# FIRST STEPS (BATH) Corporate RISK ASSESSMENT

**Reviewed by CE and Finance; HR Manager October 2025**

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<br>Quarterly Management accounts<br>Training given to trustees on how to read and understand accounts<br>Induction visits to all services.<br>Annual review of priorities draws on parent and staff feedback<br>Trustee handbook reviewed<br>Agreed action plan<br>Link Trustee roles | Green | | | |
| Lack of clear governance structures or ineffective board oversite. | All | 1 | 4 | Registered with companies house and the charity commission.<br>Annual audit to ensure compliance. Signed off by trustee board. | | | | |
| Individual Trustees have a conflict of interest on an issue or decision | Remaining Trustees | 1 | 3 | Trustee recruitment process<br>Induction Pack<br>JD for link Trustees and Chair<br>Trustee training<br>Declaration of interest as a standing agenda item. | Green | | | |

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| | | | | Effective chairing of meetings<br>External Audit - All Trustees sign annual letter of representation for Auditor which includes disclosure of potential conflicts of interest | | | | |
| Mission Drift. Activities not aligned to the charities' objectives | All | 1 | 3 | Clear articles of association shared with trustees, and referred to when making strategic decisions | | | | |
| Poor Strategic Planning or failure to adapt to change. | All | 1 | 3 | Senior Management Team keep abreast of changes in Government policy with regard to early years.<br>Trustees attend an annual strategic planning workshop and are kept informed of progress with strategic direction at each board meeting. | | | | |
| DISASTER RECOVERY | | | | | | | | |
| Fire or flood rendering a site unusable | All service users & staff for that site | 1 | 4 | Fire risk assessments at each site<br>Some flexibility to provide services at other sites<br>Cloud storage of all essential information<br>Back up of IT system.<br>Insurance to cover loss of income | Green | | | |

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| Major IT failure or cyber security breach | All | 2 | 4 | SLA with established IT supplier<br>Daily back up performed by IT supplier and stored for I week.<br>IT supplier has cyber security in place in line with GDPR.<br>All information now stored in cloud<br>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.<br>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 effectively | Staff and service users | 1 | 4 | Job Descriptions/ Person Specs define tasks and skills/ qualifications required/induction<br>Effective recruitment and induction procedures<br>Supervision and appraisal system in place<br>Training and development opportunities<br>Competency framework in place.<br>Trustees involved in recruitment of Senior Managers. | Green | | | |

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| | | | | 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<br>Senior Practitioners with experience of acting up to next level.<br>Bank staff available to cover<br>Documentation of plans and projects<br>Notice periods and handovers<br>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 | 1 | 3 | Staff employment policy and procedures, Safer recruitment training for staff who are involved in recruitment.<br>DBS checks renewed every 3 years. Staff encouraged to sign up for the DBS update service<br><br>Probationary period<br>Clear Safeguarding and Child Protection policy and procedures<br>Safeguarding awareness training for all staff<br>Safeguarding training, 2 years for Safeguarding leads, 3 years all other staff.<br>Staff supervision and appraisal<br>All new staff receive a one to one session with Safeguarding Lead during induction.<br>Annual completion of self disclosure form.<br>Staff are rarely working out of sight and sound of others.<br>Compliments and complaints policy and process. | | | | |

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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.<br>Income will fall but premises costs remain. | Children.<br>Staff | 3 | 4 | Terms and conditions of employment better than industry average for the sector.<br>Individual budgets for training.<br>Ability to train own staff.<br>Staff above required levels of qualification.<br>Good staff retention<br>Loyal team of bank staff<br>Trainee apprentices employed at each service. | Amber | Review pay to ensure that pay is above industry average. | RL/SE | |
| 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<br>Internal observations of services<br>Support for staff<br>Ofsted inspections<br>External audit<br>DBS checks on all staff<br>'Code of Conduct' for staff that is clear that conduct outside of work that damages FS reputation will incur disciplinary actions.<br>Disciplinary Policy<br>Staff are rarely working out of sight and sound of others. | Green | | | |

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| Service user dissatisfaction perceived by community | All | 2 | 2 | Marketing of services<br>Outreach<br>Newsletters and positive press releases<br>Negative comments acted on promptly. (locally based staff)<br>Careful change management | Green | | | |
| Racial or other harassment by other users or by staff | All | 2 | 2 | Equalities training for staff including how to address difficult situations/comments<br>Positive images/ experiences of diversity promoted<br>Disciplinary procedure<br>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<br>Delivery of high quality service<br>Updating of policies/ procedures to ensure best practice<br>Building formal and informal partnerships<br>Scenario planning for loss of funding<br>Keeping abreast of developments<br>Fundraising strategy<br>Frequent observation of practice. | Green | | | |

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| 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.<br>Financial delegation restricted<br>External audit<br>Dual authorisation on the bank account.<br>CE and Finance committee to check Balance sheet against bank statement | Green | | | |
| 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<br>Reserves available to manage temporary loss<br>Insurance cover for loss of income and temporary losses | Green | | | |
| PREMISES/ HEALTH & SAFTEY | | | | | | | | |
| 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<br>Secure entry systems<br>Signing in procedures<br>Safeguarding awareness training for all staff<br>Partner agencies have provided signed assurances re their staff | Green | | | |

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| | | | | Contractors sign code of conduct, work is risk assessed, contractors are fully supervised or segregated from children<br>All visitors to wear badge | | | | |
| Serious accident or injury to staff, service user or visitor | Anyone | 1 | 3 | H&S policy and procedures in place<br>Daily assessment of environment<br>Signing in procedures<br>Inspections of equipment<br>Speed bumps into site car parks<br>External lighting improved<br>Staff awareness of H&S raised through additional training | Green | | | |
| Staff unsafe when leaving premises at night or lone working | Staff | 1 | 3 | H&S policy and procedures (including lone working) in place<br>CCTV<br>Intruder alarms<br>PIR External lighting<br>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.<br>Specific risk assessments for particular incidents, where public health guidance given. Shared with staff<br>Exclusion of children with contagious illnesses<br>Sick pay for staff | Green | | | |

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| | | | | Food Hygiene training for all relevant staff<br>Effective communication systems to inform families.<br>Ability for some staff to work from home to reduce contact. | | | | |
| Violent or threatened attack from parent or service user | Staff and other service users | 1 | 3 | Secure entry systems<br>CCTV<br>Intruder alarms<br>Signing in procedures<br>Staff awareness raised through additional H&S training<br>Home visiting risk assessment undertaken on every visit and signed by service manager.<br>Lone Working training for staff who undertake home visits.<br>Able to shut staff into safe spaces if a danger presents within buildings. | Green | | . | |
| Bomb/ Terrorism threat | Service users and staff | 1 | 4 | Secure entry systems<br>CCTV<br>Intruder alarms<br>Signing in procedures<br>Lock down processes. | Green | | | |
| PREMISES/ ASSETS | | | | | | | | |
| Break in/ theft and/or damage to premises | Service users and staff | 1 | 4 | Secure entry systems<br>CCTV<br>Intruder alarms<br>Key Holding Service<br>Signing in procedures | Green | | | |

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| | | | | Insurance<br>External lighting | | | | |
| COMPLIANCE (LAW & REGULATION) | | | | | | | | |
| Failure to comply with law or regulations | All | 1 | 4 | Senior Managers have an awareness of applicable law and regulations.<br>External Audit and consultants<br>Ofsted inspections<br>Local authority advisors<br>Experienced Trustees and managers<br>Memberships of advisory bodies/ networks, & receive email alerts<br>Review of training needs through appraisals<br>Review policies on an annual cycle<br>Managers receive relevant external training | Green | | | |
| | | | | | | | | |
| GOVERNMENT POLICY | | | | | | | | |
| Change of government or major shift in policy direction resulting in loss of funding | All | 2 | 4 | High quality service delivery<br>Diverse activities<br>Several income streams<br>Keeping abreast of developments e.g. CSR corporate social responsibility. | Amber | Develop additional income streams | Chief Executive / F&A Manager | Ongoing |
| OTHER | | | | | | | | |

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| EXTERNAL FACTORS | | | | | | | | |
| Major economic change resulting in loss of demand for services | All | 1 | 4 | As above<br>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 | | | |
| Exceptional circumstances (e.g. pandemic, severe weather) result in the need to close or reduce services | All | 2 | 2 | Exceptional Circumstances procedure in place<br>Reserves available to manage temporary loss<br>Insurance cover for loss of income and temporary losses but NOT for a pandemic.<br>Ability to apply to charitable funds.<br>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
Reviewed by Trustees October 2025