

## SUBCONTRACTOR'S DUE DILIGENCE

Please complete this form **CLEARLY** and return with enclosures within **28 DAYS** of the date of issue immediately below

/ /20

The information supplied and commitments made via this form will be an integral, and compulsory, part of any future contract between you / your company and Prelude Stone Ltd.

Please don't hesitate to ask any questions or to raise any issues concerning topics covered on this form with Levi Evans, *Managing Director* or Ann Purt, *Health, Safety & Due Diligence Co-Ordinator*.  
levi@preludestone.co.uk // ann@preludestone.co.uk // 01959 580360

### **PRIVACY POLICY**

Prelude Stone Ltd. will use the information provided by you solely to 1) conduct the necessary checks required under our Due Diligence responsibilities when subcontracting work; 2) contact you about work opportunities including invitations to tender; 3) to pay you promptly once the work has been completed in accordance with our contract with you.

Your information will 1) be stored securely; 2) will only be shared with relevant third parties when specifically requested under our contract with them or required by law and 3) be deleted no later than three years after the end of our working relationship or sooner by request. Accounting and contractual records will be kept for a minimum of seven years.

A copy of our full *GDPR Statement* is available on request. Please contact Ann Purt as above.

Ltd Company

Sole Trader

Partnership

Other

Date:            //        // 20

Company Name: *(Ltd Company)*

Name: *(Sole Trader)*

Trading Name: *(Partnerships)*

Person Responsible:

Position:

Telephone:

Mobile:

Website:

Email:

Company Number:

UTR Number: *(Limited Companies)*

Registration Number: *(Limited Companies)*

NI Number: *(Sole Traders)*

Partnership Number: *(Partnerships)*

VAT Number:

N/A

Bank:

Address:

Sort Code:

Account Number:

## OUR WORKERS

- If you have employees, please confirm they are:
  - All legally allowed to work in the UK
  - Not sourced through Gang Masters
  - Paid fairly and legally
  - Paid their contractual rate and that it complies with the national living wage /national minimum wage
  - Trained and qualified to perform the tasks for which they are being employed safely, professionally and to the agreed standards

YES:  N/A:

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## YOUR BUSINESS

- We confirm the business (including Sole Traders):
  - Is commercially sustainable, operates profitably and can meet statutory tax obligations
  - Has never failed because of tax debts

YES:  NO:

If **NO**, please enclose a full report and a copy of any other relevant paperwork.

- Has your business (including Sole Traders):
  - Had enforcement action taken against it in the last three years?

YES:  NO:

- Received an Enforcement and/or Prohibition Notice in the last three years?

YES:  NO:

- Been prosecuted in the last three years?

YES:  NO:

If you have answered **YES** to any of the above, please enclose a full report and a copy of any relevant paperwork.

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## SAFETY, HEALTH AND FIRE (SHEFF)

- I have read the enclosed *Prelude Stone Safety, Health and Fire (SHEFF) Policy Statement* and I/the Company will adopt and abide by it whenever I/we are working on Prelude Stone's behalf

YES:

**Please Note:** Companies with five or more employees MUST also enclose a copy of their *Health & Safety Policy* and any relevant risk assessments

- Have you ever been prosecuted for a breach in *Health & Safety* compliance?

YES:  NO:

If **YES**, please enclose a full report and a copy of any other relevant paperwork.

- We will supply promptly all *COSHH Assessments, Method Statements* and *Risk Assessments* where applicable

YES:

**Please Note:**

- We can supply blank forms if required

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## ACCIDENTS

Have you or your Company been involved in any accidents or incidents during the last three years that were referred to RIDDOR?

YES:  NO:

If **YES**, please enclose a full report and a copy of any other relevant paperwork.

**ON SITE**  
(Including Private Residences)

- On site, we confirm we will
  - Sign in and out
  - Follow all site rules
  - Nominate a H&S contact if employing two or more people
  - Follow any *Risk Assessment* or *Method Statement* provided
  - Co-operate with our performance monitoring
  - Provide adequate and safe materials and equipment as required
  - Comply with the provisions of the HASAWA and all other relevant legislation
  - Wear 5 point PPE as required (Prelude Stone branded items when provided): Hard hat; High visibility vest; Steel toe capped boots; Gloves; Safety Goggles
  - Show respect at all times to the Client, Residents and/or Colleagues

YES:

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**USE OF OTHER SUBCONTRACTORS AND/OR NON-DIRECT LABOUR**

- Do you ever use other subcontractors and/or non-direct labour?

YES:  NO:  N/A:

If **YES**, please note that signing this form acknowledges that you and your company understand that:

- A) On all future projects, you will be asked at the tender stage whether or not you intend to use subcontractors and/or non-direct labour on the works for which you are tendering
- B) You must advise us **in advance** if you subsequently need to introduce subcontractors and/or non-direct labour during the works – they will have to complete this Due Diligence form before starting work on a Prelude Stone job
- C) If you are accredited to use a specific branded product and/or application system and we are employing you in that capacity, you must advise us in writing and in advance a) if any part of that work is to be carried out by non-direct labour and b) that such a move will not compromise and/or invalidate your accreditation and/or the guarantee for that product and/or application system

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**DISCLOSURE AND BARRING SERVICE**

- Are you prepared to provide details of an appropriate DBS (Basic or Enhanced) should we or the Client be legally entitled to request one as a condition of working on a specified site?

YES:  NO:

**Please Note:**

- We will happily assist a Subcontractor with 5 or fewer employees apply for the appropriate DBS when this is required. We do not charge for this service, but you will be responsible for the fee(s) charged by the issuing authority

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**ENVIRONMENTAL // DIVERSITY AND EQUAL OPPORTUNITIES //**  
**WORKING IN PRIVATE RESIDENCES:**

- I have read *Prelude Stone's Environmental Statement* (enclosed) and I/the Company will abide by it whenever we are working on Prelude Stone's behalf

YES:

- I have read *Prelude Stone's Diversity and Equal Opportunities Policy* (enclosed) and I/the Company will abide by it whenever we are working on Prelude Stone's behalf

YES:

- I have read *Prelude Stone's Working in Private Residences Policy* (enclosed) and I/the Company will abide by it whenever we are working on Prelude Stone's behalf

YES:

**PLEASE SEND US COPIES OF THE FOLLOWING:**  
(Please do NOT enclose originals as we will be keeping your enclosures on file)

**SEND DOCUMENTS BY PHONE**

If it is easier, you may use your mobile to send photos of the required documents (front and reverse of the CSCS card please) to ann@preludestone.co.uk.

Please ensure the whole document is captured and is legible.

If you are using this method, please tick this box

- |   |                               |                          |
|---|-------------------------------|--------------------------|
| <input type="checkbox"/> <b>CSCS Cards for all personnel who will be working on our projects:</b>         | ✓<br><input type="checkbox"/> | N/A<br><i>mandatory</i>  |
| <input type="checkbox"/> <b>Insurance Certificate(S)</b>  | <input type="checkbox"/>      | <i>mandatory</i>         |
| <input type="checkbox"/> <b>Your Health &amp; Safety Policy (for Companies with 5 or more Employees):</b> | <input type="checkbox"/>      | <input type="checkbox"/> |
| <input type="checkbox"/> <b>Membership &amp; Accreditation Certificates</b>                               | <input type="checkbox"/>      | <input type="checkbox"/> |

Membership of  
Trade and/or  
Professional Bodies.

Certificates demonstrating  
competence for working with/at:

Certificated training,  
accreditations & ISO –  
including for using branded  
products and/or systems

Stone Federation <input type="checkbox"/>	Air <input type="checkbox"/>	Health & Safety Training <input type="checkbox"/>
Constructionline <input type="checkbox"/>	Asbestos <input type="checkbox"/>	EXOR <input type="checkbox"/>
CITB <input type="checkbox"/>	Classified Materials <input type="checkbox"/>	<b>OTHER:</b>
<b>OTHER:</b>	Heat <input type="checkbox"/>	
	Height <input type="checkbox"/>	
	Waste Disposal <input type="checkbox"/>	
	Abrasive Wheel <input type="checkbox"/>	
	<b>OTHER:</b>	

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**ASBESTOS AWARENESS TRAINING**

- Have you / your site staff passed accredited Asbestos Awareness Training\*?

**YES:**  **NO:**  **SOME:**  **N/A:**

(\*Includes properly accredited on-line training courses offering certification)

- If you answered 'NO' or 'SOME' above, would you be prepared to undertake this?

**YES:**  **NO:**

**Please Note:**

- On-line training is inexpensive, not at all time-consuming and there are many providers available. We are happy to pass on the details of the provider we use.

*This is NOT the same as the complex and highly specialist training and qualifications required to become licensed to HANDLE & REMOVE asbestos*

**ADDITIONAL INFORMATION**

Please add anything else you would like us to know [use additional sheet(s) if required]:

**REFERENCES**

If you have not worked with Prelude Stone before,  
please add the contact details of two clients from the last two years

**I confirm this completed form provides a true picture of my // the Company's current position:**

**PRINT NAME:**

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**POSITION:**

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**SIGNED:**

**DATE:** // // 2018

***Please return, with enclosures, to:***  
Ms Ann Purt, Health, Safety and Due Diligence Co-Ordinator  
Prelude Stone Ltd., Unit 2, Westerham Trade Centre, The Flyers Way, Westerham, Kent, TN16 1DE

## **SAFETY, HEALTH AND FIRE (SHEFF) POLICY STATEMENTS RELEVANT TO SUBCONTRACTORS**

*To be retained by Recipient*

### **1. SAFETY, HEALTH AND FIRE POLICY STATEMENTS**

- *Prelude Stone Limited's ( 'the Company') method of working is designed to avoid harm to staff, subcontractors, the environment and all others who may be affected directly or indirectly by our activities. SHEF therefore has equal status with other primary business objectives. Safe working practices and due consideration for everyone working directly or indirectly for us are vital to the overall efficiency and success of our business. Everyone therefore shares this responsibility as part of our duty to the Company, each other and our clients. The company is committed to attaining the highest achievable standards of SHEF protection and to comply with all relevant statutory and best practice provisions*

### **2. AIMS**

- *The continuous improvement of workplace safety and fire protection*
- *To provide a safe and healthy working environment.*
- *To manage legislative requirements and risks 'so far as reasonably practicable\*.*
- *To reduce risks to "as low as reasonably practical" ALARP.*

*\* The term "so far as is reasonably practicable" means that the degree of risk in a particular situation can be balanced against the time, trouble, cost and physical difficulty of taking measures to avoid the risk.*

### **3. OBJECTIVES**

- *To conform to requirements of the Health and Safety at Work Act (HASAWA), and the Regulatory Reform (Fire Safety) Order (FSO) and associated regulations and codes of practice relevant to our business*
- *To establish and maintain clear written standards and procedures to control the risk to SHEF and to ensure that these are adhered to*
- *To ensure that all risks to SHEF are properly assessed and controlled*
- *To ensure that all company staff and contractors are competent and able to perform their tasks safely through the provision of adequate information, instruction, training and supervision*
- *To maintain an effective system of consultation with our staff on SHEF matters*
- *To ensure that all accidents are properly reported, investigated and appropriate corrective actions are taken*
- *To maintain an effective system of monitoring and reviewing SHEF performance*
- *To have access to qualified SHEF advice*

### **2. WORKING IN OTHER EMPLOYER'S PREMISES**

- *In many instances staff will visit other employer's premises, all staff are required to acquaint themselves with the safety procedures of the premises in which they work*

### **5. FIRE SAFETY**

- *As required by the FSO, fire risk assessments will be carried out on all premises and work activities, to facilitate the provision and use of appropriate controls.*

### **6. ELECTRICITY**

- *We will implement the requirements of the Electricity at Work Regulations and associated best practice*
- *We will ensure that all electrical equipment, including portable equipment and electrical installations are visually examined, inspected, serviced and maintained, as appropriate and necessary, on a regular basis.*
- *Voltage of electrical tools / work equipment will be of 110 on sites*
- *Where necessary, Portable Appliance Testing (PAT) is undertaken by a competent electrical contractor, to check the electrical integrity of the equipment, in accordance with the requirements of the 18th edition of the IET Wiring Regulations*
- *Risk Assessments on using electrical equipment will be conducted*

## 7. MACHINERY AND WORK EQUIPMENT

- The current version of the Provision and Use of Work Equipment Regulations (PUWER) requires that the Company will endeavour to ensure all work equipment is suitable, by design, construction or adaptation, for the purpose for which it is used or provided and that it is suitable for use, in the place it was intended and in accordance with the manufacturers' instructions
- The use of work equipment shall be subject to Risk Assessments

## 8. MANUAL HANDLING

- The current Version of the Manual Handling Operations (MHO) Regulations require all employers to avoid, so far as reasonably practicable, the need for their employees to undertake any manual handling operation that involves a risk of their being injured, although the handling of archive materials and light equipment is a necessary part of the Company's core activities
- Regular Manual Handling tasks shall be subject to Risk Assessment

## 9. WORKING AT HEIGHT AND USING LADDERS

- When working at height the company will adopt the requirements of the Working at Height Regulations and associated best practice.
- Working at height is one of the most frequent activities we undertake that requires safety training to minimise its inherent risk to As Low as Reasonably Practicable (ALARP). Therefore:
  - All work at height is properly planned and organised
  - All work at height takes account of weather conditions
  - Those involved in work at height are trained and competent
  - The place where work at height is done is safe
  - Equipment for work at height is appropriately inspected
  - The risks from fragile surfaces are properly controlled
  - The risks from falling objects are properly controlled

## 10. ASBESTOS

- The company will follow the *Control of Asbestos Regulations* and associated advice and best practice:
  - Prior to starting work on a new contract, we always ask to inspect the Asbestos Register. If there is not one, all staff are trained to recognise asbestos and what to do should it be found
  - We do NOT operate on or in work spaces where asbestos is known to exist until qualified specialists have confirmed it is safe for us to work there
  - The Site Foreman will then contact HEAD OFFICE and the site contact to inform them of the discovery.

## 11. NOISE, VIBRATION AND DUST AT WORK

- The current version of the *Noise at Work Regulations 2005* (NAER) and *Control of Vibration at Work Regulations 2005* (COVR) will be followed by the company
- Risks & their solutions are identified on a job-by-job basis through RAMS. Our default operating principles are:
  - Provide affected Staff with personal hearing and other protection as required
  - Always observe the legal limits on noise and vibration levels and exposure times
  - Maintain equipment to the necessary standard
  - Provide employees with information, instruction and training as required
  - Check the health (hearing ability etc) of any member of Staff who is working for an extended period of some weeks close to or on the daily maximum
  - The HSE online noise and vibration tool will be used for risk assessment purposes.

## 12. ALCOHOL AND DRUGS MISUSE / ABUSE

- The Company operates a zero-tolerance policy with regard to alcohol and drugs in the workplace. Staff are required to comply not only concerning consumption/use in the workplace but also to ensure there are no residual traces when arriving for work
- Observe all No Smoking laws – including in company-owned vehicles
- If an employee believes they may have a problem relating to alcohol/substance use, they should discuss the matter confidentially with a Director, seek appropriate help from a registered Health Professional and follow the Professional's advice
- Staff must ensure that any prescription or Over the Counter (OTC) drugs they take do NOT preclude them from using tools or operating machinery.
- The instructions on any Patient Advice Leaflet for pharmaceuticals being taken must always be followed
- All Staff have a responsibility to inform a Director if they reasonably suspect someone in the workplace (office or onsite) has not, or cannot, comply with this policy

## REVIEW

- This policy and attendant procedures will be appropriately reviewed every 12 months



## **ENVIRONMENTAL POLICY STATEMENT**

*To be retained by Recipient*

**Prelude Stone Ltd.'s** work concerns the built environment and, often, remedying the adverse impact pollution, and other environmental factors, has on it. We are therefore made aware every day why we must make every effort to minimise the environmental impact of our work – and to look for continual improvement. An approach shared by everyone in the company and one expected of the third parties we employ.

### **1. WE WILL, SO FAR AS IS REASONABLY PRACTICABLE, COMPLY WITH ALL RELEVANT ENVIRONMENTAL LEGISLATION AND BEST PRACTICE, INCLUDING:**

- Control of Pollution Act, 1974
- Ancient Monuments and Archaeological Areas Act, 1979
- Wildlife and Countryside Act, 1981
- Environmental Protection Act, 1990
- Planning (Listed Buildings and Conservation Areas) Act, 1990
- Climate Change Act, 2008
- Planning and Energy Act, 2008
- Energy Act, 2011

### **2. METHODS & MATERIALS**

The traditional craftsmanship we favour is inherently benign. Nonetheless and as far as is reasonably practicable:

- We minimise our use of materials, so saving on waste
- We specify locally quarried stone and locally sourced materials whenever we can
- We use salvaged and recycled stone, bricks etc. whenever possible
- When applying modern techniques, especially for cleaning, we avoid the use of invasive chemicals whenever possible

**Please note:** When restoring/conserving listed buildings, the choice of materials and techniques is determined by the Conservation Officer and/or the Authorised Overseer with reference to the listing document, the original structure and the nature and extent of the work

### **3. ENERGY**

We don't waste energy – environmental impact aside, it's expensive and we owe it to our Clients to keep costs to a minimum!

### **4. WASTEMANAGEMENT**

The Company will follow the latest versions of the Environmental Protection Act, the Duty of Care Regulations and any other related regulations in connection to waste management.

- Waste is minimised and always disposed of responsibly and legally
- Waste material is recycled whenever possible
- The company holds an Environmental Agency Waste Carrier Licence and complies with all inherent regulations
- Waste Consignment Notes for hazardous waste are produced and kept for 2 years and available for inspection.

### **5. CLIENTS**

- We first establish, and then promote, the lowest-impact solution ensuring our clients can make informed decisions
- A project-specific Environmental Impact and Sustainability Statement is provided on request

### **CONFIRMATION**

- All Staff, Subcontractors and Consultants must confirm their understanding of, and agreement with, this policy
- Environmental matters are a fixed agenda item for the regular Staff and Management meetings
- Staff, Consultants and Subcontractors are required to report to a Director or the H&S Co-Ordinator if they believe there is an environmental risk not being addressed



## **EQUALITY AND DIVERSITY POLICY**

*To be retained by Recipient*

We follow the spirit - and letter - of the Equality Act 2010 and expect all our Staff, Subcontractors and Consultants to do the same...

Our Equality Policy is fully supported by the Directors

As a small business without a rigid (Middle) Management structure, any Employee can raise any issue or complaint direct with one of the Directors

### **1. WE ARE COMMITTED TO:**

- Encouraging equality and diversity among our Staff, Consultants and Subcontractors
- Eliminating unlawful discrimination
- Ensuring all Clients, Staff Members, Subcontractors and Consultants are respected and able to give their best
- Ensuring all Staff Members, Subcontractors and Consultants are able to give their best

### **2. OUR AIM IS TO:**

- Provide equality, fairness and respect for everyone working for us or on our behalf, including all those with whom we come into contact during the course of our work
- Not unlawfully discriminate against anyone for reasons of gender, sexual orientation, age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race (including colour, nationality and ethnic or national origin) and religion or belief
- Oppose and avoid all forms of unlawful discrimination including in pay and benefits, terms and conditions of employment, dealing with grievances and discipline, dismissal, redundancy, leave for parents, requests for flexible working and selection for employment, promotion, training or other developmental opportunities

### **3. WE:**

- Encourage equality and diversity in the workplace
- Create a working environment free of bullying, harassment, victimisation and unlawful discrimination, promoting dignity and respect for all, and where individual differences and the contributions of all staff are recognised and valued
- This includes ensuring all employees are aware of their rights and responsibilities under the Equality Policy.
- Responsibilities include staff conducting themselves to help the organisation provide equal opportunities in employment, and prevent bullying, harassment, victimisation and unlawful discrimination
- Take seriously complaints of bullying, harassment, victimisation & unlawful discrimination by fellow employees, Clients, suppliers, visitors, the public and any others in the course of the Company's work
- Such acts will be dealt with as misconduct under our grievance and/or disciplinary procedures, and appropriate action will be taken
- Sexual harassment may amount to both an employment rights and a criminal matter, such as in sexual assault allegations. In addition, harassment under the Protection from Harassment Act 1997 – which is not limited to circumstances where harassment relates to a protected characteristic – is a criminal offence
- Make opportunities for training, development and progress available to all staff, who will be helped and encouraged to develop their full potential, so their talents and resources can be fully utilised to maximise the efficiency of the organisation
- Make decisions concerning staff based on merit apart from in any necessary and limited exemptions and exceptions allowed under the Equality Act
- Review employment practices and procedures when necessary to ensure fairness, and also update them and the policy to take account of changes in the law

We are aware that use of our grievance and/or disciplinary procedures does not affect an employee's right to make a claim to an employment tribunal within three months of any alleged discrimination

**WE CAN CONFIRM THAT SINCE THE COMPANY'S FOUNDATION, THERE HAVE BEEN:** No accusations or findings of unlawful discrimination made against Prelude Stone by any individual, court or employment tribunal

**It is the Company's policy to maintain this record**

## WORKING IN PRIVATE RESIDENCES

*To be retained by Recipient*

HAZARDS: WHO MIGHT BE HARMED & HOW?	ACTION TAKEN	MONITOR
<p><b>Work Area</b></p> <ul style="list-style-type: none"> <li>• Dangers from materials, tools &amp; machinery for members of the household &amp; their visitors</li> </ul>	<ul style="list-style-type: none"> <li>• The work area will be suitably protected with arras fencing or hoarding or in small scale situations a clearly demarked roped off area. Either way, it remains out of bounds to the Household unless they are invited and accompanied</li> </ul>	<p>Designated Site Foreman</p>
<p><b>Use of Chemicals</b></p> <ul style="list-style-type: none"> <li>• All family members (especially children), their visitors and pets Ingestion</li> <li>• Contact with skin, eyes, open wounds etc.</li> </ul>	<ul style="list-style-type: none"> <li>• All cleaning procedures we recommend are industry approved and accredited by Restorative Techniques</li> <li>• Raw materials strictly controlled on site</li> <li>• No mixed materials are left in applicators at the end of work</li> <li>• Applicators cleaned at the end of work</li> <li>• The immediate work area is protected to minimise spray drift, drips, drops, spills and contamination</li> <li>• Containment and clean-up procedures are in place should accidents involving chemicals happen §Household given full briefing</li> </ul>	<p>Designated Site Foreman</p>
<p><b>Scaffolding &amp; Ladders</b></p> <ul style="list-style-type: none"> <li>• All family members (especially children) and their visitors</li> <li>• Falling from height</li> </ul>	<ul style="list-style-type: none"> <li>• Household given full briefing</li> <li>• Ladders are only used to access the scaffold. These are removed and secured when not in use or made inaccessible by the addition of secured boarding across their rungs to a minimum height of 8'</li> <li>• In exceptional circumstances access to the scaffold may be granted to the client for specific purposes and they will be accompanied at all times by a competent member of the site team. They will be given full instruction on its use and the appropriate footwear and will be required to wear PPE as provided</li> <li>• Hard hats and hi-vis jackets to be worn by ANYONE climbing ladders and/or scaffolding</li> <li>• Permission is never given to anyone under 18 to climb ladders and/or scaffolding</li> </ul>	<p>Designated Site Foreman</p>
<p><b>Tools</b></p> <ul style="list-style-type: none"> <li>• Accidents following unauthorised 'use' by members of the household and their visitors</li> </ul>	<ul style="list-style-type: none"> <li>• Household given full briefing</li> <li>• Tools are never left connected or unattended</li> <li>• Tools removed from Site or stored securely after work has finished</li> </ul>	<p>Designated Site Foreman</p>
<p><b>Materials</b></p> <ul style="list-style-type: none"> <li>• Trip hazards for members of the household and their visitors</li> </ul>	<ul style="list-style-type: none"> <li>• Household given full briefing</li> <li>• All materials will be delivered to and stored in a clearly demarked area within the work site area</li> <li>• Site kept tidy and secured at the end of every day</li> </ul>	<p>Designated Site Foreman</p>