



## Re-Visiting 'Post-Lockdown Phase'

Survey responses from IIAC member firms as of November 25, 2020

Q1 : Are all your national offices following the same plan for the post- lockdown phase?

✚ Yes	80.00%
✚ No	20.00%

**INDIVIDUAL COMMENTS:**

- ✚ Plans varying by business lines, and by province (depending on provincial restrictions).

Q2 : Have you started planning the re-opening of your office to employees who have been working off-site/remotely?

✚ Yes	42.31%
✚ No	23.08%
✚ Somewhat	34.62%

Q3 : Did you start the re-opening of your office to employees who have been working off-site/ remotely since March 2020?

✚ Yes	30.77%
✚ No	34.62%
✚ Somewhat	34.62%

Q4 : Is your office fully re-opened to employees who have been working off- site/remotely since March 2020?

✚ Yes	7.69%
✚ No	80.77%
✚ Somewhat	11.54%

**INDIVIDUAL COMMENTS:**

- ✚ Rotational schedule made up of teams for defined access to the office.
- ✚ About 12% of staff have returned to the office.
- ✚ Employees have ability to choose if they wish to return.
- ✚ Only essential staff is permitted in the office.

Q5 : When do you expect your national office(s) will re-open to all staff who have been working off-site or remotely (once public authorities advise it is safe to do so)?

✚ Q4-2020	0.00%
✚ Q1-2021	8.00%
✚ Q2-2021	12.00%
✚ Q3-2021	12.00%
✚ Q4-2021	8.00%
✚ 2022	4.00%
✚ Unsure	56.00%

Q6 : Are you using external information sources to help plan the “post- lockdown” phase?

✚ Yes	57.69%
✚ No	42.31%

*IF YES, WHICH ONES?*

- ✚ All applicable government and health authority directives, advisories, and guidance.
- ✚ Major news, research reports.
- ✚ CPHR/CRHA Canada.
- ✚ Associations and consultants.

Q7 : Does your firm plan to allow some flexibility to employees on when they return to work, or will it be mandatory for all?

✚ Yes (plan to allow some flexibility to employees)	92.31%
✚ No (return to work will be mandatory for all)	3.85%
✚ It Depends	3.85%

*INDIVIDUAL COMMENTS:*

- ✚ Return to the office will be dependent on business line – each line will receive general guidance and framework from head office.
- ✚ Office access will involve team rotation.
- ✚ Return to the office will be completely voluntary.
- ✚ Return to the office will be flexible.
- ✚ Return to the office (when it is safe to do so) may be less flexible for roles where we have noticed a drop in productivity during COVID.
- ✚ Not all employees will return to the office.

Q8 : Do you plan to determine (or have you determined) what information you can ask employees about their health (COVID-19- related only)?

✚ Yes	82.61%
✚ No	17.39%

*PLEASE EXPLAIN:*

- ✚ COVID-19 daily health self-assessment – collected from health authorities’ guidance: will be completed by each person entering the office.
- ✚ Questionnaire has been implemented – completed daily by all employees entering the office.

- ✚ iLobby is used for corporate employees requesting office access - a cloud-based visitor management platform that helps organizations track and monitor visitors in their facility, while creating a safe work environment.
- ✚ Questions recommended by Health Canada will be asked to employees entering the office, and whether the individual has tested positive for COVID-19.
- ✚ A mobile app for employees to answer qualified health-related questions, and certify on a daily basis, will be implemented when we re-open our Canadian offices.
- ✚ We will be following guidance from legal advisors and health authorities.
- ✚ We may consider employee attestation for employees entering the office.

Q9 : Do you plan to restrict (or have you restricted) who has access to this information?

- ✚ Yes 91.30%
- ✚ No 8.70%

*PLEASE EXPLAIN:*

- ✚ Human resources only.
- ✚ Management only.
- ✚ Information access will be restricted/limited to only the information managers/supervisors need to know – confidentiality and privacy will be paramount.

Q10 : How do you plan to determine (or have you determined) which information will be released to which other employees?

- ✚ The name of a person diagnosed with or who is isolating due to contact with another individual who has tested positive for COVID-19 will be released to likely contacts, but not necessarily those operating on different premises 26.09%
- ✚ Will only notify employees that someone in the office has been diagnosed 73.91%

*OTHER:*

- ✚ Exposure notification: the name of the person who has tested positive for COVID-19 will be kept anonymous, and their possible contacts will be notified accordingly.
- ✚ Awareness notification: employees will be notified that a person in the office has tested positive for COVID-19, but the name of the person will not be released.
- ✚ Potentially exposed individuals will be asked to isolate at home for two weeks.
- ✚ Only directly affected employees will be notified of possible exposure.

Q11 : Do you plan to determine (or have you determined) how to identify and notify clients who may have come into contact with a person diagnosed with COVID-19?

- ✚ Yes 60.87%
- ✚ No 39.13%

*PLEASE EXPLAIN:*

- ✚ Contact tracing via the iLobby app and sign-in sheets.
- ✚ Clients may not be permitted into the office.
- ✚ Municipal health agency guidelines relating to contact tracing and communication protocols will be followed.

- ✚ HR will connect with the individual who has tested positive with COVID-19, to establish a list of potential contacts who need to be notified.

Q12 : Do you plan to determine (or have you determined) how long such personal information will be stored and when it will be destroyed?

- ✚ Yes 60.87%
- ✚ No 39.13%

*PLEASE EXPLAIN:*

- ✚ Information will be stored for a very short period and destroyed within a few months after everyone has returned to the office.
- ✚ This will be determined in conjunction with health authority guidelines.
- ✚ Human resources department has determined this (unsure of details).

Q13 : Will you ask (or have you asked) employees if they have been tested for COVID-19?

- ✚ Yes 47.83%
- ✚ No 21.74%
- ✚ Unsure 30.43%

*COMMENTS:*

- ✚ This question has been incorporated into the daily survey for attending office employees only.
- ✚ This will be a mandatory declaration by employees.
- ✚ Employees showing symptoms of COVID-19 should advise human resources and their direct manager. Testing would be suggested but not forced.
- ✚ Employees will be asked if they have been exposed (or potentially exposed) to it.

Q14 : Will you ask (or have you asked) employees if they have tested positive for COVID-19?

- ✚ Yes 68.18%
- ✚ No 18.18%
- ✚ Unsure 13.64%

*COMMENTS:*

- ✚ Employees working on-site are required to complete a COVID-19 daily health self-assessment which is collected from guidance of health authorities.
- ✚ Employees working on-site are required to complete a daily COVID-19 survey.
- ✚ Employees working on-site are asked to declare daily through a mobile app if they are showing symptoms or have tested positive for COVID-19.
- ✚ Employees working on-site will be asked if they have tested positive for COVID-19 only if we know they may have been exposed to someone in the office.
- ✚ Employees will make a declaration (mandatory).

Q15 : Will you ask (or have you asked) employees if they have been infected and recovered from COVID-19?

- + Yes 34.78%
- + No 43.48%
- + Unsure 21.74%

**COMMENTS:**

- + Employees working on-site are required to complete a COVID-19 daily health self-assessment which is collected from guidance of health authorities.
- + Employees who are not showing symptoms and are healthy/recovered may return to the office.
- + This may depend on the circumstances: we want to ensure the safety of all employees entering the office.

Q16 : How do you foresee (or how are you experiencing) the return of employees to the workplace?

- + Having some employees work from home/remotely for an extended period 76.47%
- + Staggering working hours for employees to reduce congestion at start/end of the workday 23.53%
- + Gradual "back-to-work" (not all employees at once) 52.94%

**OTHER (PLEASE LIST):**

- + Team rotational schedule for office access (one team remote).
- + Maximum 50/50 split between on-site and off-site at the start.
- + Working on-site will be optional for employees.
- + All staff is currently back in the office.

Q17 : Do you plan to take (or are you taking) each employee's temperature before he or she can enter the office?

- + Yes 18.18%
- + No 68.18%
- + Unsure 13.64%

Q18 : Do you plan to inquire (or are you inquiring) the following of each employee's health before he or she can enter the office?

- + Have you tested positive for COVID-19? 81.82%
- + Are you coughing? 86.36%
- + Do you have a fever? 86.36%
- + Have you lost your sense of smell? 77.27%
- + Have you lost your sense of taste? 77.27%
- + Do you feel sick? 81.82%
- + Have you been in contact with a person diagnosed with COVID-19 in the last 14 days? 86.36%
- + None of the above 13.64%

Q19 : Do you plan to implement (or have you implemented) mandatory hand sanitizing before employees can enter the office?

- ✚ Yes 63.64%
- ✚ No 22.73%
- ✚ Unsure 13.64%

*ANY OTHER MEASURES THAT YOU PLAN TO IMPLEMENT BEFORE EMPLOYEES CAN ENTER THE OFFICE? PLEASE LIST.*

- ✚ Sanitizer available at entry and throughout property.
- ✚ Anyone entering the office is required to complete a COVID-19 daily health self-assessment which is collected from health authorities' guidance.
- ✚ In Ontario, there is a mandatory questionnaire in place which is directly linked to the government requirements (this is not yet in place in Québec).
- ✚ Employee policies/guidelines address this, but we are not policing employees.
- ✚ Employees must wear a mask when they are not sitting at their workstation; employees have no access to fridge, microwave.

Q20 : Do you plan to implement (or have you implemented) any of the following measures for moving around the office?

- ✚ Limiting the number of employees in common areas such as elevators, bathrooms, kitchen, etc. 100.00%
- ✚ Having security staff monitor the flow of employees in and around the office 27.78%

*ANY OTHER MEASURES THAT COULD HELP EMPLOYEES MOVE AROUND THE OFFICE SAFELY? PLEASE LIST.*

- ✚ One-way stairwells, one-way flow of traffic on floors (common halls).
- ✚ Review of access logs.
- ✚ Wear a mask when not at their desk/social distancing.

Q21 : Do you plan to implement (or have you implemented) any of the following preventative measures?

- ✚ Having employees disinfect their workstations before starting their workday 90.91%
- ✚ Having employees disinfect their workstations at the end of their workday 100.00%

*ANY OTHER PREVENTATIVE MEASURES THAT YOU PLAN TO IMPLEMENT (OR HAVE IMPLEMENTED)? PLEASE LIST.*

- ✚ At the end of the day, signs put up on desks used, to notify cleaning staff.
- ✚ Employees can also clean/disinfect their workstations at any time of the day.
- ✚ Cleaning staff will clean/disinfect workstations and common areas that have been used.

Q22 : Do you plan to implement (or have you implemented) any of the following policies?

- ✚ Having employees wear masks (their own or masks provided by the firm) 90.48%
- ✚ Having employees perform social distancing (keeping a minimum of 2 meters between employees) 100.00%
- ✚ Having a "no travel" policy for an extended period 76.19%
- ✚ Having a "no conference" policy for an extended period 80.95%

- ✚ Having a “no face-to-face meeting” policy for an extended period (with clients and/or co-workers) 71.43%
- ✚ Having increased cleaning of the office (more frequent) 85.71%

*ANY OTHER POLICIES THAT YOU PLAN TO IMPLEMENT (OR HAVE IMPLEMENTED)? PLEASE LIST.*

- ✚ Installation of plexiglass on all desks.

Q23 : Do you plan to implement (or have you implemented) any of the following measures to ensure the safety of employees?

- ✚ Having sanitizer gel available in the office 100.00%
- ✚ Having disinfecting wipes available in the office 81.82%
- ✚ Having masks available in the office 77.27%
- ✚ Having gloves available in the office 36.36%
- ✚ Having reminders in the office regarding social distancing and hand washing 95.45%

*ANY OTHER MEASURES THAT YOU PLAN TO IMPLEMENT IN ORDER TO HELP KEEP YOUR EMPLOYEES SAFE? PLEASE LIST.*

- ✚ We will limit in-office employees to 10% of staff or essential workers only.

Q24 : What are your most serious concerns regarding fully re-opening your office?

- ✚ Employee safety – employees using public transit, elevators.
- ✚ Concerned to ensure that employees will declare, test, and isolate until results are known if they feel ill.
- ✚ An outbreak in the office.
- ✚ Limiting number of staff in the office at one time.
- ✚ Re-opening too early and needing to send people home again.
- ✚ Mental health and productivity challenges.

Q25 : How would the release of a potential vaccine affect your plans for re- opening your office (e.g. would it affect who would be allowed to enter the office, how fully you staff your office)? Please explain.

- ✚ Release of a vaccine could expedite a return to the office timeline.
- ✚ Release of a vaccine is potentially significant, but will depend on proven effectiveness.
- ✚ Prevention procedures will remain until staff members receive a vaccine.
- ✚ Office will remain closed to most until the vaccine has been generally distributed.
- ✚ Release of a vaccine will make some more comfortable.
- ✚ Release of a vaccine will not materially affect our plan for re-opening; it will still be gradual.
- ✚ Some individuals may have concerns about taking the vaccine which could be problematic.

Q26 : Which of the following has your firm offered its investment advisors/employees:

- ✚ Corporate phones dedicated only to work calls 36.84%
- ✚ Corporate phones which can be for private use (Corporate Owned/Personally Enabled (COPE) Model) 36.84%
- ✚ Advisors/employees can use their own phones (Bring Your Own Device (BYOD) Model) 68.42%

Q27 : For Bring Your Own Device (BYOD), what additional controls has your firm put in place:

✚ Installation of security patches on personal phones	50.00%
✚ Deployment of a dedicated interface on personal phones for business calls (e.g.: Good Work, My Knox etc.)	10.00%
✚ Additional Training	40.00%
✚ Employees' signed acknowledgement of the policies & procedures	70.00%

Q28 : Which of the following does your firm offer your investment advisors/employees:

✚ Computers/laptops/tablets dedicated only to work	65.00%
✚ Computers/laptops/tablets which can be for private use (Corporate Owned/Personally Enabled (COPE) Model)	30.00%
✚ Advisors/Employees may use their own computers/laptops/tablets (Bring Your Own Device (BYOD) Model)	65.00%

Q29 : For Bring Your Own Device (BYOD), what additional controls has your firm put in place?

✚ Secure virtual connections - VPN networks and remote access.
✚ Multi-factor authentication software for signing into VPN network.
✚ Access to network via Citrix or similar control points.
✚ Detailed device standards - adherence to these standards is attested to on a regular basis.
✚ Turnkey solutions which meet our standards but are not mandatory.

Q30 : What is the main problem your firm has been dealing with?

✚ Mental health and stress issues
✚ Training and communication concerns
✚ Supervision of staff: fairness and productivity (employees working on-site vs. off-site)
✚ Operations communication
✚ Difficulty in growing the business
✚ Productivity concerns for certain roles
✚ Work/life balance
✚ Cell phone roaming, long-distance, data charges
✚ Remote access issues

Q31 What are the main issues related to WFH (work-from-home) your firm has been dealing with?

✚ Managing a large remote work force
✚ Mental health concerns
✚ Recording of cell conversations and chats
✚ Retrieval of physical documents from the office
✚ Limited funds dedicated for purchasing home office equipment (frustrations with head office)
✚ Internet issues
✚ Cybersecurity concerns
✚ Frustrations with managers and supervisors not fully embracing ideas on how to make this situation maximally successful
✚ Difficulty monitoring some employees
✚ Remote links to office

Q32 : What solutions did your firm have to implement to properly service your clients?

- ✚ Electronic/digital process enhancements.
- ✚ Digital communication, videoconferencing, virtual client meetings, webinars, podcasts and telephone communication.
- ✚ Digitized forms to allow for e-signatures.
- ✚ Significantly reduced number of required "in person" meetings; socially distanced meetings for document transfer/signing.
- ✚ Enhanced our customer portal and promoted options to have statements, trade confirmations and tax reporting delivered this way.
- ✚ Remote office set-ups.

Q33 : What solutions did your firm have to implement to properly engage with your employees?

- ✚ MS Teams, Zoom, other video conferencing
- ✚ Regular information postings, corporate communications
- ✚ Regular virtual team and company meetings
- ✚ Regular email communication
- ✚ Regular help desk and help line communication
- ✚ More frequent communications
- ✚ Allowed certain staff to work from the office

Q34 : What regulatory relief will your firm need going forward?

- ✚ More encouragement of all digital solutions
- ✚ Advocacy for e-signatures on government and other external forms that are not currently eligible
- ✚ 10% client verification requirement
- ✚ Relief from short deadlines for filings and waived penalties
- ✚ Flexibility in supervising pro-accounts that are recorded on paper statements at other dealers
- ✚ Audits - on-site/off-site

Q35 : Has your firm been satisfied with the regulatory response during this period?

Most responded YES, GENERALLY, or MAINLY. Others are below:

- ✚ Weekly RAC reporting for all was unsatisfactory.
- ✚ Blanket exemptions and guidance for all firms from IIROC would have been preferable to individual dealers having to submit their own exemption applications.

Q36 : How has technology assisted your firm?

- ✚ Remote workstations have been set up that enable the firm to operate and interface remotely.
- ✚ Increased remote user access portals, network expansion, and VPN.
- ✚ Infrastructure and platform have allowed business to continue seamlessly.
- ✚ Digital solutions for onboarding.
- ✚ Microsoft Teams, Zoom for video conferencing.
- ✚ Onespan for digital signatures.
- ✚ Cloud-based apps.