality Groups and electricity and gas companies who supply the domestic market). Consultants will be expected to provide a written minute of any stakeholder meetings;
- Consideration of the relevant issues raised and the information provided in the responses to the Utility Regulator's Social Action Plan consultation (January 2009);
- Consideration of available case studies provided by stakeholder organisations such as the CCNI and Citizens Advice and previous research carried out e.g. 'In Control' published by the CCNI in 2006 and the Electricity Association's 'Affording Gas and Electricity: Self Disconnection and Rationing by Prepayment and Low Income Credit Consumers and Company Attitudes to Social Action' published in 2001;
- Desk based research on best practice elsewhere.

Tenderers should specify within their bids how they will carry out the required research, quantifying sample sizes and number of stakeholder meetings/workshops to be held.

Areas of investigation for the research should include:

- the experience of customers who have been in debt and how they have been dealt with by their energy suppliers;
- the reasons why customers find themselves in debt with regard to payment of energy bills;
- accessibility to and knowledge of different payment methods and emergency credit facilities;
- the level of repayments that customers are asked to make, particularly those on benefits, and are they appropriate to their ability to pay;
- the policies and procedures for using prepayment meters as a tool for repayment of debt, and the circumstances for when they should be

introduced and when they are not appropriate e.g. may not be suitable for some persons with a disability or chronic illness;

- the level of self-disconnection and self-rationing rates, along with the reasons for and the effects of, and whether they are greater amongst vulnerable groups/equality groups e.g. those who face a language barrier, have children or older people in the household, have a disability, suffer from a chronic illness, live in rural areas or have low income. Also should consider those who are using their pre-payment meters to repay debt and those who are not;
- Suppliers' communication with customers in debt and those potentially at risk of having payment difficulties;
- Suppliers' methods for identifying vulnerable customers with regard to access issues with payment methods and also with regard to potential debt problems and any systems put in place to alert and manage instances of self-disconnection;
- Suppliers' procedures for signposting customers to other sources of help such as Citizen's Advice.

The research paper should report on the research methods used, the participants in the research and the main findings arising from the research, where possible distinguishing between the experiences of electricity and gas customers. The paper should conclude with a list of recommendations on those areas which should be covered by a best practice model/Code of Practice on dealing with customers in debt.

Within the recommendations consideration should be given to the need for, and any necessary detail for:

- Procedures on agreeing criteria for and a maximum level of repayment rates.
- Procedures on dealing with language barriers (e.g. a minimum requirement for offering different languages).
- Procedures on dealing with those who are disabled or chronically sick, and how to prevent self disconnection within these groups,
- Procedures on dealing with older people and families with children,

The research paper should be prepared in a format suitable for general publication. The recommendations within the paper will subsequently be used to inform the development of a consultation document and work stream regarding a unified Code of Practice.

C. Timetable and Budget

This consultancy assignment is scheduled to commence on Monday 23rd November 2009. On this commencement date the successful tenderer is expected to make themselves available for briefing at the Utility Regulator's offices. The consultant(s) should also plan for a number of briefing sessions with key internal staff during the course of the project to ensure a comprehensive understanding of the project requirements, discuss progress,

ensure good communication and allow for delivery of a quality end-product by end of March 2009.

We envisage a fixed price contract of a maximum of £30,000, however consultants should specify their daily rate and the number of days they consider necessary to complete the work. It should be noted that all expenses must be covered within the total specified budget. Tenderers must separately identify project fees and expenses. In the event that the Utility Regulator requests extra work in relation to this project, it will be possible to request extra time from the winning consultant at their specified daily rate.

D. Relationship between the Utility Regulator and Successful Provider(s)

Relationships must be centered on the need for mutual confidence, understanding of role, co-operation and where necessary confidentiality / sensitivity of information. We need to ensure that the consultants are able to provide quality expertise and delivery of a high quality Utility Regulator research and recommendations paper that can withstand robust analysis. The successful provider(s) must ensure that all services provided respect the highly sensitive nature of the specialist work of the Authority and the need for the highest quality level of content.

Considerable communication will be required between the winning consultant(s) and the Utility Regulator personnel in the Social and Environmental teams. This needs to be a fundamental aspect of the assignment. To aid this, the project will be led by a project manager within the Utility Regulator.

E. Reporting Requirements

The successful tenderers will be required to work closely with Utility Regulator staff to ensure the provision of a high quality paper to the agreed timescale.

The Utility Regulator shall be entitled to establish such monitoring and budgetary arrangements in relation to the operation of the contract as the Utility Regulator acting reasonably may deem appropriate. The winning tenderer will be required to provide such assistance and co-operation as necessary.

F. Information to be supplied by Service Provider

Prospective providers should indicate in full in their tenders how they will meet the Utility Regulator's requirements, and should provide at least the following specific information in their tenders:

1. **Approach** of how the supplier will work with the Utility Regulator to understand their requirements and offer a flexible, value for money service which helps the Utility Regulator to deliver on its objectives and delivers a high quality finalised paper on the agreed timescale; this

should include degree of senior level commitment to delivering advice; proposed ways of working with the Utility Regulator to ensure that the provider understands the Utility Regulator's needs and can deliver an appropriate research paper with conclusions and recommendations for developing a debt Code of Practice for consideration and subsequent publication by the Utility Regulator.

2. Demonstrate an **in-depth knowledge** of the energy industry policy/strategy in relation to consumer issues as well as fuel poverty issues, management of debt issues and the needs/specific problems of different vulnerable groups. Consultants should also show a **sound track record of experience** in providing this type of consultancy project;
3. **The resources** (e.g. pen pictures and concise CVs of personnel) the provider will commit to carrying out and delivering the project, with particular reference to the experience and capabilities of **assigned staff** (as opposed to general firm experience) which are relevant to the consultancy project;
4. **Costs** for carrying out and delivering services by the provider, according to the Terms of Reference - this will include daily rates of all provider staff identified at (3); Providers should also include an indication of envisaged out of pocket expenses to be incurred. It should be noted that all expenses must be covered within the total specified budget. Tenderers must separately identify project fees and expenses.

G. Tender Assessment

The tender will be assessed against the following criteria:

- a) Expertise, knowledge and depth of experience of the **proposed staff** in meeting the requirements of the Authority. All proposals must include skills / experience / relevant work history of staff to be involved in providing services to the Utility Regulator (40%).
- b) Approach/Methodology in delivering the services. This should include envisaged time commitments of each proposed consultant and ways of working with the Utility Regulator (40 %).
- c) Costs / Fee structure including any envisaged out of pocket expenses (20 %).

Part 3
Pricing Schedule

Notes for Guidance.

The Consultant must provide a brief resume of activities associated with the proposed methodology:

Key Activities	Task Outline	Cost

Details of Expenses	Price (£).
Total	

Signed for and on behalf of Consultant _____

Print Name _____

Name of Company _____

Dated _____

Part 4

Forms and Certificates

Instructions

The following forms are contained in this section and must be completed in full to ensure your tender is valid;

- | | | |
|---|--|-------------------|
| A | Form of Tender | (Sign and return) |
| B | Certificate relating to Bonafide Tender | (Sign and return) |
| C | VAT Registration | (Sign and return) |
| D | Fair Employment and Treatment
(Northern Ireland) Order 1998 | (Sign and return) |
| E | Freedom of Information Statement | (Sign and return) |

A: CONTRACT FOR: NIAUR - Consultancy input into the Social Action Plan (SAP) Customer Debt Project - Code of Practice Research & Recommendations Paper

I/We the undersigned hereby tender for the above contract in accordance with the attached Conditions of Contract and Specification at the prices quoted in the Schedule forming part of my/our tender response.

I/We agree that this Tender together with your written acceptance thereof shall constitute a binding contract in relation to the whole or such part of the Tender as may be specified in your written acceptance.

I/We have read, accept and agree to abide by the attached Conditions of Contract which take precedence now and for the life of this Contract over any terms, conditions, stipulations or provisos which may accompany or be contained in any correspondence submitted by me/us in connection with this Contract. We acknowledge and agree that any reference to, or submission of, our standard terms and conditions of business (whether in whole or in part (e.g. our disclosure protocols) or whether signed or unsigned by you) shall be for information only, and shall not bind you above and beyond your obligations under the attached Conditions of Contract.

I/We understand that NIAUR does not bind itself to accept the lowest or any tender submitted in response to this enquiry and may accept the whole or part of any tender.

I/We understand NIAUR reserves the right to discontinue the award procedure in the event of irregular tenders or in the absence of appropriate tenders and in such circumstances may use the negotiated procedure without a further call for competition.

I/We warrant that I/we have all the requisite corporate authority to sign this tender.

Dated this _____ day of _____ 2009	
Signed by/on behalf of the tenderer	
Printed	
Full name of tenderer or in the case of a partnership the full names of all partners (block capitals)	
Registered address	

B: Certificate Relating to Bona Fide Tender

- 1) The essence of tendering is that the client shall receive bona fide competitive tenders from all firms tendering. In recognition of this principle, we certify that this is a bona fide tender intended to be competitive and that we have not fixed or adjusted the amount of the tender by or under or in accordance with any agreement or arrangements with any other person.
- 2) We also certify that we have not:
 - d) communicated to a person other than the person calling for these tenders the amount or approximate amount of the proposed tender, except where the disclosure, in confidence, of the approximate amount of the tender was necessary to obtain insurance premium quotations required for the preparation of this tender;
 - e) entered into any agreement or arrangement with any other person that he shall refrain from tendering or as to the amount of any tender to be submitted;
 - f) offered or paid or given or agreed to pay or give any sum of money 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 tender or proposed tender for the said work any act or thing of the sort described above.
- 3) We undertake that we will not do any of the acts mentioned in paragraphs 2a, 2b or 2c above at any time before the acceptance or rejection of this tender.
- 4) In this certificate the word “person” includes any persons and any body or association, corporate or unincorporate and “any agreement or arrangement” includes any such transaction, formal or informal and whether legally binding or not.

Dated this _____ day of _____ 2009	
Signed	
Printed	
For and on behalf of:	

C: VAT Registration

Part 1 or Part 2 **and Part 3** to be completed as appropriate by the Tenderer and returned with Tender Documents:-

Part 1	
My/Our VAT registration number is:	
Signed by:	
For and on behalf of:	
Dated this _____ day of _____ 2009	

Part 2: I/We are “exempt” from VAT under the terms of the Value Added Tax Act 1994	
My/Our VAT registration number is:	
Signed by:	
For and on behalf of:	
Dated this _____ day of _____ 2009	

Part 3: Please indicate which of the following best describes the economic status of your company/organisation	
Small and Medium Sized Enterprise	Y/N
Social Economy Enterprise	Y/N
Voluntary and Community Organisation	Y/N
If other please specify	

:

D: Fair Employment and Treatment (Northern Ireland) Order 1998

1. Article 64 of the Fair Employment and Treatment (Northern Ireland) Order 1998 provides inter alia that a public authority shall not accept an offer to execute any work or supply any goods or services where the offer is made by an unqualified person in response to an invitation by the public authority to submit offers. Article 64(4) also provides that the public authority shall take all such steps as are reasonable to secure that no work is executed or supplies or services supplied for the purposes of such contracts as are mentioned above by an unqualified person.
2. For the purposes of Articles 64-66 of the Order, an unqualified person is a person on whom a notice has been served under Article 62(2) or Article 63(1) of the Order and which has not been cancelled.
3. Mindful of the Order, NIAUR has decided that it shall be a condition of tendering that a contractor shall not be an unqualified person for the purpose of Articles 64-66 of the Order.
4. Contractors are therefore asked to complete and return the form endorsed hereon, with their tender, to confirm that they are not unqualified persons and to undertake that no work shall be executed or supplies or services supplied by an unqualified person for the purposes of any contract with NIAUR to which Article 64 of the Order applies.

Fair Employment and Treatment (Northern Ireland) Order 1998

- 1) I/We hereby declare that I am/we are not unqualified for the purposes of the Fair Employment and Treatment (Northern Ireland) Order 1998.
- 2) I/We undertake that no work shall be executed or supplies or services supplied by any unqualified person for the purposes of any contract with NIAUR, to which Article 64 of the Order apply.

Signed by:	
Duly authorised to sign for and on behalf of:	
Date:	

E: Freedom of Information Statement

With reference to Section 5 of the Instructions to Tenderers and Clause 24 of the Terms and Conditions of Contract, please complete where appropriate.

I/We consider that:

The information in this tender is sensitive*.

The information in this tender is not sensitive*.

***Delete as Appropriate**

If the information supplied in this tender is considered sensitive, please state which information should not be disclosed and provide reasons.

Please state the period for which information should remain commercially sensitive.	
Signed	
Block Capitals	
For and on behalf of:	
Date	

Part 5

Terms and Conditions of Contract

CONDITIONS OF CONTRACT

FOR

SERVICES

FOR

Northern Ireland Authority for Utility Regulation

**Consultancy Title: Consultancy input into the Social Action Plan
(SAP) Customer Debt Project - Code of Practice Research &
Recommendations Paper**

Contract Reference: ENV / 4 / 09

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Appendix A to Part 5: Variation to Contract

Appendix B to part 5: Authorised Representatives

1. Interpretation

1.1. In these Conditions the following words shall have the following meanings except where the context otherwise requires:

a	Amendments	The amendments (if any) to the Contract which may be agreed by the Contractor and NIAUR [in writing]
b	Authorised Representative	The nominated representative of NIAUR
c	Commencement Date	23rd November 2009
d	Conditions	The terms and conditions set out herein.
e	Confidential Information	Any and all information regarding NIAUR, the Contractor or any aspect of their respective businesses, the Contract, its contents or the transactions contemplated by it and the negotiations relating to the Contract.
f	Contract	The tender completed by the counterparty to these Conditions and to which these Conditions relate, these Conditions; any specification or operational requirements; any drawings, any schedule of prices or rates or lump sum as submitted by the accepted tenderer, any letter of acceptance issued by NIAUR to the accepted tenderer together with such correspondence, if any, between the accepted tenderer and NIAUR, as may be agreed by both parties to form part of the Contract.
g	Contractor	The person, firm or corporate body whose tender shall have been accepted by NIAUR and who is a counter party to these Conditions and shall include the Contractor's personal representatives, successors, and permitted assigns.
h	Contractors' Staff	Employees, sub-contractors, employees and agents or any representatives of both Contractor and sub-contractor of the Contractor.
i	NIAUR	Northern Ireland Authority for Utility Regulation
j	Equipment	All materials, plant, equipment, and consumables other than NIAUR's property to be used by the Contractor in the

k	Intellectual Property	<p>provision of the Services.</p> <p>All patents, rights to inventions, utility models, copyright and related rights, trademarks, service marks, trade, business and domain names, rights in trade, dress or get-up, rights in goodwill or to sue for passing off, rights in design, rights in computer software, information sets collected and database rights, topography rights, moral rights, rights in confidential information (including know-how and trade secrets) and any other intellectual property rights, in each case whether registered or unregistered and including all applications for and renewals or extensions of such rights, and all similar or equivalent rights or forms of protection in any part of the world.</p>
l	Premises	Land or buildings where the Services are performed.
m	Services	The services to be provided by the Contractor as set out in Part 2, together with any other services which the Contractor provides or agrees to provide to NIAUR.

1.2. Words importing the singular shall also include the plural, and importing the masculine shall also include the feminine and vice versa where the context requires.

1.3. A reference to any statute, enactment, order, regulations or other similar instrument shall be construed as a reference to the statute, enactment, order, regulation or instrument as subsequently amended or re-enacted.

1.4. A reference to a law:

1.4.1. includes a reference to any constitutional provision, subordinate legislation, treaty, decree, convention, statute, regulation, rule, ordinance, proclamation, by-law, judgement, rule of common law or equity;

1.4.2. is a reference to that law as amended, consolidated, supplemented or replaced; and

1.4.3. is a reference to any regulation, rule, ordinance, proclamation, by-law or judgment made under that law

1.5. A reference to a document (including these conditions) is a reference to that document (including any schedules, annexures and appendices) as amended, consolidated, supplemented, novated or replaced.

2. Entire Agreement

2.1. The Contract constitutes the entire agreement between the parties relating to the subject matter of the Contract. The Contract supersedes all prior negotiations, agreements, communication, representations and undertakings,

whether written or oral, except that this Condition shall not exclude liability in respect of any fraudulent misrepresentation.

2.2. This Contract takes precedence now and for the life of this Contract over any terms, conditions, stipulations or provisos which may accompany or be contained in any correspondence submitted by the Contractor in connection with the Contract or any part thereof. The Contractor acknowledges and agrees that any reference to, or submission of, its standard terms and conditions of business (whether in whole or in part (e.g. disclosure protocols) or whether signed or unsigned by NIAUR) shall be for information only, and shall not bind NIAUR above and beyond its obligations under these Conditions of Contract.

3. Period of Contract

3.1. The Contract shall take effect on the Commencement Date and shall remain in force for an initial period of up to 6 months but with the written agreement of both parties may be extended for a further year, unless it is otherwise terminated in accordance with the provisions of these Conditions.

4. Services/Appointment of Contractor

4.1. NIAUR hereby appoints the Contractor to provide the Services during the term of the Contract, and the Contractor shall act in that capacity subject to the Contract.

4.2. Requests to provide the Services may be transmitted by NIAUR in writing by post, fax or other electronic means as may be agreed by both parties. In cases of urgency verbal instructions may be given by NIAUR pending written confirmation.

5. Conditions Affecting Provision of Services

5.1. The Contractor shall be deemed to have satisfied himself as regards the nature and extent of the Services, the means of communication with and access to the Premises, the supply of and conditions affecting labour, the suitability of NIAUR's property and the equipment necessary for the performance of the Services, subject to all such matters being discoverable by the Contractor.

6. Contractor Status

6.1. Nothing in the Contract shall be construed as creating a partnership, a contract of employment or a relationship of principal and agent between NIAUR and the Contractor.

7. NIAUR'S Property

7.1. All NIAUR's property shall remain the property of NIAUR and shall be used in the performance of the Contract and for no other purpose unless the prior approval of NIAUR is obtained.

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- 7.2. On receipt of any item NIAUR's property the Contractor shall subject it to a visual inspection and such additional inspection and testing as may be necessary to check that it is not defective; within 14 days of receipt of any item of NIAUR's property, or such other period as may be agreed by the parties, the Contractor shall notify NIAUR in writing of any defects discovered; within 14 days after receiving such notification, NIAUR shall inform the Contractor of the action to be taken
- 7.3. NIAUR shall be responsible for the repair or replacement of NIAUR's property unless the need for repair or replacement is caused by the Contractor's failure to comply with Condition 7.5, or by the negligence or default of the Contractor.
- 7.4. The Contractor shall be responsible for his own costs resulting from any failure of NIAUR's property, unless he can demonstrate that NIAUR had caused undue delay in its replacement or repair.
- 7.5. The Contractor shall maintain all items of NIAUR's property in good and serviceable condition, fair wear and tear excepted, and in accordance with the manufacturer's recommendations.
- 7.6. The Contractor shall be liable for any loss of or damage to any NIAUR's property unless the Contractor is able to demonstrate that such loss or damage was caused or contributed to by the negligence or default of NIAUR.
- 7.7. The Contractor shall not in any circumstances have a lien on any NIAUR's property and shall take all steps necessary to ensure that the title of NIAUR and the exclusion of any lien are brought to the attention of any third party dealing with any of NIAUR's property.
- 7.8. The Contractor undertakes the due return of all re-useable NIAUR property and will be responsible for all loss thereof or damage thereto from whatever cause. Deterioration in such property resulting from its normal and proper use in the performance of the Contract shall not be deemed to be loss or damage, except in so far as the deterioration is contributed to by any want of maintenance and repair by the Contractor.

8. Equipment

- 8.1. The Contractor shall provide and maintain the Equipment in good and serviceable condition.
- 8.2. The Equipment shall be at the risk of the Contractor and NIAUR shall have no liability for any loss of or damage to the Equipment unless the Contractor is able to demonstrate that such loss or damage was caused by the negligence or default of NIAUR.
- 8.3. The Contractor shall provide for the haulage or carriage of the Equipment to the Premises and its off-loading and removal when no longer required.

8.4. NIAUR may at its option purchase any item of Equipment from the Contractor at any time, if NIAUR considers that the item is likely to be required in the provision of the Services following the expiry or termination of the Contract. The purchase price to be paid by NIAUR shall be the fair market value.

9. Staff

9.1. The Contractor warrants and represents that all staff assigned to the performance of the Contract shall possess such skill and experience as is necessary for the proper performance of the Contract.

9.2. Where the Contract provides that the work shall be done by named staff the Contractor undertakes to take all reasonable steps to ensure that his staff remain for the full period of the Contract. Unavoidable changes in the Contractor's staff proposed by the Contractor and agreed by the Authorised Representative shall be subject to not less than one month's written notice.

9.3. If for any other reasons changes in the Contractor's staff become necessary in the opinion of the Authorised Representative such changes shall be subject to 1 week's written notice by the Authorised Representative to the Contractor.

9.4. In the event that the Contractor is unable to provide replacement staff acceptable to the Authorised Representative within sufficient time to enable the Contractor to complete the work on time then NIAUR may obtain replacement staff from other sources or terminate the Contract at its discretion.

10. Co-ordination

10.1. The Contractor shall co-ordinate his activities in the provision of the Services with NIAUR (including the Authorised Representative) personnel and other contractors engaged by NIAUR.

11. Use of NIAUR's Premises

11.1. Where the Services are performed on NIAUR's premises the Contractor shall have use of the NIAUR's premises without charge as a licensee and shall vacate those premises on completion or earlier termination of the Contract.

11.2. The Contractor shall not use the NIAUR's premises for any purpose or activity other than the provision of the Services unless given prior approval by NIAUR.

11.3. Should the Contractor require modifications to NIAUR's premises, such modifications shall be subject to NIAUR's prior approval and shall be carried out by NIAUR at the Contractor's expense. NIAUR shall undertake approved modification work as soon as reasonably practicable. Ownership of such modifications shall rest with NIAUR.

11.4. The Contractor shall not deliver the Equipment to NIAUR's premises outside normal working hours without the prior approval of the Department. The

Contractor shall maintain the Equipment and its place of storage within the Department's premises in a safe, serviceable and clean condition.

11.5. On the completion or earlier termination of the Contract, the Contractor shall, subject to the provisions of Condition 8.5, remove the Equipment and shall clear away NIAUR's premises all waste arising from the performance of the Services and shall leave NIAUR's premises in clean and tidy condition.

11.6. Whilst on NIAUR's premises, all Contractors staff shall comply with such rules, regulations and other requirements as may be in force in respect of the conduct of persons attending and working on NIAUR's premises.

12. Right of Access

12.1. NIAUR reserves the right to refuse to admit to any premises occupied by or on behalf of itself or the Crown any person employed by the Contractor, or by a sub-contractor, whose admission would be, in the opinion of NIAUR undesirable.

12.2. The Contractor shall comply with the requirements of NIAUR in regard to ensuring the identity and bonafides of all workers and other persons requiring to be admitted to any officially occupied premises in connection with the Contract.

12.3. If the Contractor shall fail to comply with condition 12.2 and if NIAUR shall decide that such failure is prejudicial to the interests of NIAUR or the Crown, then NIAUR may terminate the Contract if the Contractor does not comply with such provisions of condition 12.2 within a reasonable time of written notice to do so provided always that such termination shall not prejudice or affect any right of action or remedy which shall have accrued thereafter to NIAUR.

12.4. The decision of NIAUR as to whether any person is to be refused admission to any premises occupied by or on behalf of itself or the Crown and as to whether the Contractor has failed to comply with condition 12.2 shall be final and conclusive.

13. Manner of Providing the Services

13.1. The Contractor shall perform the Services with all due care, skill and diligence, and in accordance with good industry practice. Timely provision of the Services is of the essence of the Contract.

13.2. The Services shall be performed only on sites previously approved by NIAUR.

13.3. The Contractor shall, upon the instruction of the Authorised Representative:

13.3.1. remove from NIAUR's premises any materials which are not in accordance with those contained in any standards or quality specified and substitute proper and suitable materials;

13.3.2. remove and properly re-execute any work which is not in accordance with the Contract, irrespective of any previous testing or payment by NIAUR. The Contractor shall at his own expense complete the re-executed work correctly in accordance with the Contract within such reasonable time as NIAUR may specify.

13.4. The signing by the Authorised Representative of time sheets or other similar documents shall not be construed as implying the Contractor's compliance with the Contract.

14. Standards

14.1. Materials and processes used in connection with the Services shall be in accordance with any standards and quality specified.

14.2. At the request of the Authorised Representative, the Contractor shall provide proof to NIAUR's satisfaction that the materials and processes used or proposed to be used, conform to those standards.

14.3. The introduction of new methods or systems which impinge on the Services shall be subject to NIAUR's prior approval.

15. Overtime Working

15.1. The Contractor shall not normally be prevented from working reasonable overtime hours on NIAUR's premises if he so desires, provided that he obtains NIAUR's prior approval and it is at no additional cost to the Department.

16. Progress Reports

16.1. If NIAUR requests progress reports the Contractor shall render progress reports at such time and in such form as may be specified or otherwise agreed upon between the parties.

16.2. The submission and receipt of progress reports shall not prejudice the rights of either party under the Contract.

17. Payment

17.1. NIAUR shall pay the Contractor for work completed at the rates or prices contained in the pricing schedule [or other interest documentation]. Where payment is based upon daily rates the Contractor and his staff will be expected to work 7½ hours per day, exclusive of meal breaks, unless alternative arrangements are agreed with NIAUR.

17.2. In cases where payment is via the Government Purchasing Card, all payments shall be made to Service Providers by the nominated Bank in accordance with the provisions of the scheme.

17.3. In all other cases payment shall be due within thirty (30) days of receipt by NIAUR of a correct application for payment or invoice or as otherwise specified in the Contract.

17.4. The NIAUR reserves the right to withhold payment against any invoice which is not submitted in accordance with the Contract or which covers or purports to relate to services which have not been provided in accordance with the Contract and shall forthwith notify the Contractor accordingly in writing.

18. Value Added Tax

18.1. NIAUR shall pay to the Contractor, in addition to the charges due for the work performed under the Contract, a sum equal to the value added tax as may be properly chargeable on the value of the Services provided in accordance with the Contract.

18.2. Any invoice or other request for payment of monies due to the Contractor under the Contract shall, if he is a taxable person, be in the form and contain the same information as if the same were a tax invoice for the purposes of Regulations made under the Valued Added Tax Act 1994.

18.3. The Contractor shall, if so requested by NIAUR, furnish such information as may reasonably be required by NIAUR as to the amount of value added tax chargeable on the value of goods and services supplied in accordance with the Contract and payable by NIAUR to the Contractor in addition to the charges for work. Any over payment by NIAUR to the Contractor shall be a sum of money recoverable from the Contractor.

18.4. If the costs of the Contract are increased or decreased any monies thereby payable shall have added to them a sum equal to any appropriate adjustment in respect of value added tax due on the final value of the work.

19. Recovery of Sums Due

19.1. Whenever under the Contract any sum of money is recoverable from or payable by the Contractor (including any sum which the Contractor is liable to pay to NIAUR in respect of any breach of the Contract), NIAUR may unilaterally deduct that sum from any sum then due or which at any later time becomes due to the Contractor under the Contract or under any other contract with NIAUR or with any other department, office or agency of the Crown.

19.2. NIAUR shall give at least 21 days' notice to the Contractor of its intention to make a deduction under Condition 19.1 giving particulars of the sum to be recovered and the contract under which the payment arises from which the deduction is to be made.

19.3. Any overpayment by NIAUR to the Contractor, whether of the contract price or of value added tax, shall be a sum of money recoverable by NIAUR from the Contractor.

20. Price Adjustments

- 20.1. Prices quoted shall remain firm for the initial contract period set out in Condition 3.1.
- 20.2. In the event that the contract period is extended a price review shall take place and any increases or decreases shall be agreed by both parties and recorded as a variation in line with Condition 39. Work arising from any variation will normally be carried out by the contractor at the daily rate quoted in the original tender.

21. Intellectual Property Rights - Assignment and Indemnity

- 21.1. The Contractor hereby assigns to NIAUR all Intellectual Property Rights owned by the Contractor in any material, including all data and data sets, which are generated by the Contractor and delivered to NIAUR in the performance of the Services and shall waive all moral rights relating to such material. The Contractor shall not reproduce, publish or supply any such material to any person other than NIAUR without prior approval in writing.
- 21.2. In performing the Services the Contractor shall obtain NIAUR's approval before utilising any material which is or may be subject to any Intellectual Property Rights other than those referred to in Condition 21.1.
- 21.3. The Contractor shall indemnify NIAUR against all claims, proceedings, actions, damages, legal costs (including but not limited to legal costs and disbursements on a solicitor and client basis), expenses and any other liabilities arising from or incurred by the use by the Contractor, in the performance of the Services, or the use by NIAUR following delivery by the Contractor, of any material which involves any infringement or alleged infringement of the Intellectual Property Rights of any third party.

22. Security

- 22.1. The Contractor shall take all measures necessary to comply with the provisions of any law or the directions or regulating of any regulatory or governmental authority relating to security which may be applicable to the Contractor in the performance of the Services.
- 22.2. The Contractor shall take all reasonable measures, by the display of notices or other appropriate means, to ensure that staff have notice that all provisions referred to in Condition 22.1 will apply to them and will continue to apply to them, if so applicable, after the expiry or earlier termination of the Contract.
- 22.3. Whilst on NIAUR's premises, staff shall comply with all security measures implemented by NIAUR in respect of personnel and other persons attending those premises. NIAUR shall provide copies of its written security procedures to the Contractor on request.

22.4. NIAUR shall have the right to carry out any search of staff or of vehicles used by the Contractor at NIAUR's premises.

22.5. The Contractor shall co-operate with any investigation relating to security which is carried out by NIAUR or by any person who is responsible to NIAUR for security matters and when required by the Authorised Representative:

22.5.1. shall use his best endeavours to make any staff identified by the Authorised Representative available to be interviewed by the Authorised Representative, or by a person who is responsible to NIAUR for security matters, for the purposes of the investigation. Staff shall have the right to be accompanied by a contractor's representative and to be advised or represented by any other person whose attendance at the interview is acceptable to both the Authorised Representative and any contractor's representative; and

22.5.2. shall, subject to any legal restriction on their disclosure, provide all documents, records or other material of any kind which may reasonably be required by NIAUR or by a person who is responsible to NIAUR for security matters, for the purposes of the investigation, so long as the provision of that material does not prevent the Contractor from performing the Services. NIAUR shall have the right to retain any such material for use in connection with the investigation and, so far as possible, shall provide the Contractor with a copy of any material retained.

23. Confidentiality

23.1. Each party must, and must use its best endeavours to ensure that its officers, employees, agents or professional advisers:

23.1.1. treat all Confidential Information as confidential and safeguard it accordingly; and

23.1.2. not disclose any Confidential Information to any other person without the prior written consent of the other party, except to such persons and to such extent as may be necessary for the performance of the Contract or except where disclosure is otherwise expressly permitted by the provisions of the Contract.

23.2. The Contractor shall take all necessary precautions to ensure that all Confidential Information obtained from NIAUR under or in connection with the Contract is given only to such officers, employees, agents or professional advisers engaged to advise it in connection with the Contract as is strictly necessary for the performance of the Contract and only to the extent necessary for the performance of the Contract;

23.2.1. the Contractor shall ensure that its officers, employees, agents or professional advisers are aware of the Contractor's confidentiality obligations under this Contract.

23.3. The Contractor shall not use any Confidential Information it receives from NIAUR otherwise than for the purposes of the Contract.

23.4. The provisions of Conditions 23.1 to 23.4 shall not apply to any Confidential Information received by one party from the other: -

23.4.1. which is or becomes public knowledge (otherwise than by breach of this Condition);

23.4.2. which was in the possession of the receiving party, without restriction as to its disclosure, before receiving it from the disclosing party;

23.4.3. which is received from a third party who lawfully acquired it and who is under no obligation restricting its disclosure;

23.4.4. is independently developed without access to the Confidential Information; or

23.4.5. which must be disclosed pursuant to a statutory, legal or parliamentary obligation placed upon the party making the disclosure, including any requirements for disclosure under the FOIA, or the Environmental Information Regulations pursuant to Condition 24.3 (Freedom of Information)

23.5. Nothing in this Condition shall prevent NIAUR disclosing any confidential information for the purpose of:

23.5.1. the examination and certification of NIAUR's accounts; or

23.5.2. any examination pursuant to Section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with which NIAUR has used its resources; or

23.5.3. disclosing any confidential information obtained from the Contractor

To any government department or any other contracting authority.

23.6. All government departments or contracting authorities receiving such Confidential Information shall be entitled to further disclose the Confidential Information to other government departments or other contracting authorities on the basis that the information is confidential and is not to be disclosed to a third party which is not part of any government department or any contracting authority; or

23.7. to any person engaged in providing any services to NIAUR for any purpose relating to or ancillary to the Contract;

23.8. provided that in disclosing information under sub-paragraph (b) the Department discloses only the information which is necessary for the purpose concerned and requires that the information is treated in confidence and that a confidentiality undertaking is given where appropriate.

23.9. Nothing in this Condition shall prevent either party from using any techniques, ideas or know-how gained during the performance of the Contract in the course of its normal business, to the extent that this does not result in a disclosure of Confidential Information or an infringement of Intellectual Property Rights.

23.10. In the event that the Contractor fails to comply with this Condition 23, NIAUR reserves the right to terminate the Contract by notice in writing with immediate effect.

23.11. The provisions under this Condition are without prejudice to the application of the Official Secrets Acts 1911 to 1989 to any Confidential Information.

24. Freedom of Information

24.1. The Contractor acknowledges that NIAUR is subject to the requirements of the Freedom of Information Act 2000 (the "FOIA") and the Environmental Information Regulations 2004 and shall assist and cooperate with NIAUR (at the Contractor's expense) to enable NIAUR to comply with these information disclosure requirements.

24.2. The Contractor shall and shall procure that its sub-contractors shall:

24.2.1. transfer the Request for Information to NIAUR as soon as practicable after receipt and in any event within two working days of receiving any Request for Information;

24.2.2. provide NIAUR with a copy of all information in its possession or power in the form that NIAUR requires within five working days (or such other period as NIAUR may specify) of NIAUR requesting that Information; and

24.2.3. provide all necessary assistance as reasonably requested by NIAUR to enable NIAUR to respond to a Request for Information within the time for compliance set out in section 10 of the FOIA [or regulation 5 of the Environmental Information Regulations as the case may be].

24.3. NIAUR shall be responsible for determining at its absolute discretion whether any commercially sensitive information and/or any other information:-

24.3.1. is exempt from disclosure in accordance with the provisions of the FOIA or the Environmental Information Regulations 2004;

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- 24.3.2. is to be disclosed in response to a Request for Information, and
- 24.3.3. in no event shall the Contractor respond directly to a Request for Information unless expressly authorised to do so by NIAUR.
- 24.4. The Contractor acknowledges that NIAUR may be obliged under the FOIA, or the Environmental Information Regulations 2004 to disclose Information:
- 24.4.1. without consulting with the Contractor, or
- 24.4.2. following consultation with the Contractor and having taken its views into account.
- 24.5. The Contractor shall ensure that all information produced in the course of the Contract or relating to the Contract is retained for disclosure and shall permit NIAUR to inspect such records as requested from time to time.
- 24.6. The Contractor acknowledges that any lists or schedules provided by it outlining Confidential Information are of indicative value only and that NIAUR may nevertheless be obliged to disclose Confidential Information in accordance with Clause 24.4.

25. Publicity

- 25.1. The Contractor shall not make any public statement relating to the existence or performance of the Contract without prior approval of NIAUR, which shall not be unreasonably withheld.

26. Right of Audit

- 26.1. The Contractor shall keep secure and maintain until two years after the final payment of all sums due under the Contract, or such longer period as may be agreed between the parties, full and accurate records of the Services, all expenditure reimbursed by NIAUR and all payments made by NIAUR.
- 26.2. The Contractor shall grant to NIAUR or its authorised agents, such access to those records as they may reasonably require in compliance with the Contract.

27. Data Protection Act 1998

- 27.1. The Contractor shall not disclose or allow access to any personal data provided by NIAUR or acquired by the Contractor during the course of tendering for or executing the Contract, other than to a person employed or engaged by the Contractor or any sub-contractor, agent or other person concerned with the same.
- 27.2. Any disclosure of or access to personal data allowed under Condition 27.1 shall be made in confidence and shall extend only so far as that which is specifically necessary for the purpose of the Contract.

27.3. The Contractor shall store or process such personal data only at sites specifically agreed in writing, in advance, with NIAUR.

27.4. If the Contractor fails to comply with any provision of this Condition then NIAUR may summarily determine the Contract by notice in writing to the Contractor provided always that such determination shall not prejudice or affect any right of action or remedy which shall have accrued or shall accrue thereafter to NIAUR.

27.5. If the Contractor or any employee, servant agent or sub contractor of the Contractor, having obtained without the consent of NIAUR personal data within the meaning of the Data Protection Act 1998, directly or indirectly discloses or publishes the data to any other person or allows improper access to the data, or in any event directly or indirectly causes the loss, damage, or destruction of such data, he shall indemnify NIAUR against all claims, proceedings, costs and expenses in respect of any damage or distress suffered whereby by any person.

27.6. The decision of NIAUR upon matters arising under this Condition 27 shall be final and conclusive.

28. Indemnity and Insurance

28.1. The Contractor shall indemnify NIAUR to a limit of £5,000,000 (five million pounds) in respect of any one incident or series of incidents arising out of his performance of the Contract against all claims, proceedings, actions, damages, legal costs, expenses and any other liabilities in respect of any loss of or damage to property or financial loss which is caused directly or indirectly by any act or omission of the Contractor. The contractor shall indemnify NIAUR in respect of death or personal injury arising out of his performance of this contract and this indemnity shall be unlimited. This Condition 28.1 shall not apply to the extent that the Contractor is able to demonstrate that such death or personal injury, or loss or damage, was not caused or contributed to by his negligence or default, or the negligence or default of his staff or sub-contractors, or by any circumstances within his or their control.

28.2. The Contractor shall effect and maintain with a reputable insurance company a policy or policies of insurance providing an adequate level of cover in respect of all risks which may be incurred by the Contractor, arising out of the Contractor's performance of the Contract, in respect of death or personal injury, or loss of or damage to property. Such policies shall include cover in respect of any financial loss arising from any advice given or omitted to be given by the Contractor.

28.3. The Contractor shall hold employer's liability insurance in accordance with any legal requirement for the time being in force.

28.4. The Contractor shall produce to the Authorised Representative, on request, copies of all insurance policies referred to in this Condition or other evidence confirming the existence and extent of the cover given by those policies,

together with receipts or other evidence of payment of the latest premiums due under those policies.

28.5. The terms of any insurance or the amount of cover shall not relieve the Contractor of any liabilities under the Contract. It shall be the responsibility of the Contractor to determine the amount of insurance cover that will be adequate to enable the Contractor to satisfy any liability referred to in this Condition.

29. Corrupt Gifts and Payments of Commission

29.1. The Contractor shall not:

29.1.1. offer or give or agree to give any person in Her Majesty's Service or who is an agent or employee of NIAUR any gift or consideration of any kind as an inducement or reward for doing or forbearing to do or for having done or forborne to do any act in relation to the obtaining or execution of this Contract or any other contract for Her Majesty's Service and/or for showing or forbearing to show favour or disfavour to any person in relation to the Contract or any other contract for Her Majesty's Service or NIAUR; or

29.1.2. enter into this Contract or any other contract with NIAUR or any government department in connection with which commission has been paid or agreed to be paid by him, or on his behalf, or to his knowledge, unless before the Contract is made particulars of any such commission and of the terms and conditions of any agreement for the payment thereof have been disclosed in writing to NIAUR.

29.2. Any breach of this Condition by the Contractor, the Contractors staff or by anyone employed by him or acting on his behalf (whether with or without the knowledge of the Contractor, the Contractors staff and or NIAUR) or the commission of any offence by the Contractor or by anyone employed by him or acting on his behalf, (either with or without the knowledge of the Contractor, the Contractor's staff and or NIAUR) under the Prevention of Corruption Acts, 1889 to 1916, in relation to this Contract or any other contracts for Her Majesty's Service, shall entitle the Department to determine the Contract and recover from the Contractor, the Contractors staff and or NIAUR the amount of any loss resulting from such determination and/or to recover from the Contractor the Contractors staff and or NIAUR the amount or value of any such gift, consideration or commission.

29.3. Any dispute, difference or question arising in respect of either the effect or the interpretation of this condition or the amount recoverable hereunder by NIAUR from the Contractor or the right of NIAUR to determine the Contract, or the amount or value of any such gift, consideration or commission shall be decided by NIAUR whose decision shall be final and conclusive.

30. Statutory and Other Regulations

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- 30.1. The Contractor shall be deemed to have acquainted himself with any and all laws, regulations, recommendations, guidance or practices as may affect the Services.
 - 30.2. The Contractor shall be deemed to have acquainted himself with British/European Standards, and relevant codes of practice as may be relevant to this Contract.
 - 30.3. The Contractor shall adequately train, instruct and supervise staff to ensure that so far as is reasonably practical the standards and codes of practice are observed.

31. Equality of Opportunity

- 31.1. The Contractor shall comply with all applicable fair employment, equality of treatment and anti-discrimination laws, including, in particular, the Employment (Northern Ireland) Order 2002, the Fair Employment and Treatment (Northern Ireland) Order 1998, the Sex Discrimination (Northern Ireland) Order 1976 and 1988, the Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003, the Equal Pay Act (Northern Ireland) 1970, the Disability Discrimination Act 1995, the Race Relations (Northern Ireland) Order 1997, the Employment Relations (Northern Ireland) Order 1999 and the Employment Rights (Northern Ireland) Order 1996 and shall use his best endeavours to ensure that in his employment policies and practices and in the delivery of the services required of the Contractor under this agreement he has due regard to the need to promote equality of treatment and opportunity between:
 - 31.1.1. persons of different religious beliefs or political opinions;
 - 31.1.2. men and women or married and unmarried persons;
 - 31.1.3. persons with and without dependants (including women who are pregnant or on maternity leave and men on paternity leave);
 - 31.1.4. persons of different racial groups (within the meaning of the Race Relations (Northern Ireland) Order 1997);
 - 31.1.5. persons with and without a disability (within the meaning of the Disability Discrimination Act 1995);
 - 31.1.6. persons of different ages; and
 - 31.1.7. persons of differing sexual orientation.
- 31.2. The Contractor shall take all reasonable steps to ensure the observance of the provisions of Condition 31.1 by all officers, agents, employees, consultants and sub-contractors of the Contractor.

32. Health and Safety

32.1. The Contractor shall comply with all relevant environmental and safety law and shall comply with all legal requirements from time to time in force in relation to the Services. The Contractor's attention is drawn to the provision of the Health and Safety at Work (Northern Ireland) Order 1978 and in particular to Article 4 "General Duties of Employers to their Employees".

32.2. The Contractor shall adequately train, instruct and supervise staff to ensure that so far as is reasonably practicable, the health and safety of all persons who may be affected by the Services. Before commencing work on the Contract the Contractor, shall prepare a written policy of the health and safety of staff employed in connection with the Contract together with written organisational arrangements for carrying out the policy.

33. Social Security System

33.1. The Contractor shall not employ any person whom he knows or ought to know is by reason of his employment engaged in any unlawful procurement of social security benefits or tax exemptions and the Contractor shall not make, facilitate or participate in the procurement of, any unlawful payments whatsoever, whether in the nature of social security fraud, or evasion of tax, or otherwise.

33.2. The Contractor shall prepare and maintain such records of his staff and all other persons engaged in the performance of this Contract by the Contractor as NIAUR may from time to time require.

33.3. Without prejudice to Condition 33.2 the Contractor shall forthwith on demand by NIAUR furnish NIAUR with the names, addresses and national insurance numbers of all persons employed by him under the contracts of service and shall forthwith on demand furnish NIAUR with the names, addresses, periods of employment and exemption certificates of all persons employed by him under contracts for services.

33.4. The Contractor shall permit NIAUR, its servants or agents at all reasonable times to enter on any premises of the Contractor for the purpose of inspection and investigation of the employment, social security and tax records of any person employed by the Contractor or engaged by him to carry out any works under the Contract.

34. Conflict of Interest

34.1. Provided that there shall be no conflict of interest and the Contractor shall fulfil his obligations to NIAUR the Contractor shall be at liberty to enter into agreement with other public sector organisations elsewhere in the United Kingdom for the provision of services.

34.2. The Contractor warrants that he is not at the date hereof retained by any interest that could be in conflict with the work of NIAUR and that for the duration of this Contract he will not accept instructions from any such interest

either directly or indirectly nor do any other act which may give rise to conflict of interest.

35. Official Secrets Act

35.1. The provisions of the Official Secrets Act 1911 - 1989 in general and the provisions of the Official Secrets Act 1989 in particular shall apply to the Contractor, the staff and all persons engaged whether as agents or sub-contractors by the Contractor on any work under the Contract, and shall continue to apply without limitation of time after the expiry or termination of the Contract, and the Contractor shall bring to the notice of each and every such person the provisions of the said Acts.

35.2. If NIAUR shall at any time so direct, a declaration of knowledge of these provisions in such terms as NIAUR shall require shall be signed by every such person as NIAUR shall direct and be delivered to NIAUR by the Contractor.

36. Transfer, Sub Contracting and Assignment

36.1. The Contractor shall not transfer, assign or in any way dispose of the Contract or a part thereof and shall not sub-contract any part of the provision of the Services without the prior written consent of NIAUR

36.2. It is a condition of such consent that the sub-contractor must undertake directly to perform the terms of the Contract in respect of the sub-contracted services as if he were the Contractor.

36.3. Any consent to sub-contract will not release the Contractor from any liability to NIAUR in respect of the sub-contracted section and the contractors shall be responsible for the acts, defaults or neglect of any sub-contractor or its officers, agents or employees in all respects as they were the acts, defaults or neglect of the Contractor or its officers, agents, or employees.

36.4. Where the Contractor enters a sub-contract with the Contractor for the purpose of performing the Contract, he shall cause a term to be included in such sub-contract which requires payment to be made to the Contractor within a specified period not exceeding 30 days from receipt of a valid invoice as defined by the sub-contract requirements.

36.5. NIAUR may assign or in any other way dispose of its rights and obligations under the Contract or any part of it to any Department, office or agency of the Crown or any other body provided that any such assignment or other disposal shall not increase the burden of the Contractors obligations under this Contract.

37. Severability

37.1. If any provision of the Contract is held invalid, illegal or unenforceable for any reason by any court of competent jurisdiction, such provision shall be severed and the remainder of the provisions of the Contract shall continue in full force and effect as if the Contract had been executed with the invalid, illegal or

unenforceable provision eliminated. In the event of a holding of invalidity so fundamental as to prevent the accomplishment of the purpose of the Contract, the parties shall immediately commence negotiations in good faith to remedy the invalidity.

38. Waiver

- 38.1. The failure of either party to exercise any right or remedy shall not constitute a waiver of that right or remedy.
- 38.2. No waiver shall be effective unless it is communicated to the other party in writing.
- 38.3. A waiver of any right or remedy arising from a breach of contract shall not constitute a waiver of any right or remedy arising from any other breach of the Contract.

39. Variations

- 39.1. The Contract shall not be varied unless such variation is made in writing by means of a Variation to Contract Form as set out at Appendix A.
- 39.2. In the event of an emergency NIAUR shall have the right to vary the Contract by oral instructions given by NIAUR's Authorised Representative, which shall be confirmed by the issue of a Variation to Contract Form within 7 days.
- 39.3. The Department shall have the right to vary the Services at any time, subject to the variation being related in nature to the Services being provided, and no such variation shall vitiate the Contract.
- 39.4. The Contractor may request a variation provided that:
 - 39.4.1. the Contractor shall notify the Authorised Representative in writing of any additional or changed requirement which it considers should give rise to a variation within 7 days of such occurrence first becoming known to the Contractor;
 - 39.4.2. any proposed variation shall be fully supported by a quotation as detailed in Condition 39.5
- 39.5. The Contractor, within 14 days of being requested by NIAUR's Authorised Representative or where requesting a Variation pursuant to Condition 39.4, shall submit a quotation to NIAUR, such quotation to contain at least the following information:
 - 39.5.1. a description of the work together with the reason for the propose variation;
 - 39.5.2. the price, where applicable;

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- 39.5.3. details of the impact, if any, on other aspects of the Contract.
- 39.6. The price for any variation shall, unless otherwise agreed between the parties, be calculated in the following order of precedence:
- 39.6.1. using the prices or rates;
- 39.6.2. prices pro-rata to the prices or rates;
- 39.6.3. prices based on the prices or rates.
- 39.7. NIAUR shall either approve or reject any variation proposed by the Contractor.
- 39.8. In the event that the Contractor disputes any decision by NIAUR to reject a proposed variation or contends that a proposed variation is outstanding or continues to be required, the Contractor shall update the information contained in his quotation for the proposed variation every month and shall send the updated information to NIAUR.

40. Performance Monitoring

- 40.1. The performance of the Contractor will be subject to monitoring and review against agreed quality aspects.
- 40.2. Where applicable, performance and or price indices may be applied by NIAUR to measure the performance of the Contractor.
- 40.3. The Contractor shall ensure that information, records, and documentation necessary to monitor effectively the performance of the Contract are maintained and are available at all times to the Authorised Representative.

41. Force Majeure

- 41.1. Neither party shall be liable to the other party by reason of any failure or delay in performing its obligations under the Contract which is due to Force Majeure, where there is no practicable means available to the party concerned to avoid such failure or delay.
- 41.2. If either party becomes aware of any circumstances of Force Majeure which give rise to any such failure or delay, or which appear likely to do so, that party shall promptly give notice of those circumstances as soon as practicable after becoming aware of them and shall inform the other party of the period for which it estimates that the failure or delay will continue.
- 41.3. For the purposes of this Condition, "Force Majeure" means any event or occurrence which is outside the control of the party concerned and which is not attributable to any act or failure to take preventive action by the party concerned, but shall not include any industrial action occurring within the Contractor's organisation or within any sub-contractor's organisation.

41.4. Any failure or delay by the Contractor in performing his obligations under the Contract which results from any failure or delay by an agent, sub-contractor or supplier shall be regarded as due to Force Majeure only if that agent, sub-contractor or supplier is itself impeded in complying with an obligation to the Contractor by Force Majeure.

42. Bankruptcy

42.1. In the event of the Contractor becoming bankrupt or making a composition or arrangement with his creditors or having a winding up order made or (except for the purpose of reconstruction) a resolution for voluntary winding up passed or a receiver or manager of his business or undertaking duly appointed, or possession taken, by or on behalf of the holders or any debentures secured by a floating charge of any property comprised in or subject to the floating charge, NIAUR may at its discretion forthwith terminate this Contract.

43. Termination on Default

43.1. NIAUR may terminate the Contract, or terminate the provision of any part of the Services, by written notice to the Contractor with immediate effect if the Contractor is in default of any obligation under the Contract and:

43.1.1. the Contractor has not remedied the default to the satisfaction of NIAUR within 30 days, or such other period as may be specified by the Department, after service of written notice specifying the default and requiring it to be remedied; or

43.1.2. the default is not capable of remedy; or

43.1.3. the default is a fundamental breach of the Contract

44. Break

44.1. NIAUR shall have the right to terminate the Contract, or to terminate the provision of any part of the Services, at any time by giving 3 months' written notice to the Contractor. NIAUR may extend the period of notice at any time before it expires, subject to agreement on the level of Services to be provided by the Contractor during the period of extension.

45. Consequences of Termination

45.1. If NIAUR terminates the Contract under Condition 43, or terminates the provision of any part of the Services under that Condition, and then makes other arrangements for the provision of the Services, NIAUR shall be entitled to recover from the Contractor the cost of making those other arrangements and any additional expenditure incurred by NIAUR throughout the remainder of the term of the Contract. Where the Contract is terminated under Condition 43, no further payments shall be payable by NIAUR until NIAUR has established the final cost of making those other arrangements.

45.2. If NIAUR terminates the Contract, or terminates the provision of any part of the Services, under Condition 44, NIAUR shall reimburse the Contractor in respect of any loss, not including loss of profit, actually and reasonably incurred by the Contractor as a result of the termination, provided that the Contractor takes immediate and reasonable steps, consistent with the obligation to provide the Services during the period of notice, to terminate all contracts with sub-contractors on the best available terms, to cancel all capital and recurring cost commitments, and to reduce equipment and labour costs as appropriate.

45.3. For the purposes of Condition 45.2 the Contractor shall submit to the Authorised Representative, within 14 working days after service of the notice, a fully itemised and costed list, with supporting evidence, of all losses incurred by the Contractor as a result of the termination of the Contract, or the termination of any part of the Services, to be updated only in respect of ongoing costs each week until the Contract is terminated.

45.4. NIAUR shall not be liable under Condition 45.2 to pay any sum which, when added to any sums paid or due to the Contractor under the Contract, exceeds the total sum that would have been payable to the Contractor if the provision of the Services had been completed in accordance with the Contract.

46. Arbitration

46.1. All disputes, differences or questions between the parties to the Contract with respect to any matter arising out of or relating to the Contract, other than a matter of things as to which the decision of the Department is under the Contract to be final and conclusive, shall after written notice by either party to the Contract to the other be referred to a single arbitrator agreed for that purpose or in default of such agreement within twenty-one (21) days, appointed at the request of either party by the President of the Law Society of Northern Ireland. The decision of such arbiter shall be final and binding on the parties of the Contract.

46.2. The provision of the Arbitration Act 1996 shall apply to any arbitration under this contract and such arbitration shall be conducted solely within Northern Ireland.

47. Law

47.1. The Contract shall in all respects be governed by and construed in accordance with the laws of Northern Ireland and the parties hereby agree that the Courts of Northern Ireland shall have exclusive jurisdiction to hear and determine any dispute arising out of or in connection with the Contract.

Appendix A (to Part 5)

(See Condition 39.1 of Contract)

Variation to Contract Form

Contract Title: NIAUR - Consultancy input into the Social Action Plan (SAP) Customer Debt Project - Code of Practice Research & Recommendations Paper

Contract Reference: ENV / 4 /09

The Contract is varied as follows.

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Words and expressions in this Variation shall have the meaning/s given to them in the Contract.

The Contract, including any previous Variation(s), shall remain effective and unaltered except as amended by this Variation.

Signed			
For NIAUR		For Contractor	
By		By	
Full Name		Full Name	
Grade		Title	
Date		Date	

Appendix B (to Part 5)

Authorised Representatives

The Authorised Representative of NIAUR for the purposes of the Contract is:

The Authorised Representative of the Contractor for the purpose of the Contract is: