

Nikko Asset Management Europe COVID – 19 Risk Assessment Report

January 2022

Overview

COVID -19 is a 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 causes destruction of the lung parenchyma (acute respiratory distress syndrome), and could also travel through blood and cause another 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 UK 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	January 2022
Risk Assessment Review date	6 months from most recent
Date of next Risk Assessment review	June 2022

Nikko Asset Management COVID - 19 Risk Assessment		
Safety Hazard Subject(s)	Persons Exposed to Hazard(s)	Controls Implemented by Nikko AME
Social Distancing		
<p>The attendance of staff in the workplace will increase the number of people in the premises. This may increase the risk of Covid-19 transmission.</p> <p>Workstations/ desks are less than the recommended distance apart, preventing effective social distancing and increasing the likelihood of spread.</p>	<ul style="list-style-type: none"> - All Staff - Visitors to Nikko AME offices - Cleaners - Contractors - Anyone else who physically comes in 	<p>Controlled Movement of People</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. Entering and exiting the main building is controlled by building management in line with government guidelines. Clear entry and exit signs are visible in the entire building. Appropriate markings and signage in the lifts, to reduce the number of persons in at any time. Where appropriate staff must ensure that they observe social distancing markings at all times.</p> <p>In BAU, staff attendance is tracked and monitored through the Nikko AME Booking system and automated report (includes those with Fixed Desks who do not need to book), or Office Administration if the booking system fails to operate.</p>

<p>The movement of staff in the workplace may prevent effective social distancing and increase the likelihood of spread.</p>		<p>When the UK government issues 'work from home' guidance Nikko AME will revert to the previous ERT Exceptions process for staff attendance to the office. This means that staff who require entry to the office must submit an Exceptions request and obtain prior approval from their manager, and a member of the SMT. These requests are centrally tracked, verified and logged. This is to ensure staff attendance is approved and tracked appropriately.</p> <p>Until further notice (regardless of whether 'work from home' guidance is in place, the following measures are in place:</p> <ol style="list-style-type: none"> 1. An automated End Of Day report records all staff entering and leaving the building at both of the Nikko AME offices in London and Edinburgh 2. Staff are encouraged to take a lateral flow test prior to going into the office. 3. Staff are encouraged to maintain a reasonable social distance when collaborating with colleagues anywhere in the premises, to use their own judgement when networking, and to be mindful of colleagues when adopting social distancing. <p>Staff are not required to wear face coverings in the Nikko AME office floor. Face mask wearing in communal areas of the building will follow the guidance and requirements in place at the time.</p> <p>Whilst in the pandemic situation, agile working is implemented to reduce number of staff on site at any one time.</p> <p>Movement of People in an Emergency Evacuation</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 by the guidelines set forth by their respective building managers. The process is also outlined in the Nikko AME Healthy and Safety procedures.</p> <p>In the event if an emergency evacuation all occupants of the building must exit the building through an appropriate fire exit, which are clearly outlined in the office.</p>
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Vulnerable Staff Mental Health		
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.	- Staff	<p>Identify Clinically Vulnerable Staff</p> <p>When applicable Government guidelines are place, and there is no 'working from home' guidance, staff who have been identified as "clinically vulnerable" are able to work remotely or return to the office if they wish.</p> <p>Supporting the Wellbeing of All Staff</p> <p>For all Nikko AME UK staff, support and guidance is available from Nikko AME's external private medical insurance provider which includes a fast track for any mental health issues and access to psychiatric support as well as virtual GP access. Additionally, access to the Nikko AME's Employee Assistance Program (EAP), which provides counselling and support to staff and their families. Online tools and materials available to staff to support mental health and good working practices while working remotely have been circulated to staff during lockdown.</p> <p>Managers continue to support staff by meeting virtually or in the office and talking regularly with individual staff and the wider teams to ensure staff feel connected and address any concerns when working remotely. Policies and best practice guidelines are available to managers.</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.		

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Hygiene and Cleanliness in the Nikko AME Offices		
Coronavirus can transfer from people to surfaces. It can be passed on to others who touch the same surfaces.	<ul style="list-style-type: none"> - Staff - Visitors 	<p>Handwashing and using hand sanitizer</p> <p>The Nikko AME offices contain handwashing facilities with running water, soap and paper towels located in the kitchen area, WCs and changing rooms/shower rooms. Where hand washing is not available, then gel hand sanitisers and anti-bacterial wipes can be found in the office.</p> <p>Within the common areas, receptions, lift lobbies there are gel hand sanitisers available for use at post touch point on access and egress areas. Staff are to be encouraged to ensure that they use the hand gel provided before entering the next area.</p> <p>The Nikko AME office floor has signs and posters to remind staff of good hygiene techniques.</p> <p>Office Shared Equipment and Appliances</p> <p>Office shared equipment, (e.g. printer, photocopier machine, binder machine) used by staff should be cleaned with anti-bacterial wipes after use.</p> <p>Staff can use the kitchen appliances and cutlery but should maintain a safe and clean environment when using the kitchen area. Ensure all used and touched surfaces are cleaned using anti-bacterial wipes. All kitchen appliances and/or refuse should be removed/put away by staff using the kitchen. The Nikko AME office building at City Tower London has a free coffee machine for all tenants to use. The coffee machine is cleaned frequently by the building managers cleaning services.</p> <p>Cleaning Regime</p> <p>Frequent cleaning and disinfecting of objects take place on surfaces that are touched regularly particularly in areas of high use such as door handles, light switches, bathrooms and lift buttons. Rigorous checks are carried out by the external cleaning company to ensure that the necessary procedures are being followed. All checks are recorded and signed for evidence purposes.</p>

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COVID-19 Spread Control		
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.	<ul style="list-style-type: none"> - All Staff - Visitors to Nikko AME offices - Cleaners - Contractors - Anyone else who physically comes into the office 	<p>Displaying Symptoms of COVID-19</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. Should staff report symptoms while in the workplace, they should inform HR immediately as the first single point of contact.</p> <p>Potential COVID-19 Outbreak</p> <p>If several employees test 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 staff will work remotely until it is deemed safe to return to the office by the Nikko AME Emergency Response Team ("ERT"). 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. All communication to staff regarding positive testing/outbreaks will be managed by Nikko AME HR.</p> <p>COVID-19 Vaccination and Boosters Programme</p> <p>The UK COVID-19 vaccinations programme is open to all adults over 18 and those aged 16 years who are at risk in the UK and, although not mandatory, NAME is encouraging staff to take the opportunity to be vaccinated and boosters when it becomes available. Individuals are guided to make an informed decision by:</p> <ul style="list-style-type: none"> • reading up about COVID-19 vaccinations and booster via official sources. • paying attention to the information the NHS provides when offering a vaccine; and • being wary of misinformation around COVID-19 vaccinations and boosters put out by unreliable sources. <p>NAME is providing paid time off for staff to receive their vaccination and boosters. Provided staff feel well enough they should return to normal duties or take sickness absence in the usual way if unwell.</p> <p>NAME recognises that the subject of the COVID-19 vaccinations can be divisive and lead to the expression of strong opinions. However, staff must remain responsible and respectful when communicating with their colleagues about COVID-19 vaccinations.</p> <p>Lateral Flow Testing (LFT)</p> <p>The UK government is encouraging that everyone over the age of 11 undertakes regular/twice weekly LFT. With 1 in 3 people with COVID-19 being asymptomatic the risk of infection of others remains. With regular testing helps slow and halt the spread of the virus and it should be noted that even those that are fully vaccinated risk passing COVID-19 on to others. NAME strongly encourages staff to follow this guidance re regular testing. LFT can be ordered on direct delivery to your home or alternatively obtained from pharmacy.</p>
Reduce the risk of transmission among those who cannot work from home and do not have symptoms of COVID-19		

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		<p>First Aiders</p> <p>In the event of an emergency social distancing measures may be abandoned. If there are no first aiders on site and medical assistance is required, please inform a member of the security team or building management who are all first aid qualified.</p>

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Managing External Parties		
<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"> - Visitors to Nikko AME offices - Cleaners - Contractors - Anyone else who physically comes into the office 	<p>Managing External Clients and Visitors</p> <p>Staff must conduct business meetings with existing and prospective clients in line with UK government guidelines. For example when guidance is 'work from home if possible' staff are encouraged to conduct external meetings virtually. If meeting must be in person an external waiver will need to be completed by the client before entering the premises</p> <p>External visitors who are supporting the IT infrastructure or conducting essential building work/groundwork must 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 external visitor prior to going to the office. The 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>

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Travelling to and from workplace		
Inadequate travelling and arrival/ departing arrangements leading to an increased risk of virus transmission	<ul style="list-style-type: none"> - All Staff - Visitors to Nikko AME offices - Cleaners - Contractors - Anyone else who physically comes into the office 	<p>Safer Travel Supported</p> <p>Staff travelling to work by bicycle/ train/ bus, need to dispose of their disposable Personal Protective Equipment ("PPE") and wash their hands before entering 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>When using public transport to travel to work staff must follow Government guidelines. Staff are encouraged to share any concerns with their managers and managers are encouraged to consider staggering shift starting times to minimise crowding and contact with others if required.</p> <p>Staff driving to the London City Tower Nikko AME office are responsible for parking their vehicle. There is no onsite parking and staff will need to use a nearby car park. Onsite parking is available in the Edinburgh Quay 2 Nikko AME office.</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.</p> <p>There are available shower amenities, which will be cleaned frequently throughout the day.</p> <p>Where queues are likely to form, staff 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 and wear face coverings in the building when travelling between floors/ common areas/ WC.</p> <p>Business Travel</p> <p>We do not encourage international business travel at this time unless it is feasible, justifiable and business critical. Business travel arrangements was permitted in line with UK Government guidelines after September 2021 and must be approved by senior management. All staff must follow the approvals process for domestic and international travel.</p> <p>External Visitors</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](#)

[Guidance on social distancing](#)

[Hand washing Guidance](#)

[Clinically Vulnerable Category](#)

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

[Covid-19 Vaccination Information](#)