

# Nikko Asset Management Europe COVID – 19 Risk Assessment Report

28th August 2020

## Overview

COVID -19 is a new disease that initially has flu-like symptoms but can also permanently damage the lungs in severe cases. It causes inflammation of the lungs (pneumonia), impedes breathing or destruction of the lung parenchyma (acute respiratory distress syndrome), and could also travel through blood and cause other organ dysfunction.

It is caused by a virus called Coronavirus. Symptoms can be mild, moderate, severe or fatal. Controlling the transmission and spread of COVID-19 is a key social and reputational risk element and it is important that appropriate measures are put in place to reduce the likelihood of spread.

This risk assessment is aligned with up-to-date guidance at the time of the assessment. It fulfils the Government's guidance, and also considers information published by other professional bodies.

The results of the Nikko AM Europe Ltd ("Nikko AME") COVID-19 Risk Assessment will be communicated and shared with all staff at Nikko AME and external clients upon request.

Covid-19 Workplace Risk Assessment	
Date Risk Assessment completed	28 <sup>th</sup> August 2020
Risk Assessment Review date	Ongoing (Monthly)
Date of next Risk Assessment review	28 <sup>th</sup> November 2020
Risk Assessment sign-off	Davina Goodall-Smith
Signature	

## Nikko Asset Management COVID - 19 Risk Assessment

Safety Hazard Subject(s)	Persons Exposed to Hazard(s)	Controls Implemented by Nikko AME
<b>Social Distancing</b>		
<p>The attendance of staff in the workplace (where working from home is not possible) will increase the number of people in the premises. This may increase the risk of Covid-19 transmission.</p>	<ul style="list-style-type: none"> <li>- All Staff</li> <li>- Visitors to Nikko AME offices</li> <li>- Cleaners</li> <li>- Contractors</li> <li>- Anyone else who physically comes in</li> </ul>	<p><b>Controlled Movement of People</b></p> <p>One-way entry and exit points implemented in the Nikko AME offices, and social distancing directions visibly outlined on the floor. General circulation and waiting areas have been arranged to maintain social distancing rules, e.g. single direction flows with signage.</p> <p>Entering and exiting the building is controlled by building management in line with government guidelines. A queuing system will be in place for the lifts and the movement of people managed by the building security.</p>
<p>Workstations/ desks are less than the recommended distance apart, preventing effective social distancing and increasing the likelihood of spread.</p>		<p>Staff encouraged to use stairs in preference to lifts where possible, and maximum lift numbers and additional measures implemented by building management to be abided by where it is not possible.</p>
<p>The movement of staff in the workplace may prevent effective social distancing and increasing the likelihood of spread.</p>		<p>Staff attendance at work restricted to the minimum number of staff required that will allow for effective social distancing while still making operations viable. Return to office working controlled in phases. Staff flexible working hours and remote working implemented to reduce number of staff on site at any one time. Staff attendance is tracked and monitored. Office reconfigured to ensure that desks that are in use are a sufficient distance apart to allow for correct social distancing.</p> <p><b>Movement of People in an Emergency Evacuation</b></p> <p>All Nikko AME offices have a planned emergency evacuation procedure which has been amended to be Covid-19 compliant. All staff and visitors must follow the process and abide to the guidelines set forth by their respective building managers.</p>

Safety Hazard Subject(s)	Persons Exposed to Hazard(s)	Controls Implemented by Nikko AME
<b>Vulnerable Employees &amp; Mental Health</b>		
<p>Staff who are classed as "clinically vulnerable", such as pregnant workers and those aged 70 or over, are at higher risk of severe illness if they contract coronavirus.</p>	<p>- Staff</p>	<p><b>Identify Clinically Vulnerable Staff</b></p> <p>Under Government guidelines staff who have been identified as "clinically vulnerable" are able to work remotely or return to the office if they wish.</p> <p>Nikko AME HR have identified staff who are "clinically vulnerable" and developed individual plans to manage the risks. This also includes staff who provide care or help to vulnerable person(s). "Clinically vulnerable" staff will require HR approval if they wish to return to the office.</p>
<p>Staff who face an anxious time when they are attending work, where they fear the risk of infection, are facing difficulties away from work.</p>		<p><b>Supporting The Wellbeing of All Staff</b></p> <p>For all Nikko AME UK staff, support and guidance from Nikko AME's external private medical insurance provider which includes a fast track for any mental health issues and access to psychiatric support. Additionally, access to the Nikko AME's Employee Assistance Program (EAP), which provides counselling and support to employees and their families. Online tools and materials available to staff to support mental health and good working practices while working remotely has been circulated to staff during lockdown.</p> <p>Managers continue to support staff by meeting virtually and talking regularly with individual employees and the wider teams to ensure staff feel connected and address any concerns when working remotely.</p>

Safety Hazard Subject(s)	Persons Exposed to Hazard(s)	Controls Implemented by Nikko AME
<b>COVID-19 Spread Control</b>		
<p>Staff who have someone in their household with coronavirus symptoms or have been in close contact with someone who has been diagnosed with coronavirus may come to work and risk passing the virus on to their colleagues and contaminating the workplace.</p>	<ul style="list-style-type: none"> <li>- All Staff</li> <li>- Visitors to Nikko AME offices</li> <li>- Cleaners</li> <li>- Contractors</li> <li>- Anyone else who physically comes in to the office</li> </ul>	<p><b>Displaying Symptoms of COVID-19</b></p> <p>Those displaying symptoms of COVID-19 and/ or have been in close contact with a possible or confirmed case of COVID-19 must self-isolate in line with Government guidelines. Staff should report to their Line Manager/ HR immediately if they suspect they may have contracted COVID -19, and must avoid the workplace whilst following Government guidelines.</p> <p>Should staff report symptoms while in the workplace, they should inform HR immediately as the first single point of contact.</p> <p><b>Potential COVID-19 Outbreak</b></p> <p>If an employee tests positive for COVID-19 and/or there is an outbreak in the building, the office will close immediately. A deep clean will be administered and all employees will work remotely until it is deemed safe to return to the office by the Nikko AME Emergency Response Team ("ERT").</p> <p>If anyone in the building tests positive for COVID-19, the building management will notify all occupiers with the details, and carry out a fogging of the affected communal areas. This should normally be completed same day (subject to availability of a team to complete) to minimise downtime.</p> <p><b>First Aiders</b></p> <p>First Aid points remain the same. In the event of an emergency social distancing measures may be abandoned.</p>
<b>Managing External Parties</b>		
<p>External client visits to the office could increase the risk of spread.</p> <p>Visitors who may have come in contact with the virus could increase the risk of spread.</p>	<ul style="list-style-type: none"> <li>- Visitors to Nikko AME offices</li> <li>- Cleaners</li> <li>- Contractors</li> <li>- Anyone else who physically comes in to the office</li> </ul>	<p><b>Managing External Clients and Visitors</b></p> <p>Clients and external visitors to confirm that they have met the criteria of not having symptoms or the possibility of being in contact with someone who has. A waiver will be sent to the client/ external visitor prior to going to the office. The client/ external visitor will need to confirm via email that they have read and agreed to the requirements. The waiver will be managed by Nikko AME Office Administrators and where applicable escalation managed by the Risk Department.</p> <p>Any visitors will be allocated an appropriate time to attend the office building to limit the number of people in the building.</p> <p>Staff are encouraged to conduct external meetings virtually unless otherwise stated.</p> <p>Staff who may have to visit other premises for client meetings, must ensure they are familiar with the clients' COVID-19 Risk Assessment and procedure before going to their office, and manager's approval.</p>

Safety Hazard Subject(s)	Persons Exposed to Hazard(s)	Controls Implemented by Nikko AME
<b>Travelling to and from workplace</b>		
<p>Inadequate travelling and arrival/ departing arrangements leading to an increased risk of virus transmission</p>	<ul style="list-style-type: none"> <li>- All Staff</li> <li>- Visitors to Nikko AME offices</li> <li>- Cleaners</li> <li>- Contractors</li> <li>- Anyone else who physically comes in to the office</li> </ul>	<p><b>Safer Travel Supported</b></p> <p>Staff travelling to work by bicycle/ train/ bus, need to dispose of their disposable Personal Protective Equipment (“PPE”) in the designated disposable bins and wash their hands before going in to the office. Staff with reusable PPE will need to ensure it is securely put away in their personal belongings. They must not leave out their used and reusable PPE in the office or on their desks.</p> <p>Staff are discouraged to use public transport, however should staff need to use public transport they must follow Government guidelines and use a form of PPE, where required or where the recommended social distancing cannot be implemented.</p> <p>Staff driving to the Nikko AME offices are responsible for parking their vehicle. If there are no onsite parking services, staff will need to use a nearby car park.</p> <p>All staff arriving to the Nikko AME office buildings are advised to use the available hand sanitisers before entering the building. Additionally to wash their hands upon entry to the Nikko AME office floor. Shower amenities have been limited to mitigate the risk of over-crowding within the shower and changing facilities. The amenities will be cleaned frequently throughout the day.</p> <p>Where queues are likely to form, employees have been informed of the recommended social distancing arrangements introduced by the landlord with the use of floor stickers in the lift lobby.</p> <p>Staff will need to follow building management signage in the building when travelling between floors/ common areas/ WC.</p> <p><b>Business Travel</b></p> <p>For the remainder of the calendar year 2020, only essential business travel will be allowed and only with pre-approval from CEO and HR before business travel is booked. We do not encourage business travel at this time unless it is feasible and justifiable. Business travel arrangements will be reevaluated in 2021.</p> <p><b>External Visitors</b></p> <p>All external visitors will need to read and agree to the ‘Client Waiver’ form before visiting the office. The client waiver will be managed by Nikko AME Office Administrators and where applicable escalation managed by the Risk Department.</p>

### **Useful Information**

Further information on the various support measures available, Nikko AME have provided a number of the most useful links below:

[Government Guidelines on Social Distancing](#)

[How to wear PPE](#)

[NHS Guidance on COVID-19](#)

[COVID-19 Symptoms](#)

[Travel Guidance](#)

[Employee Assistance Program \(EAP\)](#)

[Guidance on social distancing](#)

[Hand washing Guidance](#)

[Clinically Vulnerable Category](#)

[Public Health England advise on COVID-19](#)