



COVID-19: BUSINESS CONTINUITY AND RISK ASSESSMENTS

Potential or known risk due to Covid-19 pandemic	Department impacted by potential or known risk	Steps we have taken or currently have in place to mitigate or eliminate the risk	Actions we could take to mitigate or eliminate the risk
<p>1. All personnel whose role could be performed remotely not having the ability to do so.</p>	<p>Firm-wide</p>	<p>Supplied firm laptops or added VPN software to personal equipment to enable those who can work remotely to do so. Docking stations and foot pedals supplied as required.</p> <p>Remote working systems and processes thoroughly tested pre-lockdown.</p> <p>Help sheets circulated at various times on the use of all new IT applications and updated business support processes. Added to the intranet for reference.</p> <p>Display screen equipment policy circulated as part of training and information given on how to work comfortably and safely in an agile way both within the office and remotely in other locations.</p> <p>Assessment made of resource requirements on-site to enable their service area to function effectively and support those working remotely. Implemented a resourcing plan in line with Government advice.</p>	<p>Continue to monitor system reliability, process effectiveness and wellbeing of all personnel. Make improvements wherever possible.</p>

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<p>2. Personnel working remotely may not be doing so in accordance with regulations and our policies</p>	<p>Firm-wide</p>	<p>Current government advice is that workers who can work effectively from home should do so over the Winter. Since 23 March 2020, the firm has allowed all of our personnel the opportunity to work remotely, if their role could be carried out away from the office.</p> <p>The building has remained open and accessible to anyone wishing or needing to work in the office. Personnel must be pre-authorised before attending site numbers are and monitored to ensure we comply with social distancing and other Government guidelines.</p> <p>Issued supplier and product information to assist personnel making purchases of home office equipment. Provided an allowance for staff to purchase items to assist their remote working with cost to be reimbursed with proof of purchase.</p> <p>Personnel experiencing issues due to lack of suitable home equipment have undertaken a risk assessment and been loaned equipment by the firm.</p> <p>Firm-wide comms to take regular screen breaks, move around/take exercise and have sufficient rest during their working day. Graphic issued as a reminder of how to set up a workstation remotely.</p> <p>Recognising an increased risk of cybercrime and phishing attempts whilst personnel are working remotely IT Dept have issued various test emails to ensure everyone is operating in accordance with our policies and best practice. Compliance Dept reminders to remain vigilant when using</p>	<p>Ensure all loan equipment is returned as and when appropriate and that these personnel have arrangements in place to be able to work remotely in a safe and comfortable manner in the longer term.</p>

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		<p>electronic communications and mindful of the need for confidentiality when working remotely.</p> <p>All work papers are to be returned to the office for confidential destruction. They should not be destroyed via home waste or recycling.</p> <p>Reviewed trainees' working arrangements to ensure they receive appropriate support and supervision.</p> <p>Personnel joining the firm since April 2020 who are working remotely all or the majority of the time are asked, as part of our risk management processes, to complete a self-assessment checklist, as are pregnant ladies and those returning from maternity leave or sabbatical.</p>	

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<p>3. Not being able to carry out tasks that are required to service clients but cannot be performed remotely.</p>	<p>Firm-wide</p>	<p>Facilities teams attend the office on a rota basis. Support provided with shift patterns and travel arrangements.</p> <p>Facilities liaise with building management daily regarding expected deliveries, visitors and staff numbers.</p> <p>Internal processes updated regarding incoming and outgoing mail.</p> <p>Facilities undertake a daily walkabout to check for any building/maintenance issues, to monitor cleaning standards and to identify any other potential hazards.</p> <p>Government guidelines advertised regarding regular hand washing. Sanitiser and wipes provision in all areas.</p> <p>IT Dept work remotely. They have been provided with relevant PPE for times when they need to work in the office.</p> <p>General Office team provided with relevant PPE. Whilst there is no evidence of Covid-19 transmission via paper or cardboard, the team have been provided with supplies to maintain good hygiene standards whilst working, mindful that items they work with may have been in contact with a number of other people.</p> <p>We operate a non-contact reception. We have marked out 2m spaces so social distancing can be observed by all visitors and table space provided for deliveries and collections so they can be processed safely.</p>	<p>N/A – we have not yet been asked to undertake any tasks that we weren't able to complete or find workarounds for.</p>

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<p>4. Impact to financial health of the business.</p>	<p>Firm-wide</p>	<p>Our Board meet regularly to consider various actions we could take to mitigate the impact of Covid-19 on the business. A number of these have been implemented.</p> <p>Onboarding processes continue. Inductions provided on-site and/or online as appropriate.</p> <p>Leaver processes continue. Include steps to manage risks and information in relation to work undertaken both in the office and remotely.</p> <p>Significant effort is being put into a number of new business initiatives.</p> <p>Budgets and spending plans for FY 2020/21 have been reviewed.</p> <p>Working practices updated as a result of remote working that have reduced spend and improved efficiency.</p>	<p>Continued liaison with building management regarding costs incurred as a result of Covid-19 that are to be passed on to tenants.</p>

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<p>5. Mental health impact of Covid-19 on our people.</p>	<p>Firm-wide</p>	<p>Firm-wide communications via video and email from members of our Board.</p> <p>Regular circulation of social news and virtual coffee breaks to encourage informal communication across the firm.</p> <p>Online personal training sessions are being provided.</p> <p>Team meetings and other internal meetings online to maintain communication and continue business as usual.</p> <p>Firm-wide emails following weekly business continuity group meetings to keep our people updated on protocols and working practices relating to the impact of Covid-19.</p> <p>Employee Assistance programme is available to all staff.</p> <p>Focus during Mental Health Awareness Week on encouraging conversations about mental health and to give advice on where to get help if anyone needs it.</p> <p>Resilience training to be provided to all personnel.</p>	<p>Introduce mental health first aiders.</p>

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<p>6. If access to the building, in part or in whole, were to be restricted for any period of time.</p>	<p>Firm-wide</p>	<p>Business continuity procedures would apply. A meeting of the Command Centre Team to be convened as soon as possible.</p> <p>In the event of an emergency, the building management would be responsible for securing the building. Our access control system would continue to operate so our floors would be secured in the usual way.</p> <p>Alternative arrangements could be made for switchboard, reprographics, archiving and post/courier services.</p> <p>On returning to the building, facilities would undertake a floor walk of each area to check for any damage or other issues that have arisen whilst we have been outside.</p>	<p>Keep business continuity plans under review for events unrelated to Covid-19.</p>

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7. Operating any fee earning teams if one or more of the team were unable to work due to illness.	All fee earning departments	<p>Each fee earning team has carried out a risk assessment to identify potential areas of risk if any of their team were absent due to illness.</p> <p>The firm maintains lists of expertise and language skills so will have recorded where we have other fee earners we could call upon in the absence of others.</p>	N/A.
8. Operating any business support teams if one or more of the team were unable to work due to illness.	All business support teams.	<p>Critical functions in Finance, Facilities, Compliance and IT have cover arrangements in place.</p> <p>Switchboard can be answered remotely.</p>	
9. Working on transactions with limited document production and/or secretarial resource for more complex documents.	All fee earning departments	<p>All secretaries and Document Centre are able to work remotely.</p> <p>At least one member of the facilities team is attending the office daily to provide support as required.</p>	N/A.

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<p>10. Any equipment or service suppliers being adversely affected by Covid-19 such that it will impact their supply to us.</p>	<p>All business support teams</p>	<p>Contracts Database has been reviewed and an assessment made as to which suppliers are critical to the business. Established their current operational arrangements.</p>	<p>N/A.</p>
<p>11. Being unable to organise a deep clean of any areas at short notice.</p>	<p>Facilities team</p>	<p>Our current cleaning provider can be instructed at short notice if required.</p> <p>Introduced a clear desk policy to assist delivery of the enhanced cleaning regimes now in place. Storage and stationery areas reviewed.</p> <p>The firm has circulated its protocol to all personnel as regards actions to take if anyone is experiencing Covid-19 symptoms or if they have been in contact with anyone who has symptoms or tested positive for Covid-19.</p> <p>If there is more than one case of Covid-19 reported by our personnel then the Director of HR and Business Services and the Head of Business Services will lead on Fladgate's responses. The Head of Business Services will be the nominated Single Point of Contact (SPOC) who would lead on notifying local public health teams.</p>	<p>Monitor adherence to clear desk policy and issue reminders if required.</p>

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<p>12. Failing to prepare effectively for changes in Government advice that may lead to more people working in the office.</p>	<p>Firm-wide</p>	<p>Business continuity group meet regularly, issue comms to the firm and report to the Board.</p> <p>Consulted our people on our return plans, measures we have put in place for their safety, to answer their questions and to listen to their feedback.</p> <p>Pre-planned maintenance continuing in both demised and common areas.</p> <p>Lifts to be occupied by one person at any one time. Social distancing to be observed on staircases.</p> <p>Signage, floor markings and designated traffic routes to minimise contact. Kitchens/tea points to be occupied by one person at a time. Break out seating taken out of use.</p> <p>Seating protocols in place for offices and open plan workstations. Hot desking is not permitted.</p> <p>Meeting room capacities reduced, seat positions redesigned and enhanced cleaning introduced.</p> <p>Meeting hosts to contact their visitors ahead of meetings being confirmed using the template comms setting out our building protocols.</p> <p>PPE provided to those staff where a risk assessment has identified it as appropriate. Training provided on usage.</p> <p>Fire risk assessment updated to incorporate risk factors associated with Covid-19.</p> <p>Occupancy protocols are based on no more than 25% of</p>	<p>Continued liaison with building management regarding their reoccupation plan including regular video calls with tenants.</p> <p>Continued monitoring of fire marshal and first aider requirements.</p> <p>Prepare risk assessments and safe systems of work when we start planning the resumption of business and wellbeing activities that are currently paused.</p> <p>Review and update Agile Working policy as working arrangements change in response to Government advice.</p>

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		<p>staff being in the office at any one time. Numbers are monitored on an ongoing basis.</p> <p>All relevant policies and induction presentations have been updated with the protocol information circulated to the firm since April 2020.</p> <p>Risk assessments and safe systems of work have been prepared for all current activities within the business.</p> <p>Covid-19 risk assessments are publicised on our intranet and website.</p> <p>Covid secure certificate is signed and displayed.</p>	

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