



Company Policies

Henry Smith (C/E) Ltd Community Relations Policy Statement

Henry Smith (C/E) Ltd is committed through its Equal Opportunity Policy to the principles of equality of opportunity and good relations. By its very nature, steelwork and construction activities have an impact on the environment, the end users and the wider community.

Henry Smith (C/E) Ltd takes a proactive stance to ensure that our work causes the minimum of disruption. We aim to work with clients to provide a positive contribution by reducing noise, light and transport disruption, thereby promoting good community relations.

Henry Smith (C/E) Ltd is also committed, where possible, to supporting local businesses, and to employing local labour. We also continue to provide apprentice opportunities through local colleges and have done for over 20years.

Henry Smith (C/E) Ltd Quality Policy

Henry Smith (C/E) Ltd. specialises in the design, supply and erection of structural steel buildings.

The objective of the management of Henry Smith (C/E) Ltd is to undertake all work in accordance with company standards, its customer requirements and all applicable regulatory standards.

In order to achieve this objective, it is the policy of Henry Smith (C/E) Ltd to establish an effective quality management system planned and developed jointly with other management functions.

Henry Smith (C/E) Ltd shall ensure all personnel fully implement the company's policy and objectives, are able to perform their duties effectively and are kept abreast of new technology through an ongoing training and education programme.

Henry Smith (C/E) Ltd Ethical Code of Conduct

Background

Henry Smith (C/E) Ltd believes that it is important to behave in a socially and ethically exemplary way. We believe that people whose work contributes to our success should not be deprived of their basic human rights, nor be forced to suffer physically or mentally from their work in any way.

Purpose

Henry Smith (C/E) Ltd expects employers to respect fundamental human rights, to treat their workforce fairly and with respect. In order to make our position clear to our own staff, our suppliers, and any other affected parties, we have documented an Ethical Code of Conduct.

Scope

This directive is applicable to all Henry Smith (C/E) Ltd operations as well as Henry Smith (C/E) Ltd suppliers.

Obligation to inform

It is the responsibility of suppliers to ensure that their employees and subcontractors are informed about and comply with this Code. Henry Smith (C/E) Ltd is prepared to clarify the content and associated requirements of this document upon request.

Legal requirements

All of our suppliers must, in all activities, obey national and regional statutory requirements in the countries in which they are operating. Should any of the requirements stated in this document be in violation of the law in any country or territory, the local law should always take precedence. In such case, a supplier must immediately inform Henry Smith (C/E) Ltd. It is, however, important to understand that Henry Smith (C/E) Ltd requirements are not limited to the requirements of national laws.

Workers' rights & basic human rights

Anyone who works directly or indirectly for Henry Smith (C/E) Ltd should be entitled to his or her basic human rights. Henry Smith (C/E) Ltd does not accept the use of bonded workers, forced labour, prisoners or illegal workers. If foreign workers are employed on a contract basis, they should never be required to remain in employment against their will.

We do not accept that workers are subject to corporal punishment, mental or physical disciplinary action, or harassment. Dismissal of female workers due to pregnancy is not acceptable. We recommend that all workers are free to peacefully and lawfully join associations of their own choosing, and have the right to bargain collectively. No worker should be discriminated against because of age, race, gender, religion, sexual orientation, marital or maternity status, political opinion or ethnic background. We recommend that all workers with the same experience and qualifications receive equal pay for equal work.

Wages and working hours

All workers should know the basic terms and conditions of their employment. Legislated minimum wages should be a minimum, rather than a recommended level. Wages should be paid regularly and on time. A normal workweek must not exceed the legal hourly limit unless “opted-out”, and all overtime work should be properly compensated. Workers should be granted stipulated annual leave; sick leave and maternity/paternity leave without any form of repercussions.

Conflict of Interest

In the event of any actual or perceived Conflict of Interest within Henry Smith (C/E) Ltd, or within any of the company’s suppliers or subcontractors, then the Managing Director must be informed immediately. Where a conflict of interest is unavoidable, then the Managing Director will obtain the relevant assurances (eg Chinese Wall, or removal from the project).

Safety**Building and fire safety**

Henry Smith (C/E) Ltd requires that worker safety is always a priority concern. Buildings must have clearly marked exits, and emergency exits on all floors. Exits should not be blocked, and should be visible. All workers shall be informed of the safety arrangements. An evacuation plan should be displayed on every floor of a building and the fire alarm should be tested regularly. Regular evacuation drills are recommended.

First aid

First aid equipment must be available in a building, and at least one available person should be trained in basic first aid.

Workplace conditions

It is important for all workers’ well being, that chemicals and harmful materials are handled in a safe and correct way. All chemicals shall be marked, and labelled in a correct way. Training and instructions for handling chemicals must be performed and workers must have adequate body protection. The temperature and noise level of the work environment should be tolerable. Ventilation should be adequate. Lighting should be sufficient for the work performed.

The workplace should have an adequate number of clean sanitary facilities, which are preferably separated for men and women. Workers should have access to these facilities without unreasonable restrictions.

Environmental issues

The environment is of increasing concern globally and Henry Smith (C/E) Ltd expects its suppliers to comply with applicable environmental laws and regulations and fulfil the terms of Henry Smith (C/E) Ltd environmental requirements.

Child labour code

Henry Smith (C/E) Ltd does not accept child labour. We expect our suppliers to comply with national and regional statutory requirements in the countries in which they are operating. Should any of the requirements stated in this document be in

violation of the law in any country or territory, the local law should always take precedence. In such case, a supplier must immediately inform Henry Smith (C/E) Ltd. Henry Smith (C/E) Ltd will discontinue cooperation with any party that persists in non-compliance with our child labour code.

Special recommendations

Henry Smith (C/E) Ltd acknowledges that according to Article 1 of the UN Convention on the Rights of the Child, a person is a child until the age of 18. We therefore recommend that children in the age group under 18 years be treated accordingly, and in line with our Young Persons Procedure in our Health & Safety Policy.

Monitoring and enforcement

The principle of trust and cooperation

Henry Smith (C/E) Ltd expects all its workers, suppliers and their subcontractors to respect this Code of Conduct and to actively do their utmost to achieve its standards.

Monitoring

All suppliers are obliged to keep Henry Smith (C/E) Ltd informed about where each order is produced. Henry Smith (C/E) Ltd reserves the right to make unannounced visits to sites where people work directly or indirectly for Henry Smith (C/E) Ltd. We also reserve the right to let an independent party make inspection.

Enforcement

In the event of Henry Smith (C/E) Ltd becoming aware of a supplier not following our ethical code of conduct, we reserve the right to terminate any agreed contract or withdraw from trading with this particular supplier forthwith.

Henry Smith (C/E) Ltd Equality policy

Background

We are committed to eliminating discrimination amongst our workforce. Our objective is to create a working environment in which there is no unlawful discrimination and all decisions are based on merit.

This policy has the full support of our board of directors.

Status of this policy

This policy does not give contractual rights to individual employees. The company reserves the right to alter any of its terms at any time although we will notify you in writing of any changes.

Eligibility

This policy applies to all employees, contractors and job applicants.

Responsibility for this policy

The Managing Director is responsible for this policy.

What is discrimination?

Discrimination is unlawful when it takes place on one of the following grounds (the 'protected characteristics'):

- age
- disability
- gender re-assignment
- marriage and civil partnership
- pregnancy and maternity
- race
- religion or belief
- sex
- sexual orientation

Discrimination can take a number of forms:

- Direct discrimination is when someone is treated worse than someone else just because of a protected characteristic. For example, it would be direct discrimination if a manager excludes an employee from a training course just because she is gay.
- It is also direct discrimination when someone is treated worse than someone else because they associate with someone with a protected characteristic or because they are perceived to have a protected characteristic. For example, it would be direct discrimination if an employee ostracised a colleague because the colleague has a gay flatmate or because he thinks the colleague is gay.

- Indirect discrimination is when an apparently neutral practice or requirement disproportionately disadvantages one group and cannot be justified by the needs of the business. For example, imposing a requirement that job applicants must speak fluent English disproportionately disadvantages non-English groups and would be unlawful unless it could be justified on genuine business grounds.
- It is also discrimination when a disabled person is treated unfavourably because of something connected to their disability and this cannot be justified by the needs of the business or when the business fails to make reasonable adjustments for a disabled person.

Our responsibilities and approach to employees

We aim to avoid discrimination in all aspects of employment and recruitment. Our approach to different aspects of employment and recruitment is set out below.

Recruitment and selection

We aim to ensure that job requirements and job selection criteria are clear and based only what is required to get the job done effectively. We will avoid making stereotypical assumptions based on protected characteristics about who is able to do a particular job.

We aim to ensure that no job applicant is placed at a disadvantage by practices or requirements which disproportionately disadvantage protected groups and which are not justified by the demands of the job.

Promotion, training and appraisals

Promotion and training decisions will be made on the basis of merit. We will not unlawfully discriminate against any employee in making promotion or training decisions. We believe all employees should have an equal opportunity to progress and develop.

Training needs will be identified through regular reviews.

Working conditions and terms of employment

We will try to accommodate cultural or religious practices such as prayer requirements where we reasonably can.

We aim to ensure that our terms of employment, benefits, facilities and policies are free from unlawful discrimination.

We will ensure that decisions made under our disciplinary, grievance policies are carried out fairly and without discrimination.

Termination of employment

We will ensure that we avoid discrimination in making decisions about dismissal or redundancy.

Disabled employees

We will make adjustments to accommodate disabled employees where possible and reasonable. If you think you may have a disability, you are encouraged to tell

the business about this so that we can explore what adjustments might be appropriate.

Your rights and responsibilities

You have the right not to experience unlawful discrimination in our workplace. You also have a responsibility to understand this policy and help us to implement it. All employees have a duty not to discriminate against each other and not to help anyone else do so.

Our relationships with visitors/customers/suppliers

You must not discriminate against any of our visitors/customers/suppliers. Equally, we expect our visitors/customers/suppliers not to discriminate against you and we will take appropriate action against any visitor/customer/supplier found to have done so.

What to do if you have been discriminated against

If you believe you may have been discriminated against, please tell us. You can speak informally with your manager. If you want to make a more formal complaint, you are encouraged to raise the matter through our [Grievance procedure](#).

Allegations of potential breaches of this policy will be treated seriously. Employees and contractors who make such allegations in good faith will not be victimised or treated less favourably as a result. However, false allegations of a breach of this policy which are found to have been made in bad faith will be dealt with under our disciplinary procedure.

What will happen if you act in a discriminatory way?

If, after investigation, we decide that you have acted in breach of this policy you may be subject to disciplinary action up to and including dismissal. This applies to the most senior levels of management as well as to all other employees.

Policy review and promotion

We will promote and publicise our Equality Policy as widely as possible. We will review our Equality Policy on an annual basis.

Henry Smith (C/E) Ltd Equal Opportunity Policy

Henry Smith (C/E) Ltd is committed to equal opportunities for all, irrespective of age,, disability, gender reassignment, race, marriage and civil partnership, race, religion or belief, pregnancy and maternity, sex and sexual orientation, or other considerations not justified in law which are irrelevant to the performance of the job.

The Company is committed to taking positive action to promote such equality of opportunity in relation to recruitment, promotion, transfer, training, benefits, facilities, procedures and all terms and conditions of employment.

Henry Smith (C/E) Ltd shall through the application of all its policies seek to appoint, develop and retain the people required to meet its business objectives. It is Henry Smith (C/E) Ltd's objective to achieve best practice in all employment policies and procedures to support its Policy of ensuring equality of opportunity for all existing and potential employees. In addition Henry Smith (C/E) Ltd is committed to ensuring that former employees are not treated detrimentally in relation to any complaint of discrimination arising out of the employment relationship.

In addition to employees, this Policy will apply to the Company's treatment of agency staff, contractors, consultants or any other person working for or on behalf of Henry Smith (C/E) Ltd. The Company will also expect other persons working for or on behalf of Henry Smith (C/E) Ltd to be aware of and comply with this Policy. Discrimination is viewed by Henry Smith (C/E) Ltd as serious misconduct and as such will be subject to action under the Disciplinary Procedure. Employment Tribunal proceedings for discrimination can be taken against both employers and employees and in some cases, an individual employee may be found personally liable to compensate the person bringing the claim of unlawful discrimination.

Henry Smith (C/E) Ltd is committed to a fully effective Equal Opportunities Policy and will:

- through appropriate communications, ensure that this Policy is understood and implemented, and that all individual employees fully understand their personal responsibilities;
- ensure that all agency workers, contractors, consultants and any other persons working for or on behalf of Henry Smith (C/E) Ltd are fully aware of and comply with this Policy;
- make appropriate provision for the implementation of this Policy;
- review its recruitment, selection, employment practices and opportunities for training and development; and
- monitor the effectiveness of the Policy, aiming for continuous improvement in all aspects of equal opportunities in employment.

HR

The Managing Director is responsible for the maintenance and review of the Policy on Equal Opportunities on behalf of the Board of Directors of Henry Smith (C/E) Ltd. This Policy will be reviewed to ensure its effectiveness and any changes arising from this review will be communicated to employees, their

representatives, suppliers and other parties. Any revisions to the policy will be made in line with the Document Control Procedure.

Managers/Supervisors

All managers/supervisors have a personal responsibility to ensure that the Policy is consistently and appropriately implemented and to ensure that all individuals for whom they are responsible are aware that they have an obligation at all times to uphold and promote this Policy and to comply with all relevant legislation and the relevant Codes of Practice.

Employees

All employees should ensure that they understand the Policy on Equal Opportunities.

They should treat fellow employees, agency workers, job applicants, contractors, consultants and customers fairly, regardless of age, colour, disability, ethnic or national origin, marital status, nationality, race, religion, belief, sex or sexual orientation.

If an employee feels they have been discriminated against they should talk to their manager or supervisor who may be able to resolve the complaint informally, between the various parties involved. This will be done confidentially and dealt with promptly. If an informal approach is unsuccessful, or inappropriate, the Grievance Procedure as defined by the EEF (for which Henry Smith (C/E) Ltd is accredited) should be used, and this process will be treated in strictest confidence and dealt with promptly. Any disciplinary action will be dealt with under the ACAS Code of Practice for Discipline at Work. The Grievance and Disciplinary Procedures are not applicable to agency workers, contractors or consultants.

Other workers

Other persons working for or on behalf of Henry Smith (C/E) Ltd are expected to be aware of and comply with this Policy. It should be noted, however, that the Grievance Procedure referred to in this Policy only applies to employees of Henry Smith (C/E) Ltd. If an agency worker, contractor or consultant feels they have been discriminated against they should talk to their employing agency or company as appropriate.

Henry Smith (C/E) Ltd Age Discrimination Policy

As detailed in the Policy on Equal Opportunities, Henry Smith (C/E) Ltd is committed to equal opportunities in employment. This includes ensuring that there is no discrimination on the grounds of age and that access to employment and advancement within Henry Smith (C/E) Ltd is based on ability, qualifications and capability. Conduct involving discrimination by any employee for any reason is unlawful and unacceptable and, as such, Henry Smith (C/E) Ltd does not condone or tolerate discrimination in any form.

In support of the Equal Opportunities Policy Statement, Henry Smith (C/E) Ltd's Policy on Age Discrimination is designed to ensure equality for employees and job applicants, regardless of their age.

In addition to employees, this Policy will apply to the treatment of job applicants, former employees, agency staff, contractors, consultants or any other person working on behalf of Henry Smith (C/E) Ltd. This means that Henry Smith (C/E) Ltd can be found guilty of discrimination against individuals even though they are not employees of Henry Smith (C/E) Ltd. The Company expects other persons working for or on behalf of Henry Smith (C/E) Ltd to be aware of and comply with this Policy. It should be noted, however, that any Grievance and Disciplinary Procedures referred to in this Policy only apply to existing Henry Smith (C/E) Ltd employees.

Age discrimination is viewed by Henry Smith (C/E) Ltd as serious misconduct and as such may result in action under the Company's Disciplinary Procedure (ACAS Code of Practice for Discipline at Work). With effect from 1 October 2006, Employment Tribunal proceedings for age discrimination can be brought against both employers and employees and in some cases, an individual employee may be found personally liable to compensate the person bringing the claim of unlawful discrimination.

Age Discrimination is defined as:

- treating them less favourably than others because of their age unless objectively justified
- applying a criterion, provision or practice which disadvantages people of a particular age unless it can be objectively justified
- in certain cases this can apply after the working relationship has ended

It is unlawful, on the grounds of age, to discriminate directly or indirectly, to subject someone to harassment, to victimise someone or, in certain circumstances, to discriminate after employment.

Direct Age Discrimination

Direct age discrimination is less favourable treatment because of someone's age. For example it would be unlawful on the grounds of age to:

- Decide not to employ someone
- Dismiss them
- Refuse to provide them with training
- Deny them promotion
- Give them adverse terms and conditions

- Retire an employee before the default retirement age of 65 without an objective justification

Example: - If during a recruitment exercise a manager rejected a 50-year-old candidate for a job in favour of a 35-year-old candidate because he/she believed that the job required someone younger and more dynamic.

Indirect Age Discrimination means selection criteria, policies, benefits, employment rules or any other practice which, although they are applied to all employees, have the effect of disadvantaging people of a particular age unless the practice can be justified. Indirect discrimination is unlawful whether it is intentional or not.

Example:-If a job advertisement required candidates to have a specific qualification, which has only been available for the past five years. Unless this requirement can be justified, arguably it would be indirectly discriminating against other candidates who may have a similar qualification and many years of experience in the field in question, but who, because they qualified more than 5 years ago, cannot fulfil the specific requirement.

Harassment

Includes behaviour that is offensive, frightening or in any way distressing. It may be intentional bullying which is obvious or violent, but it can be unintentional subtle or insidious. It may involve nicknames, teasing, name calling or other behaviour which is not with malicious intent but which is upsetting. It may be about the individual's age or it may be about the age of those with whom the individual associates. It may not be targeted at an individual(s) but consist of a general culture which, for instance, appears to tolerate the telling of ageist jokes.

Example: - A young employee is continually told he is 'wet behind the ears' and 'straight out of the pram' which he finds humiliating and distressing. This is harassment.

Example: - An employee's father works in the same department. People in the workplace often tell jokes about 'old fogies' and tease the employee about teaching an 'old dog new tricks'. This may be harassment on the grounds of age, even though it is not the victim's own age which is the subject of the teasing.

Victimisation is when an individual is treated detrimentally because they have made a complaint or intent to make a complaint about discrimination or harassment or have given evidence relating to a complaint about discrimination or harassment or have given evidence or intent to give evidence relating to a complaint about discrimination or harassment.

*Example: An employee claims discrimination against their employer on the grounds of age. A work colleague gives evidence on their behalf at the employment tribunal. When the work colleague applies for promotion her application is rejected even though she is able to show she has all the necessary skills and experience. Her manager maintains she is a 'troublemaker' because she had given evidence at the tribunal and **should not** be promoted. This is victimisation.*

Post Employment discrimination occurs when a person is subject to a detriment or harassment once an employment relationship has come to an end where the

detriment or harassment arises out of and is closely connected to the employment relationship. Discrimination, harassment or victimisation following the end of a working relationship covers issues such as the provision of references either written or verbal.

It is illegal to discriminate on the above grounds against Henry Smith (C/E) Ltd employees, agency workers, contractors, job applicants and, in certain circumstances, former employees.

It is illegal to discriminate on the above grounds in all aspects of employment including:-

- in recruitment and selection, including arrangements for deciding who should be offered employment, in terms on which employment is offered or by refusing or deliberately omitting to offer a person's employment;
- in the terms and conditions of employment;
- in relation to access to benefits, including opportunities for promotion, transfer, training or any other benefits, or the refusal of those opportunities;
- by dismissing an employee or causing him/her to be subjected to any other detriment; or
- by subjecting an employee or an applicant for employment to harassment.

It is, however, lawful to take **positive action** in certain circumstances. Henry Smith (C/E) Ltd may, therefore, take positive steps to remove unnecessary barriers in participation in employment opportunities and promote equal participation by all where it has been identified that workers of an age group are at a disadvantage or are under represented in the organisation.

Henry Smith (C/E) Ltd is committed to taking the following steps to ensure there is no discrimination on the grounds of age during any aspect of the employment relationship.

Recruitment & Selection

Every effort will be made to attract a wide field of applications by advertising in a form accessible to a diverse audience.

All selection criteria will be adequate, necessary and relevant to the role.

All selection methods will be designed to check for the skills and competencies required for the role.

All recruitment decisions will be based on the skills and aptitudes required for the role.

Transfers, Training & Promotion

Opportunities for transfer, training and promotion will be made known to all eligible employees and will be available to everyone on a fair and equal basis.

Employees will be considered for training, promotion or transfer on the basis of merit using selection criteria which do not take account of age.

Post Employment

Henry Smith (C/E) Ltd will make every effort to ensure that former employees are not subjected to any form of discrimination on the grounds of age if the situation arises out of and is closely connected to the employee's employment relationship.

Any complaint of discrimination made under this Policy will be taken seriously. All complaints will be dealt with confidentially and promptly. Every care will be taken to ensure that, in the event of a complaint, the complainant will not be treated less favourably by any other employee i.e. they are not victimised.

Informal Procedure

If an individual feels they have been discriminated against because of their age, they should talk to their manager who may be able to resolve the complaint informally between the various parties involved. Informal action may include speaking to the individual concerned and making them aware that their behaviour is unwelcome and that it should be stopped.

Grievance Procedure

If an informal approach is unsuccessful, or inappropriate, the individual should raise their complaint formally under the appropriate Grievance procedure as defined by the EEF (for which Henry Smith (C/E) Ltd is accredited) and any disciplinary action will be dealt with under the ACAS Code of Practice for Discipline at Work. Grievances will be treated in strictest confidence and dealt with promptly.

To make a complaint of discrimination, an employee should have available:

- details of the discrimination and when and where it took place;
- any witness statements or names; ⇒ names of others who have been treated in a similar way; and
- details of any former complaint made about the incident, including the date, and where and to whom it was made

The application of the ACAS Code of Practice for Discipline at Work will result in the immediate investigation of a claim of discrimination. If an employee is found to have committed a discriminatory act, they must be told to cease the practice immediately.

The appropriate Disciplinary Procedure (ACAS Code of Practice for Discipline at Work) will be applied to any employee found to have knowingly or carelessly acted in a discriminatory manner in the course of their employment.

Policy on Harassment

Any form of harassment of colleagues is not acceptable to Henry Smith (C/E) Ltd and reported incidents will be investigated fully. The Policy on Harassment contains detailed information on what to do if an individual feels they are suffering any form of harassment.

If an agency worker, contractor or consultant feels they have been discriminated against on the basis of age they should talk to their employing agency or company as appropriate. They should also advise their manager of their concerns. In the first instance the appropriate agency or company and the manager should try to resolve the complaint informally.

If an informal approach is unsuccessful, or inappropriate, the agency worker, contractor or consultant should make a formal complaint to their employing agency or company. The manager should also be made aware of the complaint.

The submission of a formal complaint will result in the immediate investigation of a claim of discrimination.

If a complaint is made against an agency worker, contractor or consultant the complaint should be dealt with by the appropriate agency or company and if necessary the services of the individual should be terminated in accordance with the terms of the contract with that agency or contractor.

Review

The Managing Director is responsible for the maintenance and review of the Policy on Age Discrimination on behalf of the Board of Directors of Henry Smith (C/E) Ltd. This Policy will be reviewed to ensure its effectiveness and any changes arising from this review will be communicated to employees, their representatives, suppliers and other parties. Any revisions to the Policy will be made in line with the Document Control Procedure.

Managers/Supervisors

Managers/supervisors are responsible for the day-to-day implementation of this Policy including any action under this Policy should employees, agency workers, contractors or consultants make a complaint of an act of age discrimination. Managers are responsible for ensuring that age discrimination does not occur in any employment areas such as recruitment, promotion, training, post employment etc.

Managers must take steps to ensure that employees do not engage in acts of discrimination in the course of their employment. This applies to the treatment of all individuals, including agency staff, contractors, consultants and customers. Managers should therefore ensure that the employees they are responsible for are aware of and understand this Policy.

Managers must take complaints of age discrimination seriously and take appropriate action as outlined in this Policy. Failure to take the appropriate action can leave a manager liable to allegations of discrimination and to disciplinary action. Managers should ensure that no victimisation occurs as a result of an employee making a complaint of age discrimination or providing information about alleged discrimination.

Managers may be required to attend training sessions which may be arranged to increase awareness of equal opportunity issues.

Employees

All employees should fully understand the Policy on Age Discrimination and are responsible for ensuring that they do not subject colleagues to age discrimination in any form.

Employees should treat fellow employees, agency staff, contractors, job applicants and customers fairly, regardless of their age. People should be treated as individuals rather than as members of stereotyped groups. This means judging people on their own merits and abilities rather than acting on the basis of any generalised assumptions or perceptions.

Employees should ensure that they are supportive to individuals who feel they have suffered discrimination on the basis of age.

Employees may be required to attend any training sessions which may be arranged to increase their awareness of equal opportunity issues.

Other workers

Other persons working for or on behalf of Henry Smith (C/E) Ltd must be aware of and comply with this Policy.

It should be noted, however, that that any Grievance procedure as defined by the EEF any Disciplinary procedure under the ACAS Code of Practice for Discipline at Work referred to in this Policy only apply to Henry Smith (C/E) Ltd employees.

Legislation/Codes of Practice

Employment Equality (Age) Regulations (effective from 1 October 2006)

ACAS Code of Practice for Discipline at Work

EEF Employment Guide 2006

Henry Smith (C/E) Ltd Policy on Alcohol & Drugs

Statement

The Henry Smith (C/E) Ltd Policy on Alcohol and Drugs is a fundamental part of the Company's strategy to safeguard the health, safety and welfare of all its employees.

Alcohol and drug consumption/dependency affects individual health and work performance in terms of safety, efficiency, productivity and attendance. In addition, it can have a detrimental effect on colleagues and dependants. As a responsible employer, Henry Smith (C/E) Ltd recognises the need to take measures to address the issue of alcohol and drugs in the workplace. This Policy has been developed to protect the health and safety of workers and to comply with relevant legislation. e.g. Health and Safety at Work etc. Act 1974 and Misuse of Drugs Act 1971.

This Policy, including guidelines in relation to alcohol and drugs, is designed to achieve the following:-

- to have a working environment free from the effects of alcohol and drugs;
- to encourage employees who suspect or know they have an alcohol or drug-related problem to seek help voluntarily and provide assistance to these employees to overcome their problem;
- to reduce the personal suffering of employees with alcohol or drug-related problems and their dependants;
- to provide practical guidance on how to deal with alcohol or drug-related problems effectively;
- to promote a climate which will reduce the tendency to conceal or deny alcohol or drug-related problems by enhancing awareness; and
- to provide a supportive framework for employees who come forward with an alcohol and drugs dependency.

In addition to employees, other persons working for or on behalf of Henry Smith (C/E) Ltd are expected to be aware of and comply with this Policy. It should be noted however that the disciplinary or support provisions contained in this Policy only apply to employees of Henry Smith (C/E) Ltd. Agency workers, consultants and contractors should be referred to their employing agency or company and dealt with in accordance with their contracts.

Obligations

For the purposes of this Policy: 'Alcohol' is defined as a beverage, condiment or food additive which contains alcohol in any form. An 'alcohol-related problem' is defined as any consumption of alcohol which interferes with a employee's health, safety, welfare and performance in any aspect of employment.

'Drugs' are defined as illegal substances, prescribed and over-the-counter medications. A 'drug-related problem' is defined as any use of drugs, or substances which in themselves are legal but may be subject to abuse such as glue or solvents, which interferes with a employee's health, safety, welfare and performance in any aspect of employment.

Employees are expected to be aware of and comply with this Policy to ensure that their performance or ability to carry out their activities at work safely and competently is not impaired in any way. All employees should observe the following, and note that failure to do so may result in disciplinary action being

taken. All employees engaged in normal work activity or on scheduled/agreed duty cover either at home or elsewhere are subject to the Policy in full for the duration of the periods of duty.

Employees must not present themselves for work under the influence of alcohol or drugs so that their performance or ability to carry out their activities at work safely and competently is impaired in any way. The limit for alcohol set by this Policy is in line with the Government's legal drink/drive limit, as amended from time to time.

(a) In the case of drugs the threshold levels are determined in accordance with established legal and medical practice.

(b) Consumption of alcohol during normal working hours or at any time on Company premises is prohibited.

(c) When representing Henry Smith (C/E) Ltd outside normal working hours, employees are expected to take a responsible attitude to alcohol and drugs. Employees should bear in mind that they are representing the Company and must not do anything to jeopardise its reputation.

(d) This Policy covers those driving any vehicle on behalf of Henry Smith (C/E) Ltd in any capacity or at any location. This Policy covers travel to and from work if it could reasonably be implied that alcohol or drugs were present outside the prescribed limits during normal working hours.

(e) Consumption, possession or sale of illegal drugs is prohibited. Possession and sale are also criminal offences under the Misuse of Drugs Act 1971.

(f) Prescribed and over the counter medications are also covered by this Policy as they may cause side effects that have potential safety implications. Employees therefore have a duty to advise their pharmacist/general practitioner/medical practitioner of this Policy when being prescribed medication. On the advice of the medical practitioner, the employee must notify his or her manager about any possible impact on his/her health and safety relating to his/her duties at work, so that current or alternative employment can be considered whilst he/she is being prescribed medication. Any employee engaged on safety critical tasks might require to be provided with alternative work during the period of medical treatment.

Employees or other persons obtaining treatment or medicines for themselves should be aware of the conditions and side effects notified and seek out alternatives that do not impair performance through drowsiness or other symptoms.

Any visitor who is attending the Company's premises or site for business reasons shall be expected to comply with this Policy and should be asked to leave the premises or site if they are acting in a manner likely to cause a breach of this Policy. Other members of the general public, for example, in their capacity as customers or clients, should be asked to leave if their behaviour indicates that they may be under the influence of alcohol and/or drugs.

Special Arrangements

The general principle adopted by Henry Smith (C/E) Ltd is to have an environment free from the effects of drugs and alcohol. It is the responsibility of all managers to enforce this Policy, regardless of whether or not they are the line manager in a given situation. Normally, however, the enforcement of this Policy will be a line management responsibility.

There are a number of circumstances in which special arrangements may be made, as follows:

(a) Breaks/Rest Periods

Alcohol may be consumed off site but workers must remember that they will be returning to work and will be subject to the limits for the presence of alcohol and drugs set out in this Policy. Alcohol will not be served and may not be consumed on business premises or sites at any time including any breaks, rest periods or after working hours. Managers should be aware of the limits and observe any abnormal or unusual behaviour after breaks, which may indicate abuse of this Policy.

(b) Working Hours, Standby Rotas or Emergency Call Out: The normal working hours during which this Policy applies include all periods of work such as shift-work, overtime and extra duty, and any period whilst waiting for work, such as between split duties. Any period of agreed standby or emergency call-out duty shall be considered to be part of the normal working hours for the purposes of this Policy, and the terms of this Policy relating to working under the influence of alcohol or drugs will therefore fully apply. Periods of travelling to or from a site for the purposes of standby or emergency call-out will also be treated as falling within the scope of this Policy.

(c) Hospitality and Entertainment: Where employees are involved in corporate hospitality or entertainment of customers, suppliers or other visitors outside of working hours, they are expected to take a responsible attitude to alcohol and drugs. Employees should remember that they may be returning to work and will be subject to the limits for the presence of alcohol and drugs set out in this Policy. Organisers of events should give clear guidelines to both attendees and employees on the application of this Policy.

(d) Conferences and Training Courses: The terms of this Policy relating to the consumption of alcohol and use of drugs apply during the normal working period of any conference or training course. They do not apply outwith this period except where work continues into the night or some other extended period. Employees should remember that they may be returning to work and will be subject to the limits for the presence of alcohol and drugs set out in this Policy.

(e) Birthdays, Retirement Celebrations and other special occasions: If alcohol is involved such events should take place away from business premises and outside working hours.

“With Cause” Screening

“With cause” screening involves testing when there are reasonable grounds to believe that alcohol or drugs could have, or potentially could have had, an adverse affect on the health and safety of any individual and/or there are circumstances where a manager considers there is evidence that alcohol consumption or drug use has occurred. Possible examples of ‘with cause’ screening could include:- abnormal behaviour; discovery of an alcoholic container with a broken seal; possession of a controlled substance; or signs of current intoxication.

This list of examples of ‘with cause’ screening is neither exclusive nor exhaustive. Managers are responsible for making the decision to screen an employee. The relevant manager is also responsible for communicating the decision to the individual(s) concerned and for calling out the screening agency.

“With cause” screening leading to a positive result will be treated in accordance with the Disciplinary Procedure, which may result in dismissal. Where a manager has reasonable grounds to believe that alcohol or drugs could have, or potentially could have had, an adverse affect on the health and safety of any individual and/ or there are circumstances where a manager considers there is evidence that alcohol consumption or drug use has occurred involving an agency worker, consultant or contractor the individual should be referred to the employing agency or company and the services of the individual terminated in accordance with the terms of the contract with that agency or Company.

Some people can be under the influence of alcohol/drugs without it being apparent. Examples of what is deemed to be behaviour that may result in testing are listed below. This list of examples is neither exclusive nor exhaustive. All the circumstances should be taken into account and managers should not rely on one particular factor.

Signs of Current Intoxication

- Smell of alcohol
- Unsteadiness • Aggression
- Appearing to be detached from reality
- Slurred speech
- Making inappropriate comments
- Smell of solvents
- Inappropriate giggling

Signs of Long Term Problems

- Poor attendance and late return from lunch
- Many episodes of self certified illness with no attempt to resolve the cause
- Poor work performance, especially large variations in quality and quantity of work of a previously reliable employee
- Many minor errors in work
- Many accidents such as trips, slips and falls
- Deterioration in personal appearance
- Lack of concentration and easily distracted
- Moody and picks arguments with colleagues
- Concern expressed by colleagues

It is the responsibility of employees to take any necessary precautions to avoid the need for “with cause” screening. For example, an employee may arrange to take time off after a planned night out where he or she anticipates being unfit to properly perform his or her duties by reason of being under the influence of alcohol.

(c) As a Responsible Employer

Henry Smith (C/E) Ltd reserves the right to carry out follow-up alcohol and drug screening for employees who have been receiving support or been absent from work because of an alcohol or drug-related problem.

Performance Relating to Alcohol and Drugs

Where an employee’s health, attendance or work performance is affected by an alcohol or drug related problem, he or she will be dealt with under the relevant procedures for managing performance or attendance.

Where an agency worker, consultant’s or a contractor’s health, attendance or work performance is affected by an alcohol or drug related problem, the

employing agency or company should be notified and the individual's services terminated in accordance with the terms of the specific contract.

Misconduct Relating to Alcohol and Drugs

Misconduct related to consumption of alcohol or drugs is normally dealt with under the Company's Disciplinary Procedure and acts of gross misconduct may result in the penalty of summary dismissal unless the circumstances in which the misconduct is committed are considered to justify a reduced penalty.

Misconduct of an agency worker, consultant or contractor should be referred to the employing agency or company (where applicable), and if appropriate the individual's services should be terminated subject to the terms of the contract.

In these circumstances, if the employee is thought to be unfit for work, he or she may be suspended from their duties whilst any investigations take place, to minimise danger to himself or herself, other employees and customers.

Employees whose alcohol or drug-related problem comes to light in the course of disciplinary proceedings should be aware that the admission of dependency may be a mitigating factor but will not necessarily result in the suspension of disciplinary action. All cases will be dealt with in the light of prevailing circumstances.

The possession or trafficking of any drugs declared to be illegal within the jurisdiction in which they are discovered is in breach of the Code of Conduct and Disciplinary Rules. In such instances the employee should be detained where possible by the designated person responsible for security, or responsible manager as appropriate, whilst the police are notified. Any line manager who believes that an employee or other person is contravening this section should immediately report the circumstances to an appropriate senior manager, and prepare a written report. Any employee found to be in possession, to have been in possession or to have been trafficking illegal drugs may be dismissed.

Responsibilities

Managing Director

The Managing Director is responsible for the maintenance and review of the Policy on Alcohol & Drugs, on behalf of the Board of Directors of Henry Smith (C/E) Ltd.

Managers

Managers are responsible for the day-to-day implementation of this Policy and for dealing with issues which arise and are related to alcohol or drug use. They are responsible for ensuring all staff, contractors, agency personnel and visitors with which they may be involved are aware of this Policy.

Employees

This Policy applies to all employees of Henry Smith (C/E) Ltd.

Cross References

Legislation/Codes of Practice Health and Safety at Work etc. Act 1974 - Henry Smith (C/E) Ltd has a statutory duty under this Act to ensure, so far as is reasonably practicable, the health, safety and welfare at work of all its employees. Similarly, an employee is required to take care of his or her and others' safety, and to co-operate with the employer whilst carrying out his or her duties.

Misuse of Drugs Act 1971 - divides controlled drugs into three classes according to their perceived danger. Under the Act it is an offence to possess, supply or offer to supply or produce controlled drugs without authorisation. It is also an offence to ignore such occurrences.

Employers may be negligent under civil law if they know an employee has an alcohol or drug abuse problem which may cause injury to a third party and such injury occurs.

Henry Smith (C/E) Ltd No Smoking Policy

Policy

Henry Smith (C/E) Ltd is legally required to ensure that our workplace is smoke-free. Therefore, smoking is prohibited on the company premises with no exceptions. Smoking is also forbidden in company vehicles. This policy applies to all employees, consultants, contractors, customers and visitors. Responsibility for this policy rests with the Managing Director.

Smoking is only permitted during official breaks and only off the company premises. Appropriate 'no smoking' signs are clearly displayed at all entrances.

Non compliance

Any breach of this policy will be taken seriously and will lead to disciplinary action being taken in accordance with the Company's disciplinary policy which may, depending on the circumstances, include dismissal.

Local authorities, the designated enforcement authorities responsible for enforcing the smoke-free legislation, can also issue a fine of up to £200 to individuals smoking in smoke-free premises or vehicles.

Help to stop smoking

The NHS Smoking helpline number is 0800 169 0 169. The helpline can offer advice and support on stopping smoking along with a website at www.givingupsmoking.co.uk

Henry Smith (C/E) Ltd

IT Policy

Acceptable Use of Henry Smith (C/E) Ltd's IT facilities:

Background

All Henry Smith (C/E) Ltd's IT facilities and information resources remain the property of Henry Smith (C/E) Ltd and not of particular individuals, teams or departments. By following this policy we'll help ensure IT facilities are used:

- legally;
- securely;
- without undermining Henry Smith (C/E) Ltd;
- effectively;
- in a spirit of co-operation, trust and consideration for others;
- so they remain available.

The policy relates to all Information Technology facilities and services provided by Henry Smith (C/E) Ltd. All employees are expected to adhere to it.

Disciplinary Measures

Deliberate and serious breach of the policy statements in this section will lead to disciplinary measures which may include the offender being denied access to computing facilities.

Copyright

Take care to use software legally in accordance with both the letter and spirit of relevant licensing and copyright agreements. Copying software for use outside these agreements is illegal and may result in criminal charges.

Security

Don't attempt to gain unauthorised access to information or facilities. The Computer Misuse Act 1990 makes it a criminal offence to obtain unauthorised access to any computer (including workstations and PCs) or to modify its contents. If you don't have access to information resources you feel you need, contact your IT Support person or provider.

Don't disclose personal system passwords or other security details to other staff, volunteers or external agents and don't use anyone else's login; this compromises the security of Henry Smith (C/E) Ltd. If someone else gets to know your password, ensure you change it or request support to help you. If you leave your PC unattended without logging off, you are responsible for any misuse of it while you're away. Password should not be easily guessed, should be a combination of letters and numbers/characters and should contain at least one capital. They should be changed on a regular basis.

ALWAYS check any external drives for viruses, even if you think they are clean (ask for IT Support to find out how). Computer viruses are capable of destroying Henry Smith (C/E) Ltd's information resources. It is better to be safe than sorry.

Information about people

If you're recording or obtaining information about individuals make sure you are not breaking Data Protection legislation (your Manager can give you more information).

You are a representative of Henry Smith (C/E) Ltd when you're on the Internet using email:

- * Make sure your actions are in the interest (and spirit) of Henry Smith (C/E) Ltd and don't leave Henry Smith (C/E) Ltd open to legal action (e.g. libel).

- * Avoid trading insults with other people using the Internet with whom you disagree.

- * Obscenities/Pornography: Don't write it, publish it, look for it, bookmark it, access it or download it.

Email Policy

When to use email:

Use it in preference to paper to reach people quickly (saving time on photocopying / distribution) and to help reduce paper use. Think and check messages before sending (just as you would a letter or paper memo). Use the phone (including voicemail if no reply) for urgent messages (email is a good backup in such instances).

Use of Distribution Lists:

Only send Email to those it is meant for; don't broadcast (i.e. send to large groups of people using email aliases) unless absolutely necessary since this runs the risk of being disruptive. Unnecessary (or junk) email reduces computer performance and wastes disc space. Don't broadcast emails with attachments to large groups of people - either note in the email where it is located for recipients to look, or include the text in the body of the email. Failure to do this puts an unnecessary load on the network.

General points on email use:

When publishing or transmitting information externally be aware that you are representing Henry Smith (C/E) Ltd and could be seen as speaking on Henry Smith (C/E) Ltd's behalf. Make it clear when opinions are personal. If in doubt, consult your manager.

Check your in-tray at regular intervals during the working day. Keep your in-tray fairly empty so that it just contains items requiring your action. Try to decide what to do with each email as you read it (e.g. delete it, reply to it, save the whole email in a folder, or extract just the useful information and save it somewhere logical).

Keep electronic files of electronic correspondence, only keeping what you need to. Don't print it off and keep paper files unless absolutely necessary.

Treat others with respect and in a way you would expect to be treated yourself (e.g. don't send unconstructive feedback, argue or invite colleagues to publicise their displeasure at the actions / decisions of a colleague). Don't forward emails warning about viruses (they are invariably hoaxes and IT Support will probably already be aware of genuine viruses - if in doubt, contact them for advice).

Email etiquette :

Being courteous is more likely to get you the response you want.

Do address someone by name at the beginning of the message, especially if you are also copying another group of people.

Make your subject headers clear and relevant to your reader(s)

eg Don't use subject headers like "stuff"

Don't send a subject header of, say "accounts" to the accountant

Try to keep to one subject per email, especially if the content is complex.

It is better for your reader(s) to have several emails on individual issues, which also makes them easy to file and retrieve later.

One email covering a large variety of issues is likely to be misunderstood or ignored.

Don't open email unless you have a reasonably good expectation of what it contains,

eg Do open report.doc from an Internet colleague you know

Don't open explore.zip sent from an address you've never heard of, however tempting. Alert IT Support if you are sent anything like this unsolicited. This is one of the most effective means of protecting Henry Smith (C/E) Ltd against email virus attacks.

Keep email signatures short. Your name, title, phone/fax and web site address may constitute a typical signature.

Miscellaneous

Hardware and Software: All purchases should be through the Financial Director and approved by the Managing Director

Installing Software: Get permission from the Financial Director before you install any software (including public domain software) on equipment owned and/or operated by Henry Smith (C/E) Ltd.

Data transfer and storage on the network:

Keep master copies of important data on Henry Smith (C/E) Ltd's network and not solely on your PC's local C: drive or discs. Otherwise it will not be backed up and is therefore at risk.

Don't copy files which are accessible centrally into your personal directory unless you have good reason (i.e. you intend to amend them or you need to reference them and the central copies are to be changed or deleted) since this uses up disc space unnecessarily.

Use of facilities for leisure or personal purposes is permitted so long as such use does not:

- * incur specific expenditure for Henry Smith (C/E) Ltd
- impact on your performance of your job
- break the law
- bring Henry Smith (C/E) Ltd into disrepute.

Care of equipment:

Don't re-arrange how equipment is plugged in (computers, power supplies, network cabling, modems etc.) without first contacting the Financial Director

Don't take food or drink into rooms which contain specialist equipment like servers. Access to such rooms is limited to authorised staff.

Henry Smith (C/E) Ltd

Security & Delegation of Authority Policy

Purpose

The following policy is designed to minimise the risk to people working for Henry Smith (C/E) Ltd and for the security of the offices and factory. Security for sites shall be covered by the Main Contractor. Its is also designed to show the delegation of authority in the event of unavailability of senior management.

Delegation of Authority

In all instances, the Managing Director shall be the authorising person. In the event that the Managing Director is not available for an extended period of time (ie holiday or sickness), then authority shall be delegated to the Contracts Director. In the event that the Contract's Director is also not available for an overlapping extended period, then authority shall be delegated to the Financial Director.

General Access to the Office and Factory

The Offices and Factory should be secured at the end of each working day, by locking any external doors, windows, gates and any other entry points.

Within the offices

When leaving your office for the day ensure that:

- windows are closed and locked
- lights, fans, and any additional heaters are switched off
- office door is closed

If you are the last person to leave the building:

- check all the above for each office
- check the door into the works is locked
- set the burglar alarm
- lock the main door and gate

Within the works

The Works Manager shall ensure that the works are secured, all doors are locked and trailers are parked across the entrance to the back of the works to prevent theft from this area.

Away from the normal workplace

Employees who are going to be away on business should make it clear to colleagues where they will be, how long for and how they can be contacted. If, whilst out of the office, plans change significantly, this should be communicated back to the office.

Holding or carrying money or valuables

Large amounts of cash, other than petty cash, or valuables are not to be kept on the premises. Visits to the bank are not to be made at a regular time. Laptops are

not to be left on view to the public or left next to an open ground floor window. Laptops are not to be left in locked boot of car when out.

Car and Bicycle Security

Remember to:

- ensure that your car is locked and all that windows are closed.
- ensure nothing is left on view inside the car when you leave it.
- ensure bicycles are padlocked and secured.

Henry Smith (C/E) Ltd Competition Law Policy

Background

Compliance with competition law is of primary importance to Henry Smith (C/E) Ltd. As such, it is the policy of Henry Smith (C/E) Ltd to fully comply with all applicable competition laws in the United Kingdom, including the Enterprise Act 2002 and all associated legislation, guidelines and notices. Henry Smith (C/E) Ltd aims to foster a culture of competition law compliance and it is in this spirit that Henry Smith (C/E) Ltd adopts this Policy. It is essential that the activities of Henry Smith (C/E) Ltd comply with competition law and this Policy not only in form but also in substance.

The Board recognises that breach of competition law exposes Henry Smith (C/E) Ltd and its employees to the risk of heavy fines, court orders and significant costs and bad publicity associated with a competition investigation. Individuals may also face criminal sanctions and director disqualification orders. Failure to comply with competition law or with this Policy is a serious matter and any employee's conduct contributing to non-compliance which comes to our attention may result in disciplinary proceedings.

Policy

It is recognised that the following are serious breaches of competition law and Henry Smith (C/E) Ltd and its employees shall not engage in any of the following activity:

- Agreements with the object or effect of fixing prices, restricting discounts or rebates;
- Agreements limiting output or production, allocating markets or customers;
- Agreements to exchange current and specific information on price, capacity, costs and other commercially sensitive information;
- Collective boycotts or other coordinated measures intended to eliminate competitors; and
- Coordinated measures that slow technical development or otherwise exploit markets

Codes of conduct or other forms of guidance for the industry must not be used as a means of competitive coordination. Where they relate to technical and safety standards and do not include guidance on competitive matters such as pricing or market/customer allocation they are unlikely to cause competition law concern.

Risk management

Each employee of Henry Smith (C/E) Ltd must make every effort to act in full accordance with competition law. The Board have particular responsibility to ensure that the activities of Henry Smith (C/E) Ltd committees do not breach competition law. Any actual or suspected breach should be immediately reported to the Managing Director.

If, in the course of its activities with other organisations, Henry Smith (C/E) Ltd becomes aware of anti-competitive behaviour it must take active steps to show unambiguous disapproval of the conduct: silence in meetings is not sufficient. In the event of an investigation the burden of proof will be on Henry Smith (C/E) Ltd

to show this disapproval, therefore Henry Smith (C/E) Ltd must make sure that these objections are accurately documented and it should retain copies of relevant documents.

Henry Smith (C/E) Ltd Fraud, Bribery and Malpractice Policy

Background

This organisation has a commitment to high legal, ethical and moral standards. All members of staff are expected to share this commitment. This policy is established to facilitate the development of procedures, which will aid in the investigation of fraud, bribery, malpractice and related offences.

The Board already has procedures in place that reduce the likelihood of these occurring. These include standing operating procedures and documented systems of internal control and risk assessment. In addition the Board tries to ensure that a risk awareness culture exists in this organisation.

This policy is intended to provide direction and help to those officers and directors who find themselves having to deal with suspected cases of theft, fraud or corruption. These documents give a framework for a response and advice and information on various aspects and implications of an investigation. These documents are not intended to provide direction on prevention of fraud.

Fraud, Bribery & Malpractice Policy

This policy applies to any irregularity, or suspected irregularity, involving employees as well as consultants, vendors, contractors, and/or any other parties with a business relationship with this organisation. Any investigative activity required will be conducted without regard to any person's relationship to this organisation, position or length of service. Although this document specifically refers to fraud and bribery, it equally applies to any forms of malpractice that can reduce confidence in the Company and its services. Examples may include, the criminal acts of theft of "property", which includes all assets and cash; false accounting; obtaining by deception; pecuniary advantage by deception; computer abuse and computer crime. Also, it includes bribery and corruption. Employees can be exposed to a number of "pressures", from contractors, landlords, the public etc. to act in a particular way in a particular case.

Actions Constituting Fraud

Fraud comprises both the use of deception to obtain an unjust or illegal financial advantage and intentional misrepresentations affecting the financial statements by one or more individuals among management, staff or third parties. All Managers and Supervisors have a duty to familiarise themselves with the types of improprieties that might be expected to occur within their areas of responsibility and to be alert for any indications or irregularity.

Fraud Policy

The Board is absolutely committed to maintaining an honest, open and well-intentioned atmosphere within the organisation. It is therefore also committed to the elimination of any fraud within the organisation, and to the rigorous investigation of any such cases.

The Board wishes to encourage anyone having reasonable suspicions of fraud to report them. Therefore it is also the Board's policy, which will be rigorously

enforced, that no employee will suffer in any way as a result of reporting reasonably held suspicions.

All members of staff can therefore be confident that they will not suffer in any way as a result of reporting reasonably held suspicions of fraud. For these purposes reasonably held "suspicions" shall mean any suspicions other than those, which are raised maliciously and found to be groundless. The organisation will deal with all occurrences in accordance with the Public Interest Disclosure Act.

Bribery Policy

The Company Bribery policy prohibits the offering, the giving, the solicitation or the acceptance of any bribe, whether cash or other inducement to or from any person or company, wherever they are situated and whether they are a public official or body or private person or company by any individual employee, agent or other person or body acting on the Company's behalf in order to gain any commercial, contractual or regulatory advantage for the Company in a way which is unethical or in order to gain any personal advantage, pecuniary or otherwise, for the individual or anyone connected with the individual

This policy prohibits any inducement which results in a personal gain or advantage to the recipient or any person or body associated with them, and which is intended to influence them to take action which may not be solely in the interests of the Company or of the person or body employing them or whom they represent.

This policy is not meant to prohibit the following practices providing they are customary, are proportionate and are properly recorded:

- normal and appropriate hospitality
- the giving of a ceremonial gift on a festival or at another special time
- the use of any recognised fast-track process which is available to all on payment of a fee
- the offer of resources to assist the person or body to make the decision more efficiently provided that they are supplied for that purpose only.

Inevitably, decisions as to what is acceptable may not always be easy. If anyone is in doubt as to whether a potential act constitutes bribery, the matter should be referred to senior management before proceeding.

Responsibilities

The prevention, detection and reporting of bribery is the responsibility of all employees throughout the Company. Suitable channels of communication by which employees or others can report confidentially any suspicion of bribery will be maintained. The company requires all staff at all times to act honestly and with integrity and to safeguard the resources for which they are responsible. Fraud is an ever-present threat to these resources and hence must be a concern to all members of staff.

The organisation should be responsible for: -

- Developing and maintaining effective controls to prevent fraud.

- Carrying out vigorous and prompt investigations if fraud occurs.
- Taking appropriate legal and/or disciplinary action against perpetrators of fraud.
- Taking disciplinary action against supervisors where supervisory failures have contributed to the commission of the fraud.

Managers should be responsible for: -

- Identifying the risks to which systems and procedures are exposed.
- Developing and maintaining effective controls to prevent and detect fraud.
- Ensuring that controls are being complied with.

Individual members of staff are responsible for: -

- Acting with propriety in the use of official resources and in the handling and use of corporate funds whether they are involved with cash or payments systems, receipts or dealing with contractors or suppliers.
- Reporting details immediately to (their line manager or next most senior manager) if they suspect that a fraud has been committed or see any suspicious acts or events.

Employees should normally raise concerns through their immediate manager, however it is recognised that they may feel inhibited in certain circumstances. In this case, employees should contact one of the Company's Board Members. The Company's "Whistleblowing" Policy gives further guidance on how to raise concerns and it gives details about the support and safeguards that are available to those that do raise concerns.

Actions that the Company will take

All concerns will be treated in confidence and will be investigated promptly and fully in a professional manner. It should be noted that an allegation does not mean the individual person or company is guilty of any wrong-doing, and so they will not be treated as such until the case is proven. If fraud, bribery or malpractice has taken place, the Company will, in appropriate cases:-

- prosecute the individual(s) or refer the case to the police
- take appropriate disciplinary action where it involves an employee and this may lead to dismissal
- pursue recovery for any financial loss

There is, of course, a need to ensure that the investigation process is not misused, therefore, any internal abuse, such as raising malicious or vexatious allegations, may be dealt with as a disciplinary matter.

Henry Smith (C/E) Ltd Gifts and Corporate Hospitality Policy

Background

The purpose of this policy is to set out our rules on the giving and receiving of gifts and corporate hospitality in order to protect our reputation and ensure that we operate both lawfully and ethically.

This policy applies to all employees.

Offering gifts

You are allowed to offer modest non-cash gifts to business partners where appropriate for marketing purposes or, as long as the gift is occasional and not regular or repeated, other purposes such as expressing thanks or making a goodwill gesture. For example, we may offer promotional material for marketing purposes or send a gift to a business partner as a Christmas gift.

You should never offer:

- cash gifts;
- any sort of gift where the intention is to influence the recipient's judgment;
- any sort of gift where you know the recipient is not allowed to receive it.

Accepting gifts

You are allowed to accept token gifts from business partners or potential business partners where this constitutes legitimate and reasonable marketing or where it is a legitimate goodwill gesture. For example, you can accept promotional items such as desk calendars or pens or occasional gestures such as a bunch of flowers from a customer to express thanks or offer congratulations.

You should never accept:

- cash gifts; or
- gifts which are extravagant; or
- repeated/regular gifts from the same donor; or
- any sort of gift where your judgment might reasonably be thought to be at risk of influence as a result of the gift (for example, a gift from a potential business partner shortly before you make a decision over whether or not to award them a contract); or
- any sort of gift which might reasonably bring the business into disrepute or be contrary to terms or the spirit of our equal opportunities

Be aware that a 'gift' includes food, drink and other corporate hospitality if the host is not present. For example, if you are invited to attend a test match at Lords by one of our suppliers but the supplier will not be present then the tickets are a gift.

If you are offered a gift in circumstances which make you concerned or uncomfortable then you should raise this with the Managing Director. It is our policy and your responsibility to act ethically at all times.

If any unauthorised gift is offered to you then you should decline it politely explaining that our policy does not permit you to accept it, unless to do so would

be embarrassing or insulting (for example because the gift is offered in public) in which case you should accept the gift and then refer the situation to your manager. The company is likely to write to the donor of the gift explaining our policy and returning the item.

Corporate hospitality and entertainment

Our policy is to participate in corporate hospitality and entertainment where this will promote good relationships with our business partners.

In addition, working lunches with business partners are appropriate, as long as they are reasonable.

However, corporate hospitality and entertainment, including attendance at dinners or sporting events, should not be offered or accepted if:

- it is on a scale which is disproportionate to the legitimate business value of the relationship; or
- you are offering it with the intention of influencing the recipient's judgment or when you know they are not permitted to accept it; or
- you are offered it in circumstances when acceptance would influence your business judgment or put you in a difficult position; or
- if it might reasonably bring the business into disrepute or contravene the terms or the spirit of our equal opportunities policy.

If you are unsure as to whether a particular invitation is appropriate, you should seek guidance from the Managing Director.

Henry Smith (C/E) Ltd Supplier Selection Policy & Procedure

Policy

To ensure the performance capabilities of all vendors and maintain the internal controls of the buying functions, appropriate supplier selection and inspection procedures will be followed.

Purpose

To provide the methods for determining, documenting and, when applicable, inspecting suppliers for compliance with company policies and contract purchasing requirements.

Purchased products and services should conform to specified requirements. This starts with selection of appropriate suppliers that have the capability and systems to supply products, materials and services to satisfy Company requirements. Suppliers are controlled to the extent necessary based on the effect of the purchased items on the quality of the Company's products and services.

Scope:

This procedure applies to all suppliers of products, materials, and services that directly affect the quality of the Company's products and services.

Responsibilities

The buying department is responsible for initial supplier identification and for collection of business information related to the potential supplier. They are also responsible for maintaining supplier performance data for ongoing supplier evaluation. for evaluating the supplier's quality systems as appropriate and for reporting supplier quality performance on a continuous basis.

Finance is responsible for evaluation of the potential supplier's financial information.

Procedure

Supplier Selection Criteria

New vendors are to be evaluated using the following criteria:

- Pricing: competitive pricing is one component of the evaluation and may be out weighed by other factors. Pricing alone will not necessarily be a deciding factor unless all else is equal.
- Goods / Services availability and delivery time frame.
- Performance capability (i.e., financial status, sufficient facilities, capability of equipment and employees).
- Internal Quality Assurance program: Companies certified to ISO 9001 or equivalent are given preference.
- Reference checks if required
- Ongoing evaluation of suppliers:
 - On-Time Delivery, (0 days early, 0 days late) 100% on time expected
 - Quality: (Items rejected/Total items received)

Qualified vendors will be maintained on an Approved Vendor List for purchasing. Complete Supplier Questionnaire for approval of all first time purchases from a vendor. Make sure to document any related party transactions or vendors the

Company or employees could have a potential conflict of interest with on this form.

Disqualification: Suppliers not responsive to Notice to Improve requests or are unable to correct problems with delivery or quality may be disqualified.

Disqualification is generally a consensus decision between the Buying Department and the Contracts Department or Senior Management where relevant.

Supplier Audit / Inspection

For critical components or for inventory purchases that the Company desires to rely on the quality assurance of the supplier an on-site audit/inspection may be performed.

Supplier Files

A file will be prepared and maintained for all suppliers on the Approved Supplier List which will be used for significant or on-going purchasing. The vendor files should include the following:

Completed Supplier Questionnaire including relevant certificates / insurances etc.

Non Conformance Reports if applicable

Supplier Review Form if applicable

Notice to Improve Letters if applicable

Henry Smith (C/E) Ltd Worksafe Policy

Background

The Health & Safety at Work Etc. Act 1974 requires Henry Smith (C/E) Ltd to ensure, so far as is reasonably practicable, the Health and Safety of our employees and anyone else who may be affected by our acts or omissions. The purpose of this Policy is to ensure that all employees are aware of the manner in which Henry Smith (C/E) Ltd gives the opportunity to stop working, should employees consider the working environment or the working practice to be unsafe. In order to carry out this policy, responsibilities for Health and Safety have been clearly defined, allocated and accepted at all levels. All employees must play their part in implementing this policy if safety standards are to constantly improve. The Refusal to Work process is as follows:

Work Safe Policy

If an employee (individual) believes that a task or condition will endanger either themselves or others, work should cease and the situation be immediately reported to the person in charge on site (Henry Smith (C/E) Ltd representative as appropriate).

The situation will then be reviewed by the person in charge on site and consideration will be given to the safety impact on the individual and others. Wherever possible, immediate and appropriate action must be taken to resolve the situation.

As a result of the review, the system of work will either be confirmed as safe or amended. If the individual is satisfied with this outcome, they will resume work. If the individual remains dissatisfied, the person in charge will contact the Henry Smith (C/E) Ltd

Contracts Manager providing all the relevant details / background to the situation. If the situation cannot be resolved, a benchmark review will be undertaken by the Contracts Director against all legislative standards and industry best practice to determine the safety impact of the task or condition. If the benchmark review fails to produce a satisfactory outcome, the disputed system of work will cease and Henry Smith (C/E) Ltd Managing Director and the client will be informed as soon as practically possible. The Managing Director will liaise with the customer to consider the disputed working arrangements, making any necessary changes and advise the Director accordingly. Changes to working arrangements will be documented and implemented by the Contracts Director. This may include amendments to work instructions, processes, method statements risk, impact and COSHH assessments. Additional levels of training and competence may be required by individuals or further briefings as appropriate. Full details of the eventual, agreed outcome will be forwarded to the complainant and the customer where appropriate. Suitable records will be maintained.

Should the complainant still be dissatisfied with the system of work, Henry Smith (C/E) Ltd may provide independent arbitration from an external source. Henry Smith (C/E) Ltd will undertake to follow the arbitrator's advice. Should the arbitrator uphold Henry Smith (C/E) Ltd safe system of work and the complainant still refuse to work; Henry Smith (C/E) Ltd will implement the disciplinary procedure. The arrangements in place to implement this policy form part of the company's standard operating procedures and as such are reviewed on a

continuous basis. Where opportunities for improvement in safety standards or safety problems are identified they will be tackled promptly, with sufficient resources, to ensure that they are adequately dealt with, implemented and briefed in to all employees.

This policy will be reviewed on an annual basis.

Henry Smith (C/E) Ltd Blacklisting of Trade Union Policy Statement

Background

The Employment Relations Act 1999 (Blacklists) Regulations 2010 prohibit generally the compilation, use, sale or supply of blacklists containing details of trade union members and activists whose purpose is to discriminate against workers on grounds of trade union membership or trade union activities. It is unlawful for employers to refuse someone employment for a reason related to a blacklist or subject an employee to any other detriment for a reason related to a blacklist. It is also unlawful for an employment agency to refuse its services to someone for a reason related to a blacklist. Breaches of the Regulations can be enforced either through an employment tribunal or the ordinary civil courts.

Recruitment, Employment & Dismissal

Henry Smith (C/E) Ltd shall not refuse to employ a person because he or she is a union member, nor shall we put an employee under any form of disadvantage in order to prevent or deter the employee from being a union member, or penalise him or her for union membership. We will also not prevent, deter or penalise an employee's participation in the activities of a union, provided the activities take place at an appropriate time.

Henry Smith (C/E) Ltd shall not dismiss an employee for being a union member or for taking part in union activities at an appropriate time, nor shall we select an employee for redundancy on union grounds. This rule applies regardless of the employee's age or length of service.

Henry Smith (C/E) Ltd Whistle-blowing Policy

Overview

Henry Smith (C/E) Ltd is committed to always acting in a manner which is ethical, fair, evenhanded and in compliance with all laws, regulations and obligations. However, all organizations are at risk of developing practices which are illegal, unfair and unethical if there is not sufficient accountability.

The *Public Interest Disclosure Act 1998* gives all employees legal protection from dismissal, disciplinary action, penalization or adverse treatment where they publicly disclose serious concerns, provided that the disclosure is made in accordance with this procedure and is in good faith.

The Company is committed to the highest possible standards of openness, probity and accountability. In line with that commitment we encourage employees and others with serious concerns about any aspect of the Company's work to come forward and voice those concerns without fear of reprisals. This policy document makes it clear that you can do so without the fear of victimisation, subsequent discrimination or disadvantage.

This Whistleblowing Policy is intended to encourage and enable staff to raise serious concerns within the Company rather than overlooking a problem or blowing the whistle outside.

The policy applies to all employees and those contractors working for the Company for example, agency staff. It also covers suppliers and those providing services under a contract with the Company.

These procedures are in addition to the Company's complaints procedures and other reporting procedures.

Scope

Whistleblowing is where an employee has concerns about a danger or illegality that has a public interest to it, usually because it threatens others. A grievance or private complaint is by contrast a dispute about the employee's own employment position and has no additional public interest. This Whistleblowing Policy aims to:

- encourage you to feel confident in raising serious concerns and to question and act upon concerns about practice
- provide avenues for you to raise concerns and receive feedback on any action taken
- allow you to take the matter further if you are dissatisfied with the Company's response; and
- reassure you that you will be protected from reprisals or victimisation for whistleblowing in good faith.

There are existing procedures in place to enable you to lodge a grievance relating to your own employment. This Whistleblowing Policy is intended to cover concerns that fall outside the scope of other procedures. That concern may be about something that:

- is unlawful; or
- makes you feel uncomfortable in terms of professional standards, your experience or the standards you believe the Company subscribes to; or
- is against the Company's Procedures or policies; or

- falls below established standards or practice; or
- amounts to improper conduct.

Purpose of this policy and relationship to grievance procedure

The purpose of this policy and procedure is to allow staff to raise concerns about serious systemic malpractice or non-compliance within the company. It should not be used lightly or frivolously, or as a means for dealing with employees own personal grievances.

Personal grievances should be raised through the company's normal grievance procedure

How to raise concerns

Employees should raise any concerns under this policy directly with their line manager (or if their line manager is the subject of their concerns, his immediate superior).

Where employees have tried all other channels, or are unable to raise concerns with any of the above, then they should address their concerns to a Director of the Company or member of the managing board.

How the Company will deal with concerns

The Company will deal with any concerns raised under this policy by launching an immediate investigation to determine if any action is necessary. This will usually begin by making informal enquiries and inspecting and auditing records and procedures, but may result in a formal investigation at a later stage.

The Company will inform the employee who raised the concerns who is investigating the matter, and will keep them informed of any developments or decisions so long as these are not confidential.

Confidentiality

The Company will do its best to protect your identity when you raise a concern and do not want your name to be disclosed. It must be appreciated that the investigation process may reveal the source of the information and a statement by you may be required as part of the evidence, particularly if the Police or External Auditors become involved. In order to take effective action, the Company will need proper evidence which may be required to stand up to examination in Courts or Tribunals.

The Managing Director has overall responsibility for the maintenance and operation of this policy and will maintain a record of concerns raised and the outcomes and will report as necessary to the Company. If you request it the Managing Director will do what he lawfully can to protect your identity but you should realise that he may be obliged to disclose it to the Police or the External Auditor or the Courts.

Raising Concerns externally

In exceptional circumstances it may be necessary for employees to raise concerns externally. This should only be done in cases where it is not possible for

the employee to raise concerns internally, or where this has been done but the concerns have been dismissed. An employee should only raise concerns with an external regulator or authority where he honestly and sincerely believes that the allegations are true and genuine

Untrue Allegations

If you make an allegation in good faith, but it is not confirmed by the investigation, no action will be taken against you. If, however, you make malicious or vexatious allegations, that is for no other purpose than to cause trouble or annoyance or without good reason to discredit the Company, any member or officer, an investigation will take place to determine whether disciplinary action is taken. If you make allegations which you have no grounds to believe are true, or maliciously or for personal gain then you could face defamation proceedings or a prosecution for wasting Police time. If you decide to address your concerns by going to the Press or the media then you may face defamation proceedings if your allegations are unfounded.

The Law

This policy has been written to take account of the Public Interest Disclosure Act 1998, which protects workers making disclosures about certain matters of concern, where those disclosures are made in accordance with the Act's provisions. The Act is incorporated into the Employment Rights Act 1996, which already protects employees who take action over, or raise concerns about, health and safety at work.