

FIRST STEPS (BATH) Corporate RISK ASSESSMENT

Reviewed by CE and Finance; HR Manager October 2024

Annual review by Trustees, changes reported at Board Meetings

HAZARDS IDENTIFIED	PERSONS AFFECTED	LIKELIHOOD (1-5)	SEVERITY (1-5)	EXISTING CONTROL MEASURES	RISK RATING R/A/G	ADDITIONAL CONTROLS REQUIRED	BY WHOM	DATE COMPLETED
GOVERNANCE								
Board of Trustees lacks relevant information on which to base decisions	All	1	4	Set of reports distributed in advance of each meeting Quarterly Management accounts Training given to trustees on how to read and understand accounts Induction visits to all services. Annual review of priorities draws on parent and staff feedback Trustee handbook reviewed Agreed action plan Link Trustee roles	Green			
Individual Trustees have a conflict of interest on an issue or decision	Remaining Trustees	1	3	Trustee recruitment process Induction Pack JD for link Trustees and Chair Trustee training Declaration of interest as a standing agenda item. Effective chairing of meetings External Audit - All Trustees sign annual letter of representation for Auditor which includes disclosure of potential conflicts of interest	Green			
DISASTER								

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RECOVERY								
Fire or flood rendering a site unusable	All service users & staff for that site	1	4	Fire risk assessments at each site Some flexibility to provide services at other sites Cloud storage of all essential information Back up of IT system. Insurance to cover loss of income	Green			
Major IT failure	All	2	4	SLA with established IT supplier Daily back up performed by IT supplier and stored for 1 week. IT supplier has cyber security in place in line with GDPR. All information now stored in cloud Device Management with Microsoft Intune which allows us to create our own protection policies such as two factor authentication and ensuring latest software ISO Apps are used. Training staff who use IT system to recognise when a message or e-mail is a hoax and leading to unwittingly giving credentials to access system.	Amber			
MANAGEMENT								
Managers lacking skills or knowledge to perform their role	Staff and service users	1	4	Job Descriptions/ Person Specs define tasks and skills/ qualifications required/induction	Green			

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effectively				Effective recruitment and induction procedures Supervision and appraisal system in place Training and development opportunities Competency framework in place. Trustees involved in recruitment of Senior Managers. Succession planning for Senior Grades				
STAFFING/ EMPLOYMENT								
Loss of key managers or staff through turnover or serious illness.	Trustees and staff	2	2	Capacity within SMT to manage absence Senior Practitioners with experience of acting up to next level. Bank staff available to cover Documentation of plans and projects Notice periods and handovers Succession planning re specialist roles	Green			

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Allegation of abuse of a child by a member of staff	Service users; FS reputation, staff	2	3	<p>Staff employment policy and procedures, Safer recruitment training for staff who are involved in recruitment.</p> <p>DBS checks renewed every 3 years. Staff encouraged to sign up for the DBS update service</p> <p>Probationary period</p> <p>Clear Safeguarding and Child Protection policy and procedures</p> <p>Safeguarding awareness training for all staff</p> <p>Safeguarding training, 2 years for Safeguarding leads, 3 years all other staff.</p> <p>Staff supervision and appraisal</p> <p>All new staff receive a one to one session with Safeguarding Lead during induction.</p> <p>Annual completion of self disclosure form.</p> <p>Compliments and complaints policy and process.</p>	Amber			

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Inability to recruit staff to the numbers of children who need childcare spaces and to the capacity of our premises. Due to national shortage of qualified childcare workers. Income will fall but premises costs remain.	Children. Staff	3	4	Terms and conditions of employment and pay above industry average for the sector. Individual budgets for training. Ability to train own staff. Staff above required levels of qualification. Good staff retention Loyal team of bank staff Trainee apprentices employed at each service.	Amber			
REPUTATION								
Damage to FS reputation as a result of serious incident or actions of a member of staff	Trustees and staff	1	4	As above Internal observations of services Support for staff Ofsted inspections External audit DBS checks on all staff 'Code of Conduct' for staff Disciplinary Policy	Green			
Service user dissatisfaction perceived by community	All	2	2	Marketing of services Outreach Newsletters and positive press releases Negative comments acted on promptly. (locally based staff) Careful change management	Green			

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Racial or other harassment by other users or by staff	All	2	2	Equalities training for staff including how to address difficult situations/comments Positive images/ experiences of diversity promoted Disciplinary procedure Equalities and Diversity, Bullying and harassment policy.	Green			
FINANCIAL								
Termination / reduction of funding through changes or loss of major contracts or an Ofsted grading of less than 'good' or suspension of service due to noncompliance with Ofsted requirements.	Service users and staff	1	4	Meeting requirements of existing contracts Delivery of high quality service Updating of policies/ procedures to ensure best practice Building formal and informal partnerships Scenario planning for loss of funding Keeping abreast of developments Fundraising strategy Frequent observation of practice.	Green			
Loss of income as a result of fraud or significant error	Service users and staff	1	3	Separation of duties for approving transfer of money over £2,500 three signatures required. Financial delegation restricted External audit Dual authorisation on the bank account.	Green			

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				CE and Finance committee to check Balance sheet against bank statement				
Loss of income as a result of a serious incident	FS staff; viability of services	2	2	Systems enable partial service to be delivered from alternative sites Reserves available to manage temporary loss Insurance cover for loss of income and temporary losses	Green			
PREMISES/ HEALTH & SAFETY								
Staff from contractors or partner agencies or visitors present risk to children	Children, families and staff	1	4	Safeguarding procedures and safeguarding folders in place Secure entry systems Signing in procedures Safeguarding awareness training for all staff Partner agencies have provided signed assurances re their staff Contractors sign code of conduct, work is risk assessed, contractors are fully supervised or segregated from children All visitors to wear badge	Green			
Serious accident or injury to staff, service user or visitor	Anyone	1	3	H&S policy and procedures in place Daily assessment of environment	Green			

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				Signing in procedures Inspections of equipment Speed bumps into site car parks External lighting improved Staff awareness of H&S raised through additional training				
Staff unsafe when leaving premises at night or lone working	Staff	1	3	H&S policy and procedures (including lone working) in place CCTV Intruder alarms PIR External lighting Staff awareness of H&S raised through regular training	Green			
Outbreak of contagious illness or food poisoning	Service users and staff	2	2	High standards of hygiene maintained. Specific risk assessments for particular incidents, where public health guidance given. Shared with staff Exclusion of children with contagious illnesses Sick pay for staff Food Hygiene training for all relevant staff Effective communication systems to inform families. Ability for some staff to work from home to reduce contact.	Green			

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Violent or threatened attack from parent or service user	Staff and other service users	1	3	Secure entry systems CCTV Intruder alarms Signing in procedures Staff awareness raised through additional H&S training Home visiting risk assessment undertaken on every visit and signed by service manager. Lone Working training for staff who undertake home visits.	Green			
Bomb/ Terrorism threat	Service users and staff	1	4	Secure entry systems CCTV Intruder alarms Signing in procedures Lock down processes.	Green			
PREMISES/ ASSETS								
Break in/ theft and/or damage to premises	Service users and staff	1	4	Secure entry systems CCTV Intruder alarms Key Holding Service Signing in procedures Insurance External lighting	Green			
COMPLIANCE (LAW & REGULATION)								
Failure to comply with law or regulations	All	1	4	Senior Managers have an awareness of applicable law and regulations. External Audit and consultants Ofsted inspections	Green			

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				Local authority advisors Experienced Trustees and managers Memberships of advisory bodies/ networks, & receive email alerts Review of training needs through appraisals Review policies on an annual cycle Managers receive relevant external training				
GOVERNMENT POLICY								
Change of government or major shift in policy direction resulting in loss of funding	All	2	4	High quality service delivery Diverse activities Several income streams Keeping abreast of developments e.g. CSR corporate social responsibility.	Amber	Develop additional income streams	Chief Executive / F&A Manager	Ongoing
OTHER EXTERNAL FACTORS								
Major economic change resulting in loss of demand for services	All	1	4	As above Additional sources of support pursued for low income families wishing to use our services, fundraising	Green			
Major demographic change resulting in loss of demand for services	All	1	4	As above	Green			

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Exceptional circumstances (e.g. pandemic, severe weather) result in the need to close or reduce services	All	2	2	Exceptional Circumstances procedure in place Reserves available to manage temporary loss Insurance cover for loss of income and temporary losses but NOT for a pandemic. Ability to apply to charitable funds. Some staff able to work from home to reduce contacts,	Green			
* Individuals using company name for fraudulent purposes	Directors	1	4	Protected against fraudulent filings (i.e. changes to directors) through the PROOF Scheme with Companies House	Green			

Likelihood: 1= very unlikely, 2 = possible, 3 = likely, 4 = very likely, 5 = certain.

Severity: 1 = inconvenience, 2 = minor impact, 3 = moderate impact, 4 = major impact, 5 = terminal disaster

Code: R = Red (high 12-25), A = Amber (moderate 6-11), G = Green (low 1-5).

Reviewed Sarah Elliot July 2013 and updated Nov 2013 *

Reviewed Roz Lambert September 2013 (in response to Trustee comments.)

Reviewed by Trustees September 2014

Reviewed by SMT August 2015

Reviewed by Trustees October 2017

Reviewed by Trustees October 2018

Reviewed by Trustees July 2019

Reviewed by Sarah Elliott and Roz Lambert April 2021.

Reviewed by Trustees October 2022

Reviewed by Trustees October 2023

Reviewed by Trustees October 2024