
ASSESSMENT OF THE RISKS POSED BY COVID-19 IN THE WORKPLACE

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1) INTRODUCTION

All businesses should demonstrate that they have properly assessed the risk posed by Covid-19 and taken appropriate measures to mitigate it, for example by publishing their risk assessment online or making it available at their premises.

Preston Redman is committed to ensuring effective risk management within the practice and all staff have a role to play in ensuring we achieve this. The purpose of this risk assessment is to consider the risks specifically relating to the Covid-19 outbreak and how they impact on staff, clients and visitors, within the workplace and any other premises visited in the course of the firm's business. In considering these specific risks we must also be mindful of associated risks which may include, as an example, the impact of remote working, on staff and clients, and the additional risks which develop from these situations.

This risk assessment is for managing the current Covid-19 risks in the workplace, it is live document and may be adapted to cover developing scenarios to provide a dynamic response.

This risk assessment sets out:

- 1.1 The identified and evaluated risks relating to Covid-19 in the workplace, namely:-
 - (a) Identify what work activity or situations might cause transmission of the virus, or create associated risks;
 - (b) Think about who could be at risk;
 - (c) Consider the risk of exposure and how we control or mitigate those risks;
 - (d) Act to remove the activity or situation if it isn't possible to control the risk.
- 1.2 The steps we will take to monitor and update this risk assessment. Including monitoring and reviewing of our risk management arrangements.
- 1.3 Setting out the responsibilities for risk management
- 1.4 Sign-posting to our related our risk management policies and procedures;
- 1.5 Reporting arrangements to Partners the on risk management.

Businesses must also take reasonable steps to ensure that social contact rules are followed within their premises.

2) MONITORING AND REVIEW

- 1.6 The COLP (Adrian Falck) has overall responsibility for this risk assessment and associated policies and procedures.
- 1.7 All staff must be aware of this Risk Assessment. You may be liable to disciplinary action if you fail to comply with the provisions of this Risk Assessment or related policies and procedures.

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3) RISK ASSESSMENT

What are the hazards?	Who might be harmed	Controls Required	Additional Controls	Action by who?	Action by when?	Done
General & Health & Safety						
Spread of Covid-19 Coronavirus	Staff Visitors to our premises Cleaners Contractors Vulnerable groups – Elderly, Pregnant workers, those with existing underlying health conditions Anyone else who physically comes in contact with you in relation to our business	<p><u>Reporting Problems Internally</u></p> <p>Staff must not attend the offices if they show any symptoms of Covid-19, however slight, or have a positive test. They must inform KM or a Partner as soon as possible.</p> <p>A person can be fined for failing to tell their employer they have to self-isolate.</p> <p>If a member of staff tests positive for coronavirus and is told to self-isolate by the NHS test and trace service, they must not attend the offices. They must also inform KM or a Partner as soon as possible.</p> <p>If advised that a member of staff or public has developed Covid-19 and were recently on our premises (including where a member of staff has visited other premises such as domestic premises), we will contact the Public Health Authority to discuss the case, identify people who have been in contact with them and will take advice on any actions or precautions that should be taken.</p> <p>We must also consider staff who live with a household member who is clinically vulnerable (shielding). We may encourage these staff to work from home and not to attend the offices.</p>	<p>Staff will be encouraged to report any problems.</p> <p>To help reduce the spread of coronavirus (COVID-19) we will remind everyone of the public health advice - Posters, leaflets and other materials will be displayed where appropriate.</p> <p>Rigorous checks will be carried out by Partners and managers to ensure that the necessary procedures are being followed.</p> <p>If staff have advised KM or a Partner that they are taking a Covid-19 test, they must advise on the outcome ASAP, even if it is negative, in order that we can plan effectively.</p>	Partners and all staff	On-going	✓

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		<p>First Aid With more staff working remotely we must consider whether we have 1st aiders available to cover staff working within the offices</p>	<p>The giving of 1st aid in emergency situations generally takes precedence over other considerations. However we should ensure that 1st aiders have access to PPE including gloves, masks, visor and apron etc. (CPR breaths are not recommended). Along with suitable cleaning/disinfecting supplies</p>	<p>1st aiders Adrian Falck Jemma Hodgson Gill Hawker David Albans Kate McLaughlin</p>	<p>Immediate</p>	<p>✓</p>
		<p>Reporting to HSE We must also consider our reporting obligations under RIDDOR.</p>	<p>RIDDOR reporting of COVID-19. We must only make a report under RIDDOR (The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013) when: ... a worker has been diagnosed as having COVID-19 and there is reasonable evidence that it was caused by exposure at work.</p>	<p>ACF/KM</p>	<p>On-going</p>	
Staff						
		<p>Self-Isolation Any member of staff who has symptoms of COVID-19 – a high temperature, new and persistent cough or anosmia – however mild, should self-isolate for at least 10 days from when the symptoms started (see NHS advice on self-isolation). Any member of staff who has tested positive for COVID-19 should self-isolate for at least 10 days starting from the day the test was taken. Where they have tested positive while not experiencing symptoms but develop symptoms during the isolation period, they should restart the 10-day isolation period from the day the symptoms developed.</p>	<p>We will stay in touch with staff who are self-isolating.</p>	<p>All staff</p>	<p>On-going</p>	

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		<p>Not self-isolating when told to do so by the NHS test and trace service can lead to fines that can rise for repeat offences.</p> <p>Staff must not attend the offices if they have any symptoms of Covid-19, however mild.</p>				
Spread of Covid-19 Coronavirus	Staff, clients and visitors	<p>Social Distancing & Working Remotely</p> <ul style="list-style-type: none"> You may only leave your home for work if you cannot reasonably work from home. We will consult with staff, and where it is judged that they can carry out their normal duties from home they should do so and they should not attend the office unless absolutely necessary. Any member of staff who cannot reasonably work from home should work from the offices but only where requested by a Partner or KM. Where working from home is not possible, the firm will make every reasonable effort to comply with the social distancing guidelines set out by the government (keeping people two metres apart wherever possible) Extra consideration will be given to those people at higher risk. The government has made clear that those who are clinically vulnerable will be advised to limit the time they spend outside the home. They should only go out for medical appointments, for exercise, or if it is otherwise essential and not for work purposes. 	<p>The risk of transmission in the offices will be substantially reduced if COVID-19 secure guidelines are followed closely. Staff to be reminded on a regular basis of the importance of social distancing both in the workplace and outside of it, using official posters and where necessary email updates.</p> <p>Regular checks will be made to ensure the rules are adhered to.</p> <p>We will encourage staff to report any underlying health conditions or other factors which put them in a higher-risk group.</p> <p>Additional controls which may be considered:</p> <ul style="list-style-type: none"> Providing additional facilities such as bike parking to help people walk, run, or cycle to work where possible. Reducing congestion, for 	<p>All staff</p> <p>DCA to draft policies & procedures</p> <p>ACF/KM</p>	<p>Immediate</p> <p>4/6/20</p> <p>To be monitored</p>	<p>✓</p> <p>✓</p> <p>✓</p>

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		<p>The Public Health England report shows that some groups of people may be at more risk of being infected and/or an adverse outcome if infected.</p> <p>The higher-risk groups include those who:</p> <ul style="list-style-type: none"> • are older males • have a high body mass index (BMI) • have health conditions such as diabetes <p>We will, where necessary, consult with these staff with a view to them working from home and not attending the offices.</p> <p>We will also:-</p> <ul style="list-style-type: none"> • Reduce the number of persons in any work area to comply with the 2-metre distancing • Ensure that Team or conference calls are used instead of face to face meetings where possible. • If the volume of people in the office increases, the firm will look to staggering arrival and departure times at work to reduce congestion at doorways into and out of the offices, taking account of the impact on those with protected characteristics. • Ensuring sufficient rest breaks for staff. • Social distancing also to be adhered to in kitchens and common areas. • Providing handwashing facilities, or hand sanitiser where not possible, at entry and exit points • Where staff have to work together, keep the activity time involved as short as possible. 	<p>example, by using all entry points to the buildings.</p> <ul style="list-style-type: none"> • Using markings and introducing one-way flow at entry and exit points, if appropriate. • Staff should not use communal phones or phones on other people's desks. If you inadvertently use another phone please ensure that it is cleaned properly. 			
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		<ul style="list-style-type: none"> • When the office re-opens to clients, using screens or barriers to separate visitors from the receptionist. • Use back-to-back or side-to-side working (rather than face-to-face) whenever possible. • Reducing the number of people each person has contact with by using 'fixed teams or partnering' (so each person works with only a few others). • Reducing movement by discouraging non-essential trips around buildings, encouraging the use of own desk phones to communicate internally. • Where appropriate we will use floor tape to mark areas to help workers keep to a 2m distance <p>Travelling to the Offices or on business</p> <p>For staff that have to work in the offices, those that have to visit the offices and those that travel on the firm's business, please ensure that you maintain social distancing whilst travelling and take appropriate precautions:-</p> <ul style="list-style-type: none"> • Avoid public transport where possible • Avoid car sharing with anyone from outside your household or your support bubble • Walk or cycle rather than use public transport 	<p>If you need to travel for business you should stay local where possible and look to reduce the number of journeys you make overall.</p> <p>If you need to travel, walk or cycle where possible, and plan ahead and avoid busy times and routes on public transport. This will allow you to practice social distancing while you travel. If you need to use public transport, you should follow the government safer travel guidance.</p>			
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		<p>Remote Working Arrangements</p> <ul style="list-style-type: none"> We will monitor the wellbeing of staff who are working from home and helping them stay connected to the rest of the workforce. We will keep in touch with remote staff on their working arrangements including their welfare, mental and physical health. We will provide necessary equipment including software for staff to work at home safely and effectively, for example, remote access to work systems. It may be difficult to perform workspace risk assessments whilst maintaining physical distancing or when staff are working remotely. Therefore, staff will be asked to carry out self-administered workspace risk assessments. Staff will be offered ergonomic equipment (such as keyboards, wrist supports or mice) if required for working from home. 	<p>Separate guidance will be issued for supervisors to ensure that effective and consistent supervision takes place (supervisors may wish to keep a contact log to evidence that effective supervision and regular contact has taken place)</p>	<p>Supervisors and all staff and KM/NM for IT supplies etc.</p> <p>DCA to prepare guidance</p>	<p>5/6/20</p>	<p>✓</p>
		<p>Personal belongings</p> <p>Staff should ensure that they only place personal items such as (such as coats/bags) in their own working areas.</p>		<p>All staff</p>	<p>Immediate</p>	
		<p>Hand Washing</p> <ul style="list-style-type: none"> Ensure hand washing facilities with soap and water are maintained. Ensure that stringent hand washing is taking place. 	<p>Staff will be reminded on a regular basis, using email updates and posters etc. to wash their hands for 20 seconds with water and soap and the</p>	<p>All staff</p>	<p>Immediate</p>	<p>✓</p>

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		<ul style="list-style-type: none"> Drying of hands with disposable paper towels. Staff encouraged to protect the skin by applying emollient cream regularly if required Gel sanitisers in any area where washing facilities not readily available 	<p>importance of proper drying with disposable towels.</p> <p>They will also be reminded to catch coughs and sneezes in tissues – Follow Catch it, Bin it, Kill it and to avoid touching face, eyes, nose or mouth with unclean hands.</p> <p>Hands gels will be placed at strategic locations such as entry/exit points and kitchens etc.</p> <p>Staff should, as necessary, carry tissues to deal with sneezes. These should be disposed of hygienically.</p> <p>Recommended “official” work place posters will be used as appropriate.</p>			
		<p>Physical & Mental Health</p> <p>Partners will promote physical and mental health & wellbeing awareness to staff during the Coronavirus outbreak and will offer whatever support they can to help.</p>	<p>Communication of physical & mental health information, as necessary, and open door policy for those who need additional support.</p> <p>The firm has put in place in place an employee assistance program to support staff confidentially with physical and mental health concerns.</p> <p>Regularly, signpost staff to further advice or support, such as the employee assistance programmes and any other well-being resources that may be appropriate.</p>	<p>All staff</p> <p>DCA to prepare policies & procedures</p>	<p>Immediate</p> <p>4/6/20</p>	<p>✓</p> <p>✓</p>

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			<p>Checklist for staying at home – points to be aware of in communicating to staff</p> <p>Work: carry on working from home, unless advised otherwise.</p> <p>Health: focus on maintaining your physical health.</p> <p>Connectivity: keep in contact with people you would normally see regularly.</p> <p>Routine: create a routine or timetable for yourself, especially in relation to work</p> <p>Exercise: maintain a regular regime of physical activity, outdoors where possible. This means regular breaks away from your computer/working area when working remotely.</p>			
		<p><u>Wearing of Face coverings</u></p> <p>The wearing of face coverings is not currently mandatory in offices.</p> <p>However, a face covering should be worn in enclosed spaces where social distancing isn't possible.</p> <p>Face coverings are not a replacement for the other ways of managing risk, including minimising time spent in contact, and increasing hand and surface washing. These other measures remain the best ways of managing risk in the workplace</p> <p>IMPORTANT - Face coverings are mandatory on public transport and in a number of indoor premises</p>	<p>We will maintain a supply of disposable masks for 1st aiders and for any other situation where staff cannot maintain a 2 metre separation.</p> <p>We will also encourage the wearing of disposable masks for client meetings, in our offices (face to face meetings should not take place unless absolutely necessary).</p>	1 st Aiders & all staff	Immediate	✓

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		such as shops and banks etc. Therefore, staff should ensure that they carry a ready supply of disposable masks if attending the offices and using public transport, including taxis.				
		<p>Symptoms of Covid-19</p> <p>If any member of staff develops symptoms, however mild, of coronavirus (COVID-19) (a new, continuous cough and/or a high temperature) they should be sent home and stay at home for a minimum of 10 days from the start of their symptoms and arrange to be tested. Following testing they should follow guidance.</p> <p>If the member of staff lives in a household where someone else is unwell with symptoms of coronavirus (COVID-19) then they must self-isolate in line with the Government guidance.</p> <p>We will not require or encourage any member of staff to attend the offices if they are suffering Covid-19 symptoms or are required to self-isolate</p>	<p>Staff should see the Government guidance on self-isolation.</p> <p>Partners/managers will maintain regular contact with staff members during this time.</p>	All staff	Immediate	✓
		<p>Occupancy Levels</p> <p>Government advice is to work from home where possible and therefore staff should continue to work from home - When considering a return to the office for staff we should consider occupancy levels to ensure that social distancing remains effective</p> <p>When it comes to planning a return to work for staff special consideration must be given to vulnerable groups and others who may have to remain working remotely.</p>	<p>Clinically vulnerable staff and those with caring responsibilities will be asked to remain working from home and not to attend the offices.</p> <p>Working parents – If schools are closed due to COVID-19 childcare may not be available making it difficult for parents to leave home to attend work at the office.</p>	Partners & all staff	Immediate	✓

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			<p>Despite the unprecedented nature of this situation, employers still have to remain aware of potential direct and indirect discrimination.</p> <p>Staff will be required to sign in and out whilst working or temporarily working within the offices so that we can monitor occupancy levels.</p>			
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COVID-19 CASE (suspected) IN OUR OFFICES					
COVID-19 case (suspected) in our offices	Staff, clients and visitors	<p>Response Plan</p> <p>The response plan, for suspected Covid-19 case in the offices, will be:</p> <ul style="list-style-type: none"> • Contact the staff member to ensure that they get a test as soon as possible and self-isolate for a minimum of 10 days or in-line with government guidance. • Get in touch with the individuals that were in close contact with the affected staff member. Ask them to work from home, not to attend the offices and seek a test. If the test is positive, then they should self- isolate as per government guidance) • Contact NHS Test and Trace and assist them with the details required to trace others who may have been in contact. • We will update other staff as required. • We will suspend all non-essential staff from attending the offices and arrange a deep clean. • If there's more than one case of COVID-19 reported in the office we will contact the local PHE health protection team to report the suspected outbreak. • If anyone becomes unwell with a new continuous cough, a high temperature or loss of sense of smell in the workplace, they will be sent home and advised to follow the stay at home guidance • We will reemphasise that no-one feeling ill is allowed to come to the office. 	<p>ACF will be the single point of contact who will lead the response, including contacting local public health teams.</p> <p>Maintaining up-to-date contact information (including emergency contacts) for all partners and staff</p>	Partners & all staff	On-going

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		<ul style="list-style-type: none"> Record keeping on who is in and where in the office on a given day to aid potential contact-tracing efforts and processes and keeping this information for 21 days as per the Government's guidance. 				
CLIENTS AND VISITORS						
Spread of Covid-19 Coronavirus	Clients and possibly staff	<p>Clients & Visitors - Meetings</p> <p>Face-to-face meetings will be discouraged with conference/video calls to be used instead. Clients will be advised that meetings will not be allowed unless absolutely necessary. If a meeting is required the following controls will be put in place:-</p> <ul style="list-style-type: none"> Only absolutely necessary participants should attend meetings and should maintain 2m separation throughout. The total number of participants at any meeting will be limited to a maximum of six people including Preston Redman staff. Smaller groups are encouraged where possible. Clients and visitors will be escorted directly to and from the meeting room by a Preston Redman member of staff. They should not be asked to wait in Reception. We will avoid transmission during meetings, for example, by avoiding sharing pens and other objects. Specific seats may be removed from meeting rooms to ensure physical distancing. We have limited ability to offer refreshments and should avoid offering refreshments where possible. 	<p>For areas where regular meetings take place, using signage, if necessary to help people maintain social distance</p> <p>Separate meeting guidance note for visitors setting out our Covid-19 precautions</p> <p>We will consider how we can offer refreshments safely in meetings, but where possible we should avoid refreshments, especially for shorter meetings.</p>	All staff	Immediate	✓
				DCA to prepare policies & procedures	4/6/20	✓

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		<ul style="list-style-type: none"> • Clients and visitors will be advised when arranging the meeting not to attend and stay away if feeling unwell • We will provide hand sanitiser in meeting rooms • Holding meetings outdoors or in well-ventilated rooms whenever possible • Cleaning of meeting room after each use • No physical contact (handshakes, etc.) during meetings. • On premises meetings scheduled such that rooms are not used back to back to allow time for cleaning and avoid two groups of visitors unnecessarily coming in to contact. • We will encourage the use of face coverings during meetings. • Clients and visitors should only bring essential personal items to meetings and should keep these items with them at all times, we will not provide a cloakroom service. • Marketing material (brochures and literature), newspapers and magazines will be removed from client reception area. • Pens, pads and other stationary will be removed from meeting rooms. 				
		<p><u>Signing and Witnessing of Documents</u> With clients in lockdown it will be more difficult to have documents signed and witnessed.</p>	Ensure that we have a firm-wide guide to effective signing and witnessing of documents whilst clients are in isolation – circulate to all staff	All staff DCA to produce guide to signing docs	Immediate 8/6/20	✓
		<u>Client and visitor logs</u>				

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		<p>We have subscribed to the NHS Test and Trace service. Posters with QR codes are located in Reception. Clients and visitors will be encouraged to use the facility, if they have the app on their phone. If they are not willing or able to use the facility we will manually take their contact details to retain in a log.</p> <p>After 21 days, client and visitor contact information (relating to test and trace) must be securely disposed of or deleted. When deleting or disposing of data, we must do so in a way that does not risk unintended access (for example shredding paper documents and ensuring permanent deletion of electronic files).</p> <p>We do not have to request contact details from clients or visitors who check in with the official NHS QR poster, and we should not ask them to do both.</p> <p>Any visitor who refuses to provide contact details will not be allowed to enter the offices and the situation will be referred to a Partner.</p> <p><u>Staff should use the office sign in/out logs at the entrance to each building.</u></p>	<p>If manually collecting client or visitor's data we will record as a minimum:-</p> <ul style="list-style-type: none"> • The name of the client or visitor. If there is more than one person, then we can record the name of the 'lead member' of the group (of up to 6 people) and the number of people in the group • A contact phone number for each client or visitor, or for the lead member of a group of people. If a phone number is not available, we should ask for their email address instead, or if neither are available, then postal address • Date of visit, arrival time and, where possible, departure time • The name of the Solicitor/advisor or assigned staff member, the client or visitor will interact with. This should be recorded alongside the name of the client or visitor <p>When collecting data we will comply with the provisions of the GDPR and Data Protection Act 2018.</p>			
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COMMUNICATIONS						
Ensuring that staff are appropriately updated as to the risks an current best guidance	All staff	<p>Internal communication</p> <p>Communication channels and cascading of messages through Partners and managers will be carried out regularly to reassure and support employees in a fast changing situation.</p>	Partners and managers will offer support to staff who are affected by Covid-19 or has a family member affected.	Partners	On-going	✓
		<p>Advice to staff</p> <p>We will advise staff to take appropriate precautions and ensure that they are regularly updated with the latest advice and guidance in relation to staying safe within the workplace or working remotely.</p>	ACF/DCA will provide, as necessary, regular firm wide guidance and update emails.	Partners	On-going	
		<p>Consult with workers on Covid-19 risk assessments</p> <p>It is a requirement that all employers need to carry out Covid-19 risk assessments in consultation with their workers (and trade unions), to establish what guidelines to put in place.</p> <p>We will establish a representative staff group to consult with regarding this risk assessment and the risk controls or risk mitigation strategies that we put in place to deal with Covid-19</p>	We will publish the results of our risk assessment on our website and the government “expects” all businesses with over 50 employees to do so.	Partners	6/1/21	

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FACILITIES						
Spread of Covid-19 Coronavirus	Staff, Clients, visitors, maintenance staff	<p>Review Facilities Arrangements</p> <p>As we occupy our own offices we are better able to implement effective housekeeping and hygiene procedures, such as hand sanitation, hard surface wiping etc. For those staff who have been asked to work from the offices, we will:-</p> <ul style="list-style-type: none"> • Encourage staggering of break times to reduce pressure on kitchen areas • If necessary, create additional space by using other parts of the workplace or building that have been freed up by remote working • Install screens to protect staff in receptions or similar areas • Encourage staff to bring their own food rather than have to go out to buy food at lunchtime • Reconfigure seating and tables to maintain spacing and reduce face-to-face interactions • Regulate use of kitchens and common areas such as Outer Office areas to reduce concurrent usage 	<p>Staff must continue to work from home. If they visit the office they must ensure that they stay within their offices as much as possible and reduce time in common areas of the building.</p> <p>Staff should only use their own office equipment including pens.</p> <p>Pens used by clients and third parties must be disposed of without touching them directly (use gloves etc.)</p>	All staff	Immediate	✓
		<p>Ventilation</p> <p>Where possible use ventilation to mitigate the transmission risk of COVID-19.</p> <p>Open windows and doors if this is possible whilst ensuring that building security and comfort levels are not compromised.</p>		All staff	Immediate	

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		<p>Cleaning The objective is to keep the workplace clean and prevent transmission by touching contaminated surfaces.</p> <p>As a minimum, frequently touched surfaces should be wiped down twice a day, and one of these should be at the beginning or the end of the working day. Cleaning should be more frequent depending on the number of people using the space. Cleaning of frequently touched surfaces is particularly important in toilets and communal kitchens.</p> <p>While staff are predominantly working from home and cleaning staff numbers are limited, staff will be asked to clean and disinfect objects and surfaces that they touch regularly particularly in areas of high use such as door handles, light switches, desks, computers, telephones, etc. using appropriate cleaning products and methods.</p> <p>We will draft a building cleaning policy.</p> <p>Staff will be responsible for cleaning their own work areas including emptying their bins on a daily basis. Food stuffs should be placed in the kitchen areas bins.</p> <p>IMPORTANT - If we are cleaning after a known or suspected case of COVID-19 within the work place then we should refer to the specific government cleaning guidance.</p>	<p>Shared facilities such as copiers should be cleaned before and after each use by the user.</p> <p>Common areas such as kitchens must be cleaned before and after each use by the user.</p> <p>Staff should clean hands before using communal areas such as kitchens</p> <p>Cleaning materials and hand sanitiser will be placed at key locations around the office – these locations will be clearly signposted</p> <p>Disposal of rubbish, especially food waste must be undertaken regularly. Use the correct bins i.e. food waste only in food waste bins.</p> <p>Staff are responsible for emptying their own office bins, daily, into the larger bins located in kitchens etc. and placing their cups in the dishwasher.</p> <p>We will where possible, reduce clutter and remove difficult to clean items to make cleaning easier</p>	Staff	Immediate	✓
		<p>Deliveries</p>			Immediate	✓

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		<p>Procedures must be put in place for deliveries to ensure adequate social distancing:-</p> <ul style="list-style-type: none"> • Deliveries will be let outside the building where possible. • Delivery quantities and frequency of deliveries will be kept to a minimum • Post will be scanned electronically to fee earners. • Staff will be advised to wash their hands or use sanitising gel after handling deliveries. • Disposable gloves will also be provided for handling deliveries. 	<p>Where possible we will restrict non-business deliveries, for example, personal deliveries to workers.</p> <p>All staff handling post should clean their hands afterwards.</p>	Outer Office staff		
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OPERATIONAL - CLIENT MATTER RISK						
Failure to manage matters effectively - clients may not receive the level of service they are entitled to expect, which may result in complaints or negligence claims	Staff and clients	<p>Supervision</p> <p>Remote working can lead to a sense of isolation and potentially to reduced supervision. Where fee earners rely on others such as secretaries to issue reminders such systems may not work well with remote working leading to the possibility that critical compliance issues or deadlines may be missed.</p>	<p>All supervisors must have a formal system in place to ensure that supervision meetings take place regularly with all staff.</p> <p>Supervisors must record supervision meetings in their diaries.</p> <p>Supervisors should keep checking in on people's workloads and stress levels and offer support where possible. If necessary consider adjusting targets for staff who remain working and be flexible with deadlines.</p>	All supervisors	Immediate and on-going	✓
		<p>Critical dates</p> <p>Critical dates present a higher operational risk. All critical dates must be recorded in the centrally, these should be monitored closely by fee earners to ensure that they are not missed.</p>	<p>Partner/Supervisors should include the discussion of key dates in remote supervision meetings.</p> <p>Use of Teams Planner with key dates in for each team, reviewed daily by each supervising partner.</p>	All fee earners, supervisors/ Partners and NEF	On-going	✓
		<p>Higher risk matters</p> <p>Higher risk matters should be discuss with Partner/supervisors.</p>	<p>Partner/Supervisors should include the discussion of key dates in remote supervision meetings.</p>	Fee earner & supervisors	On-going	✓
		<p>Dormant and 'mental block' files</p>	<p>Fee earners must take responsibility for discussing any 'mental block' files</p>		On-going	✓

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		<p>Dormant or ‘mental block’ files present a higher operational risk. Fee earners should ensure progress is maintained on all matters.</p> <p>A ‘mental block’ file might include a matter:</p> <ul style="list-style-type: none"> • that is technically difficult; • where the fee earner is uncertain how best to proceed; or • Where the client is difficult to deal with. 	<p>with their supervising Partner to agree a way forward, which may include reallocating the matter to another fee earner.</p> <p>Monthly matters reports (Monthly Trawl) should be used as a method of identifying dormant files</p>	Partners and supervisors		
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ASSESSMENT OF THE RISKS POSED BY COVID-19 IN THE WORKPLACE

REGULATORY RISK						
Failure to comply with regulatory requirements or properly manage our regulatory risks can	Clients , Fee earners, Partners	<p>Regulatory Risk and Remote Working</p> <p>Remote working, lack of supervision and the difficulty of dealing with clients in lockdown could lead to a failure to comply with regulatory requirements or properly manage our regulatory risks which could lead to:-</p> <ul style="list-style-type: none"> clients may not receive the level of service they are entitled to expect, which may result in complaints or negligence claims; The firm or individuals within the firm could be disciplined by the SRA or another regulator, which could lead to fines, disqualification or other sanctions; The firm or individuals within the firm could be exposed to criminal prosecution 	<p>We must ensure that supervision remains effective.</p> <p>Issue regular email or newsletter updates to ensure that risk & compliance remain in people’s minds.</p> <p>Introduce remote file review</p>	Partners & supervisors	Immediate and on-going	✓
		<p>Anti-Money laundering</p> <p>With clients in isolation conducting AML CDD checks may be difficult. This could lead to increased risk and the possibility that checks are not correctly completed</p>	<p>Additional support provide by the Risk & Compliance Manager to advise on requirements on a risk based approach and to assist with completing CDD as required.</p> <p>Additional methods of completing CDD to be investigated.</p>	All staff	Immediate & on-going	✓

ASSESSMENT OF THE RISKS POSED BY COVID-19 IN THE WORKPLACE

NEXT STEPS

This risk assessment highlighted number of action points which have been addressed. Suitable policies and procedures have been drawn up to ensure that the identified risk are controlled or mitigated.

The firms risk management arrangements will be monitored and kept under constant review and this risk assessment will reviewed and updated as appropriate.

The Partners will monitor the controls put in place and their continuing effectiveness as well as more general considerations regarding our response to Covid-19 risks.

DCA 5th January 2021