

GUIDANCE FOR STANDARD OPERATING PROCEDURE ON HEALTH AND SAFETY MEASURES AGAINST COVID-19 PANDEMIC FOR CAPITAL MARKET PARTICIPANTS

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PART I

1.0 DEFINITIONS

Agent	to include but not limited to commissioned dealer's representative, unit trust consultant, private retirement scheme consultant and marketing representative of CMP
AOB	Audit Oversight Board, established under section 31C of <i>Securities Commission Malaysia Act 1993</i>
CMP	capital market participant that covers entities and individuals that participate in the Malaysian capital market including the approved exchanges, licensed entities (CMSL holders), registered persons, AOB registered auditors, self-regulatory organisations, recognised market operators and other capital market related entities
CMSA	the <i>Capital Markets and Services Act 2007</i>
CMSL	Capital Markets Services Licence referred to in the CMSA
COVID-19	an infectious disease caused by severe acute respiratory syndrome coronavirus 2 (SARS-CoV-2)
Customer	client/investor and potential client/investor
Employee	permanent employee, contract employee, temporary employee, appointed personnel and director of CMP
External Party	customer, vendor, third party service provider and/or visitor
MKN	Ministry of Finance Malaysia
MOF	Majlis Keselamatan Negara
MOH	Ministry of Health Malaysia

PUI	Patient Under Investigation, as defined by MOH
SC	Securities Commission Malaysia
SOP	Standard Operating Procedure

2.0 INTRODUCTION

- 2.01 This guidance outlines the health and safety measures and steps to be taken by a CMP in planning and managing the return of its operations to full capacity, and in adapting to the new normal to curb the spread of COVID-19.
- 2.02 In addition to the SOPs issued by the MKN and various ministries, this guidance aims to cover the minimum requirements and additional measures to guide a CMP in developing and communicating clear internal SOPs on health and safety measures to minimise the risk of COVID-19 at its workplace(s), with regards to its dealing with its Employees, Agents, workplace(s) and External Parties. In the event of any inconsistencies between this guidance and the SOP(s) or directive(s) from applicable authorities, the SOP(s) and directive(s) from the applicable authorities shall prevail.
- 2.03 This guidance is not intended to be comprehensive and a CMP should tailor its SOP to its respective business operations, taking into consideration the specificities of its internal processes and other relevant factors, to create a safe environment for Employees, Agents and External Parties. At the minimum, a CMP must adhere to and update its processes according to the latest SOP and directives issued by MKN, MOH as well as directives issued by any other relevant authorities. A CMP should continue to monitor the developments and guidance issued by World Health Organisation, MKN, MOH and other authorities, and where appropriate, to reflect these in its SOP. This guidance may be revised from time to time by the SC.
- 2.04 In adhering to the SOPs issued by relevant authorities, a CMP should establish appropriate governance and monitoring processes, taking into consideration the complexity and size of the business operations, the number of branches and its Customers, governance structure and workplace setting. To ensure proper accountability, a CMP should designate dedicated person(s) to collate, monitor and report compliance with the SOPs across its organisation, including for each branch location.

PART II

3.0 WORKPLACE – GENERAL REQUIREMENTS

3.01 Social distancing or physical distancing is a key practice to reduce the risk of COVID-19 infection and pandemic as recommended by MOH. Therefore, a CMP must put in place appropriate measures to avoid close contact at workplace to limit the risk of exposure.

3.02 Recommendations for maintaining a safe work environment to contain the spread of COVID-19 infection should include these measures:

(a) Policies and procedures – A CMP must have in place adequate policies and procedures to address the health and safety measures against COVID-19 pandemic, including to swiftly and effectively address situations where an Employee, Agent or External Party who has visited its premises or been in close contact with an Employee or Agent of the CMP, is later tested positive for COVID-19, is classified as PUI or is a suspected case at the workplace. This must also include collecting necessary information to facilitate contact tracing and maintaining comprehensive record keeping as stipulated in paragraph 4.07. A CMP should also seek disclosure from Employees and Agents if they are tested positive for COVID-19, classified as PUI or under movement restrictions, as well as consider obtaining travel declaration.

(b) Health screening

- i. A CMP should enforce temperature screening at the entry points to its workplace(s) for Employees, Agents and External Parties;
- ii. A CMP should enforce the use of face mask by Employees, Agents and External Parties at all times when they are in the premises;
- iii. A CMP should take appropriate measures to manage Employees who have a higher risk of infection (e.g. Employee living in high risk areas and staff who commute to the office via public transport) and Employees who may need extra protection (e.g. vulnerable Employees¹);

¹ Refer to *MOH Annex 25 on Vulnerable Employees*: Older persons and those with pre-existing medical conditions e.g. high blood pressure, heart disease, lung diseases, cancer or diabetes.

- iv. In the event that an Employee, Agent or External Party appears or is unwell and demonstrates common COVID-19 symptoms and is present in the premises, a CMP should immediately activate the necessary protocols to minimise the transmission of infection, which include refusing entry into its premises;
- v. For an Employee or Agent who is unwell and exhibits symptoms of COVID-19, the following measures have to be taken:
 - Immediately isolate the Employee or Agent from the other people in the premises;
 - Require the affected person to wear a surgical mask and seek medical attention at the nearest health facility or recommended hospitals by MOH. Accompanying person should also wear a surgical mask;
 - Relieve the Employee or Agent from work, as well as the other Employees and Agents working in the same work area; and
 - Sanitise the work area or section affected immediately before allowing Employees and Agents to return.
- vi. Employee or Agent returning to work after being isolated/treated for COVID-19 must follow MOH's protocol and guidelines if applicable, and can only return to work if he/she is fit to do so, based on the CMP's SOP.

(c) Hygiene at workplace

- i. A CMP should encourage Employees, Agents and External Parties to adopt good hygiene practices, take all the necessary precautionary measures, clearly articulate such practices and measures, and ensure that they are understood; and
- ii. A CMP should consider ways to support respiratory etiquette and self-hygiene for Employees and Agents. Such measures could include: providing the necessary protective equipment such as face mask and gloves (where appropriate), adequate supplies of hand-sanitisers and soap in easily accessible locations; posting signs to encourage frequent handwashing; discouraging handshakes and other contact methods which may increase the risk of spreading COVID-19.

(d) Increased cleaning of premises – Steps must be taken to implement frequent cleaning, sanitisation and disinfection of all areas within the workplace, particularly, frequently touched surfaces such as workstations, door handles, toilets, pantries, elevator panels and commonly shared equipment such as photocopy machines and printers.

(e) Shared workspaces and common areas

- i. Ensure the arrangement of workstations allows adequate social distancing between Employees. Employees seating arrangements should be at least 1-meter apart;
- ii. Discourage the sharing of stationeries, phones, desks, and crowding of common areas such as pantry, prayer rooms and staff areas;
- iii. Limit the number of people attending meetings and avoid all large gatherings such as conferences, town halls, social events, annual functions and religious activities;
- iv. Limit the number of people in cafeterias or other common spaces at any given point in time, provide clear floor markers to guide the people and space out the table arrangements to enable social distancing;
- v. In the event that a face-to-face engagement is unavoidable, to ensure that the interaction is managed expeditiously and if possible limit to less than 15 minutes; and
- vi. Store unnecessary documents at the workstations and limit the exchange of physical documents to reduce the risk of infection.

(f) Entry and exit of office premises

- i. Assign a doorkeeper or use automated doors where possible;
- ii. Place hand sanitisers near entry and exit points to allow Employees, Agents and External Parties to self-sanitise;
- iii. Where possible, have separate entry and exit points, and mark out separate lanes for entrance and exit to facilitate 'crowd control';
- iv. Post notice(s) at prominent and visible places to notify Employees, Agents and External Parties who are unwell, or who have been exposed to COVID-19 patients, or have just returned to or arrived in Malaysia to refrain from entering its premises; and
- v. Disinfect all entry and exit doors, at least 3 times daily.

(g) Additional health and safety measures (non-exhaustive)

- i. Ensure proper ventilation and regular cleaning of air-conditioning system;
- ii. Manage, limit or stop the use of communal or confined spaces such as pantries and areas with poor ventilation;
- iii. Reduce the number of persons at reception or security desks;
- iv. Implement “one way” hallways or paths through the workplace where possible to achieve social distancing;
- v. Limit the number of people in the elevators for self-owned/controlled premises. Where premises are rented, a CMP should encourage building management to adopt precautionary measures in elevators at any given time; and
- vi. Ensure that social distancing of at least 1-meter between people is practiced at premises at all times. This can be achieved by placing temporary barriers or by drawing markings on the floor or seats where applicable.
- vii. Where necessary, CMP should review and update internal processes and procedures in relation to Employee engagement at the workplace to limit face-to-face interaction, such as by using digital solutions (emails and video conferencing) and other means (telephone calls), or completing the necessary paperwork before the interaction among Employees.
- viii. Post notices to remind Employees to practise social distancing of at least 1-meter and to sanitise their hands before using any common equipment / items such as photocopier, fax machine or pantry equipment.

4.0 BUSINESS OPERATIONS

- 4.01 A CMP should determine its business operating hours based on its location and business needs, subject to the directives from the government and other relevant authorities where applicable, particularly if the physical premises or branches are within high risk zones as defined by relevant authorities.
- 4.02 A CMP may consider options to progressively phase Employees back to the workplace as Movement Control Order restrictions are loosened. In relation to this, a CMP should consider implementing staggered/rotational work schedules to manage the number of Employees at the workplace at any given time to observe social distancing at premises.

- 4.03 A CMP may need to enable some Employees to work from home to manage the capacity at the premises to ensure that the required social distancing is achieved.
- 4.04 A CMP should assess its Employees' ability to return to work based on their home location (locality that is subject to higher restrictions such as high risk zones) and personal situation (e.g. pregnant Employees, parents of young children without adequate care, vulnerable² Employees, and close contact with front-liners/those at risk) which may impact their availability to work in the office.
- 4.05 A CMP should provide the necessary tools, gadgets and equipment to provide the necessary support for Employees who are working from home. Also, a CMP should ensure that its Employees and Agents apply the highest standard to maintain the confidentiality and security of sensitive work-related information while working from home.
- 4.06 Internal Communication and Support Channels:
- (a) A CMP should ensure clear communication on return to work protocols and provide support channels through which Employees and Agents can seek clarification, voice concerns or ask for exemptions to certain procedures, where possible. For example, a designated person or persons should be assigned to manage all issues related to COVID-19 at the workplace. This information should be made known to all Employees and Agents to ease communication; and
 - (b) Ongoing communications should also be in place to remind Employees and Agents of the importance of maintaining social distancing and hygiene such as wearing mask and to 'self-sanitise'.
- 4.07 Recording and record keeping for contact tracing:
- (a) Employees, Agents and Customers are required to download and register the MySejahtera application³ into their mobile phone for contact tracing purposes.
 - (b) Adequate information / record must be maintained by a CMP to keep track of Employees, Agents and External Parties for contact tracing purposes for at least three months. Information gathered should, at the minimum, include name, contact number, date, time of visit, location and who they are meeting. In principle, CMPs should ensure compliance with the *Tatacara Pengendalian bagi Aktiviti Pengumpulan, Pemprosesan dan Penyimpanan Data Peribadi oleh Premis Perniagaan Semasa Perintah Kawalan Pergerakan Bersyarat* released by Department

² Refer to MOH Annex 25 on Vulnerable Employees: Older persons and those with pre-existing medical conditions e.g. high blood pressure, heart disease, lung diseases, cancer or diabetes.

³ In accordance with updated MKN SOPs for the financial sector issued on 4 and 10 June 2020.

of Personal Data Protection⁴ in obtaining, handling, using and retaining the information.

- (c) If possible, use technological solutions to record the required information to discourage physical contact (for example individual to send text message with the required information to a designated number or QR code scanning).
- (d) A CMP should also encourage Employees and Agents to maintain their own record of official/work-related contacts, as well as personal contacts, for contact tracing purposes, where necessary.
- (e) In addition, a CMP should be ready to check branch video surveillance data (i.e. CCTV recordings) to support contact tracing efforts, where needed (e.g. to identify interactions among individuals, to mitigate risks of incomplete or false information).

4.08 Where possible, a CMP should adopt digital solutions for meetings or discussions (e.g. video conferencing and conference calls) to discourage face-to-face engagements. For events involving large gathering of people such as general meetings, seminars, workshops, training sessions and conferences, a CMP must ensure compliance to *SOP Am Pelaksanaan Majlis Kerajaan dan Swasta* issued by MKN.

4.09 A CMP is encouraged to establish guidance to Employees to promote new workplace behaviours:

- (a) Meetings – To limit the number of in-person gatherings in the workplace and to utilise facilities available for virtual meetings and tele-conferencing. If physical meetings are held, there should be a cap on the number of people permitted at the meeting venue at any one time taking into account the need for social distancing; and
- (b) Business Travel - To review travel policies and establish guidance to determine the necessity of travel and the risk during the travel and at the destination, including having the latest advisory on traveling from relevant authorities.

4.10 A CMP is required to establish Emergency Response Protocols (including reporting requirements to the relevant authorities), which outline the steps that must be taken in the event of any COVID-19 infection cases or any investigation on the Employee or Agent with COVID-19 infection.

⁴ <https://www.pdp.gov.my/jpdpv2/pengumuman/tatacara-pengendalian-bagi-aktiviti-pengumpulan-pemprosesan-dan-penyimpanan-data-peribadi-oleh-premis-perniagaan-semasa-perintah-kawalan-pergerakan-bersyarat-pkpb/?lang=en>.

- 4.11 A CMP is required to ensure compliance with the *Prevention and Control of Infectious Diseases (Measures within Infected Local Areas) (No.7) Regulations 2020* (Regulations)⁵ to avoid any contravention which may subject a CMP to commitment of an offence under Paragraph 11 (2) of the Regulations.
- 4.12 A CMP is required to report to the SC on the status of health measures and controls of its business operations as and when requested. A CMP is also required to comply with the reporting requirements of MOH and relevant authorities in relation to COVID-19.

5.0 DEALING WITH EXTERNAL PARTIES

- 5.01 A CMP should identify 'risk points' that could act as conduits for the COVID-19 transmission and ensure measures are in place to eliminate or limit Employees, Agents and External Parties from coming in contact with these risk points in the conduct of their business activities.
- 5.02 A CMP is encouraged to limit face-to-face meeting with External Parties, where possible. As stipulated in paragraph 4.08, a CMP should adopt digital solutions to discourage physical contact. A CMP is to ensure the confidentiality and integrity of all communication conducted via digital solutions.
- 5.03 Sales and marketing activities outside the CMP's premises are allowed⁶ and are subject to the measures in paragraph 5.07.
- 5.04 A CMP should consider whether it will require or allow Employees and Agents to attend work-related events hosted by an External Party. If allowed, the number of Employees and Agents attending the event should be limited.
- 5.05 In addition to measures stipulated in Paragraph 3.0 on the general requirements for workplace, the following are recommended measures for dealing with External Parties at the office premises, customer service centres or branches:

⁵ As gazetted on 9 June 2020.

⁶ Pursuant to the government's announcement pertaining to the Recovery Movement Control Order from 10 June to 31 August 2020.

- (a) Establish clear protocols to limit the number of External Parties at the office premises to ensure social distancing of at least 1-meter is effectively complied and manage traffic at Customer facing locations, as well as providing a queue area outdoors if it is safe to do so and where possible, CMP should adopt digital queueing solutions (e.g. using text message to alert customer on their turn);
- (b) If a meeting is necessary, encourage the External Party to make prior appointment for the meeting at the premises;
- (c) Post clear communication on the health screening and hygiene protocols particularly to encourage External Parties to wear face mask at all times;
- (d) Restrict External Parties' access to specific areas within the premises to minimise the risk and spread of infection;
- (e) CMP is encouraged to identify Customers who may need specific assistance such as pregnant mothers, disabled persons, as well as vulnerable persons such as senior citizens. For these Customers, CMP is encouraged to prepare a safe environment for them and to provide the necessary assistance to facilitate the conduct of transactions / engagement – if possible, CMP to provide dedicated time, separate counter as well as waiting area for them.
- (f) A CMP should ensure the required workspace as well as safety and health protocols are observed when dealing with external auditors and other third-party service providers which are required to undertake work at the CMP's premises; and
- (g) Customer-facing Employees or Agents should take the following measures, where relevant:
 - i. Wear protective gears including face mask and glove (where appropriate);
 - ii. Maintain self-hygiene, avoid touching facial area, use sanitiser and wash hands with soap;
 - iii. Inform Customer to take similar precautionary measures e.g. wearing face mask and maintaining self-hygiene such as sanitising hands, prior to carrying out the engagement;
 - iv. Request Customer to provide health declaration and check if Customer is displaying COVID-19 symptoms or have been exposed to any COVID-19 patient or PUI in the last 14 days. If yes, to facilitate the Customer to complete his/her transaction via alternative channels and encourage Customer who is unwell or display with COVID-19 symptoms to seek medical attention at the nearest health facility or recommended hospitals by MOH;
 - v. Adopt record keeping for contact tracing;
 - vi. Maintain a 1-metre distance from others at all times;

- vii. To ensure that the interaction is managed expeditiously and if possible limit face-to-face engagement to less than 15 minutes;
- viii. Customer should use their own stationeries for filling up forms or Employees and Agents should be required to disinfect stationeries used by Customers after each use;
- ix. The Employees and Agents should provide verbal instructions instead of touching the customer's hand/thumb in obtaining accurate thumb print;
- x. Place hand sanitiser at counter top for customers to sanitise hand after the transaction, particularly after each use of the biometric reader device;
- xi. Disinfect or sanitise the counter surface regularly depending on usage;
- xii. In handling of cash or incoming documents from External Party, sanitise hands after each transaction, or wear single-use gloves; and
- xiii. Remove materials that cannot be easily cleaned such as newspapers, magazines and brochures from the waiting hall.

5.06 For on-site field work, a CMP should establish that the location of the on-site field work is not classified as high risk zone and that there are proper health and safety measures in place against COVID-19 in considering whether to allow its Employee or Agent to visit the location. A CMP should ensure that safe workspaces and protective gears (mask, gloves, sanitisers) are provided for the Employee or Agent throughout the duration of the field work.

During the field work, Employees or Agents of a CMP must observe the following measures:

- (a) Wear protective gears including face mask and glove (where appropriate);
- (b) Maintain self-hygiene including avoid touching facial area, use sanitiser or wash hands with soap;
- (c) Maintain 1-metre distance from others at all times;
- (d) Inform External Party to take similar precautionary measures e.g. wearing face mask and maintaining self-hygiene, prior to carrying out engagement;
- (e) Self-sanitise before handling documents shared by Customer / External Party;
- (f) If possible, limit face-to-face engagements to less than 15 minutes;
- (g) Adopt record keeping for contact tracing as stipulated in paragraph 4.07;
- (h) Use their own stationeries which are provided by their CMP for office activities;
- (i) Avoid crowded places and close contact with people showing symptoms;

- (j) Prohibit Employee/ Agent from going for on-site fieldwork if feeling unwell and displaying common COVID-19 symptoms. Seek prompt medical treatment if developing symptoms; and
- (k) If it is known that the External Party whom the Employees or Agents of a CMP is planning to visit display COVID-19 symptoms, to consider deferring the field work.

5.07 For sales and marketing activities outside of the premises, prior to setting the meeting an Employee or Agent of the CMP should establish that the location of the on-site field sales and marketing activities is not classified as high risk zone and that there are proper health and safety measures in place against COVID-19.

During the sales and marketing activities, the Employee or Agent must observe the following:

- (a) Abide by the SOP enforced by the owner of the premises visited and SOP enforced on the premises' business sector;
- (b) For engagement conducted at the house or Customer's premises, if there's high risk individual at the house or Customer's premises, Employee or Agent must take precautionary steps and ensure that activities are conducted at safe distance from the high risk individual;
- (c) Wear protective gears including face mask and glove (where appropriate);
- (d) Employee or Agent to maintain self-hygiene including avoid touching facial area, use sanitiser or wash hands with soap and remind Customer to comply accordingly;
- (e) CMP to provide hand sanitiser and face mask to Employee or Agent who is involved in the sales and marketing activities. In addition, the Employee or Agent should provide hand sanitiser to the Customer if the Customer does not have any;
- (f) Maintain 1-metre distance from others at all times;
- (g) If possible, limit face-to-face engagements to less than 15 minutes by taking the following steps:
 - i. Employee or Agent to prepare the relevant documents and send to Customer for his review and understanding prior to the engagement;
 - ii. For engagement that may take longer than 15 minutes, Employee or Agent should consider using alternative methods such as phone call; and
 - iii. Encourage Customer to finalise the documentations prior to the engagement.
- (h) Employee or Agent is prohibited from participating in the sales and marketing activities if he/she is unwell (i.e. with temperature reading of 37.5 Celsius and above) or demonstrates common COVID-19 symptoms;

- (i) Maintain record of the engagement for contact tracing purposes for at least three months and in line with the *Tatacara Pengendalian bagi Aktiviti Pengumpulan, Pemprosesan dan Penyimpanan Data Peribadi oleh Premis Perniagaan Semasa Perintah Kawalan Pergerakan Bersyarat* released by Department of Personal Data Protection⁷. However, if the interaction between the Employee or Agent and the general public is brief, e.g. just to invite public to the booth or a short conversation, the Employee or Agent does not need to record the information for contact tracing;
- (j) Avoid sharing stationeries e.g. pen or pencils. If unavoidable, to sanitise the stationeries prior to and after allowing the Customer to use it. Employee or Agent and Customer to sanitise their hands prior to handling documents;
- (k) Handshakes and other contact methods which may increase the risk of spreading COVID-19 should be discouraged;
- (l) For engagement held at public places, Employee or Agent should avoid crowded places;
- (m) For opening of booth, Employee or Agent should comply with the following:
 - i. To minimise interaction with Customer, Employee or Agent should offer products that are easy to understand and require short period of time to explain the product features whilst still in compliance with SC rules and regulations;
 - ii. Number of Employees or Agents and Customers must be manageable to ensure physical distancing i.e. 1-meter distance from others and if possible to put barriers or clear floor markers;
 - iii. Post notices in front of the booth to encourage Customers to wear face mask, practise social distancing of at least 1-meter and maintain self-hygiene at all times; and
 - iv. In conducting sales and marketing activities outside the premises, Employee or Agent should be observant of general public sensitivities on the risk of COVID-19 and should not adopt aggressive approach in communicating with the general public.

6.0 CONTACT INFORMATION

6.01 Queries relating to this guidance can be emailed to COVID19Guidance@seccom.com.my.

⁷ <https://www.pdp.gov.my/jdpv2/pengumuman/tatacara-pengendalian-bagi-aktiviti-pengumpulan-pemprosesan-dan-penyimpanan-data-peribadi-oleh-premis-perniagaan-semasa-perintah-kawalan-pergerakan-bersyarat-pkpb/?lang=en>.