Lympstone Parish Council
Risk Management Policy and Risk Register

The following policy and risk register was agreed and adopted by Lympstone Parish Council on 2nd March 2026.

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Objectives

The aims and objectives of this Risk Management Policy are comprehensive beginning with the need to develop risk management beyond Health and Safety.
• Integrate risk management into the culture of the organisation;
• Embed risk management through the ownership and management of risk as part of all decision-making processes;
• Manage risk in accordance with best practice.

Introduction – Lympstone Parish Council Risk Management Policy Statement

The Parish Council recognises that, in addition to its statutory duties, there are significant economic and ethical reasons to take all reasonable and practicable measures to safeguard the people that it works with, and provides services for, and to protect the natural and built environments for which it is responsible.

This policy document first establishes:
• What is risk management?
• Why the Council needs a risk management policy?
• The reasoning behind the risk management procedures of the Parish Council
What the risk management process is;
• Options for control of risks; Risk monitoring;
• Roles and responsibilities; Future monitoring.

What is Risk Management?

Risk management is essential to good governance.
Risk is the possibility that an event or action will adversely affect or impact an organisation's ability to achieve its objectives and to successfully execute its strategies. A Parish Council needs to review its risks; Risk = Threats and Opportunities.

Inherent Risk is a risk presented with no mitigating factors taken into account.
Residual Risk is a risk that remains once mitigating controls have been considered.
Risk management is the process by which risks are identified, evaluated and controlled. It is a key element of the framework of governance together with community focus, structures and processes, standards of conduct and service delivery arrangements.

The Parish Council is more likely to achieve its objectives if it manages risk properly. It is critical to recognise that risk management applies to every aspect of the Council's work, and is not just about Health and Safety. Risks can be classified into various types but it is important to recognise that for all categories the direct financial losses may have less impact than the indirect costs such as disruption of normal working.

Not all these risks are insurable and for some the premiums may not be cost effective. Even where insurance is available, money may not be an adequate recompense. The emphasis should always be on eliminating or reducing risk before costly steps to transfer risk to another party are considered.
Good risk management can help facilitate being proactive, rather than merely defensive responses. Measures to manage adverse risks are likely to help with managing positive ones.

The examples below are the main profiles, but not exhaustive:

Health and Safety Risk
The Council will adhere to the requirements of the Health and Safety at Work Act 1974 and other relevant health and safety legislation and codes of practice.

Strategic Risk
The long-term adverse impacts from poor decision making or poor implementation. Damage to the reputation of the Parish Council, loss of public confidence, and in a worst-case scenario Government intervention.

Compliance Risk
The failure to comply with legislation, laid down procedures or the lack of documentation to prove compliance.
Exposure to prosecution, judicial review, employment tribunals, inability to enforce contracts.

Financial Risk
Fraud and corruption, waste, excess demand for services, bad debts.
Risk of additional audit investigation, objection to accounts, reduced service delivery, dramatically increased council tax levels/impact on Parish Council reserves.

Operating Risk
Failure to deliver services effectively, malfunctioning equipment, hazards to service users, the general public or staff, damage to property.
Risk of insurance claims, higher insurance premiums, lengthy recovery processes.

Why the Council needs a Risk Management Policy?
Risk management will strengthen the ability of the Parish Council to achieve its objectives and enhance the value of services provided.
Risk management will help to ensure that the Parish Council has an understanding of 'risk' and that the Parish Council adopts the same approach to identifying and prioritising risks. This should in turn lead to conscious choices as to the most appropriate method of dealing with each risk, be it elimination, reduction, transfer or acceptance.

Why Risk Management?
Whilst it is acknowledged that risk cannot be totally eliminated it is accepted that much can be done to reduce the extent of injury, damage and financial loss. Therefore, the Parish Council is committed to identifying, reducing or eliminating the risks to both people and the natural and built environments.

The Council will ensure the insurance cover includes such perils and will provide protection against significant losses whilst being cost effective.
The Council will seek to embed effective risk management into its processes and structure to ensure that opportunities are maximised.
The Council will seek to encourage staff to identify, assess and manage risks.

What is the Risk Management Process?
Implementing the Policy involves identifying, analysing/prioritising, managing and monitoring risks.

Risk Identification
Identifying and understanding the hazards and risks facing the Parish Council is crucial if informed decisions are to be made about policies or service delivery methods. The risks associated with these decisions can then be effectively managed.

Risk Analysis
Once risks have been identified they need to be systematically and accurately assessed using proven techniques. Analysis should make full use of any available data on the potential frequency of events and their consequences. If a risk is seen to be unacceptable, then steps need to be taken to control it or respond to it.

Risk Prioritisation
An assessment should be undertaken of the impact and likelihood of risks occurring, subject to detailed consideration and the preparation of an action plan to appropriately control the risk.

Risk Control
Risk control is the process of taking action to minimise the likelihood of the risk event occurring and/or reducing the severity of the consequences should it occur. Typically, risk control requires the identification and implementation of revised operating procedures, but in exceptional cases more drastic action may be required to reduce the risk to an acceptable level.

Options for control of Risks
Elimination
The circumstances from which the risk arises are removed so that the risk no longer exists.

Reduction
Loss control measures are implemented to reduce the impact/likelihood of the risk occurring.

Transfer
Where the financial impact is passed to others, for example, by revising contractual terms.

Sharing
By sharing the risk with another party or parties.

Insuring
Insuring against some or all of the risk to mitigate financial impact.

Acceptance
Documenting a conscious decision after assessment of areas where the Council accepts or tolerates a particular risk.

Risk Monitoring

The risk management process does not finish with putting any risk control procedures in place. Their effectiveness in controlling risk must be monitored and reviewed. It is also important to assess whether the nature of any risk has changed over time. The information generated from applying the risk management process will help to ensure that risks can be avoided or minimised in the future. It will also inform judgments on the nature and extent of insurance cover and the balance to be reached between self-insurance and external protection.

How will it feed into the Council's existing polices?

Initial identification of risks will be by individual Councillors, the Clerk, members of the public, contractors or volunteers.

Roles and Responsibilities

It is important that risk management becomes embedded into the day to day and performance management process of the Parish Council.

The roles and responsibilities set out below, are designed to ensure that risk is managed effectively across the Council and its operations, and responsibility for risk is located in the right place. Those who best know the risks to a particular service are those responsible for it. The process must be driven from the top but must also involve staff throughout the Parish Council.

Councillors

Risk management is seen as a key part of Councillors' role and there is an expectation that they will lead and monitor risk management.

This will include:

• Approval of the Risk Management Policy.

• Analysis of key risks in reports on major projects, ensuring that all future projects and services undertaken are adequately risk managed.

• Consideration, and if appropriate, endorsement of the Statement of Internal Control.

• Assessment of risks whilst setting the budget, including any bids for resources to tackle specific issues.

Clerk / Responsible Finance Officer

The Clerk / RFO will act as the lead officer on risk management, overseeing the implementation of the detail of the Risk Management Policy and will:

• Provide advice as to the legality of policy and service delivery choices.

• Provide advice on the implications of potential service actions for the Parish Council's aims and objectives.

• Update Parish Council and service areas on the implications of new or revised legislation.

• Advise on any health and safety implications of the chosen or proposed arrangements for service delivery.

• Assess and implement the Parish Council's insurance requirements.

• Assess the financial implications of policy options.

• Provide assistance and advice on budgetary planning and control.

• Ensure that the budget monitoring documents allow effective budgetary control and informs financial decisions made by the Parish Council.

Role of Internal Audit

The Independent Internal Auditor provides an important scrutiny role carrying out audits to provide independent assurance to the Parish Council that the necessary risk management systems are in place and all significant risks are being managed effectively.
Internal Audit assists the Parish Council in identifying both its financial and operational risks and seeks to assist the Parish Council in developing and implementing proper arrangements to manage them, including adequate and effective systems of internal control to reduce or eliminate the likelihood of errors or fraud.
The Internal Audit Report, and any recommendations contained within it, will help to shape the operation of the Parish Council.

The adoption of a sound risk management approach should achieve many benefits for the Parish Council. It will assist in demonstrating that the Parish Council is committed to continuous service improvement and demonstrating effective corporate governance.

Future Monitoring

The progress of the policy will be measured on:
• Adjustments to the way in which services are delivered.
• Greater satisfaction of Councillors, staff, volunteers, customers and visitors with the provisions made by the Parish Council.

Reviewing this Policy

This policy will be reviewed annually as part of the Parish Council's continuing review of its policy documents, Standing Orders and Financial Regulations. Recommendations for change will be reported to the Parish Council.

Lucy Tyrrell, Clerk and RFO to Lympstone Parish Council

Date of next review: ***March 2027***

Lympstone Parish Council Risk Register

Categories of risk.

The following items are reported on in the following risk register using the risk assessment matrix to highlight the likelihood score and impact score rating. The recommendations made and, if carried out, will lower the score rating:

1. Financial - loss of money, fraud, theft, embezzlement, value for money
2. Property, Open Spaces, Equipment & Activities – damage to property and covering LPC's management of the Open Spaces
3. Legal – breaking the law or being sued
4. Information Technology (IT) – failure of IT systems or misuse
5. Reputational – actions harm the council's public reputation
6. Public toilets in Underhill Car Park.
7. Hub rebuild project.

Risk Assessment Matrix

		Likelihood				
		1 Rare	2 Unlikely	3 Possible	4 Likely	5 Almost Certain
Consequences	5 Catastrophic	5 Moderate	10 High	15 Extreme	20 Extreme	25 Extreme
	4 Major	4 Moderate	8 High	12 High	16 Extreme	20 Extreme
	3 Moderate	3 Low	6 Moderate	9 High	12 High	15 Extreme
	2 Minor	2 Low	4 Moderate	6 Moderate	8 High	10 High
	1 Negligible	1 Low	2 Low	3 Low	4 Moderate	5 Moderate

1. Financial

L/S = Likelihood score, I/S = Impact score,

Risk no.	Description	Impact	L/S	I/S	Risk rating	Mitigation
1.1	Precept not sufficient for intended purpose	The council has insufficient income for the forthcoming year	2	2	4	Budgeting process is held once per year through the Council meeting cycle, starting October and finalised in January. Revisions can be made throughout the year to bring in additional funds from Reserves and/or CIL (or other); or to change activity to adjust to revised income; Projected Spend is reviewed quarterly (spend against budget). updated.
1.2	Loss of cash through theft or dishonesty (fidelity guarantee)	The council loses income and assets	1	2	2	Adequacy of Fidelity guarantee insurance reviewed annually. Financial regulations and internal audit procedures in operation.
1.3	The council does not identify its risks	Financial, criminal or reputational loss	2	3	6	Annual review of risk and the adequacy of insurance cover undertaken annually by Council and each individual activity, e.g. an Event, has a separate risk assessment carried out and reviewed by Clerk and copy of public liability insurance. Annual playground safety checks, as well as weekly/monthly sight checks; Tree checks to identify issues with trees are by All risks or concerns are notified to the next appropriate committee or Full Council meeting. Any urgent actions are carried out immediately using appropriate delegated authority as specified in Standing Orders and Financial Regulations.
1.4	The council is not insured adequately	Financial, criminal or reputational loss.	3	2	6	Review of management arrangements regarding insurance cover are reviewed annually prior to policy renewal via council. RFO and Finance and Advisory committee confirms adequate cover annually and ensures everything is covered. The PCs insurance company is Zurich.
1.5	The council is overinsured.	The council pays too much for its premiums and isn't obtaining value for money.	1	2	2	The level of cover is reviewed annually by the RFO with the input of the broker and put to full council for review. (Renewal due in September)
1.5	Failure to correct award contract services or the purchase of capital equipment.	The council does not award contracts correctly (with the correct type of contract) resulting in financial or reputable loss to the council.	2	3	6	Standing Orders and financial regulations reviewed annually. Professional guidance to be sought before major contracts (> £25,000) are put in place; follow Procurement Guidance as set out in NALC LTN.

1.6	The council does not act legally and exceeds its powers.	The council risks financial and reputational loss.	3	2	6	Expenditure of Section 137 / CIL /S106 is regularly monitored and reported separately. New Internal Auditor – Devon Auditing Partnership - was appointed in April 2025. Experienced clerk, ensuring high standard of competency. SLCC and NALC membership provides go to Advice Service, proactive Legal Topic Notes and guidance on key topics and legislative changes Vine Orchards are available on a query-by-query basis, eg drafting a legal agreement, MoUs and issues raised. The Clerk is currently sourcing other solicitors available and their costs. NB October 2025 Stephens Scown LLP have been used.
1.7	Activity does not match information reported	The council does not know of activity undertaken and risks financial loss. An unauthorised activity takes place.	1	2	2	The Parish Council is using Edge It financial system to record and run reports of our cashbook and income and expenditure. List of income and expenditure is agreed at Full Council meeting. This is recorded in the minutes as well as bank reconciliations which are completed on a monthly basis. Bank reconciliation is also presented to the Council. Monthly income and expenditure is agreed by the Full Council and initialled by a non signatory or Chair to LPC on the relevant bank statement. Public can also ask questions of the office regarding how public funds are managed and information is available on the website at Lympstone.org . Two signatory Councillors sign off monthly invoices from the payment list; where paid by cheque two Councillors required to sign; where paid online, 1) authorisation is the Clerk who sets up payment, 2) Approved Councillor to authorise. Review and testing of arrangements to prevent and detect fraud and corruption. Undertaken by both the Full Council and Internal Auditor. Password protection for internet and all cheques / payments authorised by 2 Councillors.
1.8	Contracts are not reviewed annually.	The council does not achieve value for money or works are not carried out correctly.	2	2	4	PC contractor for grass cutting and hedges will be reviewed on a five-year basis starting in 2024, and public toilets cleaner, starting in 2023 during this period it will operate on a rolling basis. Quarterly reviews to take place to ensure work carried out as agreed. If possible, Contracts to have a break clause in. Provide high quality specifications for all work to be undertaken to enable verification to take place that work has been carried out to the required standard.
1.9	Failure to adhere to codes of practice for procurement and investment.	Financial loss to the council.	1	2	2	Covered by Standing Orders and Financial Regulations; Professional advice sought on larger projects. Future Investment strategy to be considered by Council. Any grants funded from CIL to third parties will be subject to a legal agreement.
1.10	Failure to regularly reconcile bank accounts.	The council is unaware of its financial position. Financial loss to the council.	1	2	2	Monthly checks by bank authorisation Cllrs and Full Council. Annual review by Internal Auditor. The Bank Reconciliation report now covers all accounts – TSB and Unity Trust current account and Unity Trust instant access account.
1.11	The council does not scrutinise income or expenditure.	The council is unaware of its financial position. Financial loss to the council. Risk of reputational loss.	3	2	6	Regular scrutiny of financial records and proper arrangements for the approval of expenditure. Parish Council meets regularly to approve expenditure including projected spend. Financial section of Council Agenda gives greater visibility. Projected spend included monthly so can identify likely areas of overspend or underspend before they arise.

1.12	Salaries and contributions are not paid correctly	The council risks reputational and financial loss; impact to staff	2	2	4	See 'Payroll procedures'. Salaries of staff are calculated by the NALC Salary Point system. Periodic job evaluation is carried out to make sure role is still within the correct range which is specific in Contract. Payroll is via HMRC PAYE system submitted by the Clerk / RFO. Any overtime is recorded on the time sheets and taken in lieu. If this gets excessive then LPC Chair will be contacted. All items checked by Internal Auditor. Contract and annual increments are recorded in on the annual staff appraisal. Pension calculations are via the NEST system and a monthly breakdown is part of the payment list.
1.13	The council fails to review contracts of employment for all staff and does not take account of any changes in relevant legislation.	The council risks financial and reputational loss.	1	2	2	See 'Financial regulations'. All staff contracts reviewed annually. Any change in personnel should trigger a review of employment contracts for that role. SLCC/NALC provide employment advice. New legislation states that contracts must be available on day 1 of employment.
1.14	Council does not claim back appropriate VAT.	The council risks financial loss.	1	3	3	Financial regulations set out requirements. VAT returns submitted using a VAT126 claim form. Internal auditor checks annually.
1.15	The council fails to make required submissions HMRC PAYE and/or pension fund.	The council risks being fined.	2	2	4	HMRC records are prepared through HMRC PAYE basic tools submissions .
1.16	The council does not monitor its budgets adequately.	The council is unaware of its income or expenditure targets set. Financial loss to the council.	1	3	3	Regular budget monitoring statements & projections prepared by RFO and presented to Council on a quarterly basis, so likely areas of overspend or underspend to be identified before they arise. All changes to budget are supported by a minuted Resolution.
1.17	The council does not monitor income	Financial loss to the council.	2	3	6	All loans discussed and approved by Parish Council - none in place at present and this is reflected in the Financial Regulations.

	– grants, S106, CIL or loans correctly.					CIL income and spending is reported through Council and an annual report is submitted to EDDC of how and where CIL is spent. The annual report will be part of the year end process, shared with both Auditors, public, EDDC and added to the website. CIL/S106 funds / Grants are in separate budget heading to ensure ringfenced for the appropriate items or shown as an earmarked reserve. All expenditure to be approved by Council.
1.18	The council does not achieve value for money throughout its expenditure.	Wasteful use of limited resources; risk of complaints from residents; risk of notification from Internal or External Auditor	1	3	3	Financial Regulations state that the systems must include for the safe and efficient safeguarding of public money; It also states that the RFO (a statutorily required role) must assist the council to secure economy, efficiency and effectiveness in the use of its resources; (Fin Regs section 4) details the budgetary controls and authority to spend – this includes the annual budgeting cycle which supports scrutiny of every line of the precept expenditure; It states that members and officers are responsible for obtaining value for money at all times, including recommending at least 3 quotes (or estimates) are received. (Fin Reg 11) states the procedures to appoint contract which includes regulations for contracts below £25k and above £25k (to meet the Public Contracts Regulations 2015); Terms of reference allocate budgetary responsibility to the Committees where necessary and only for the precept allocated; any reserves spending must be approved by Council. Projected Spend is shared at Full Council and questions are able to be raised at any point by any member on forecast or incurred expenditure.
1.19	Insufficient funds to cover an unplanned election.	Impact to other reserves which could prevent other activities from happening, and/or negative impact to the reputation of the council.	1	3	3	Earmarked reserves in PC budget to assist with covering a full election. If a casual vacancy arose and an election called this would put pressure on reserves.
1.20	Failure to spend, or inappropriate spending of, CIL results in funds being returned to EDDC CIL is used in a way that does not deliver lasting value to residents	Lost opportunity to create lasting value for the parish/residents. Lost opportunity to create lasting value for the parish/residents.	2	3	6	Annual CIL report shows dates of income received and c/f, CIL spent and on what items/projects listed. Public consultation held for community input in large local projects proposed. Clerk will update Council at least annually by the end of June. **Recommendation:** *Consider a CIL policy is adopted and reviewed annually and a commitment to ongoing community engagement to ensure any expenditure agreed is of value to the widest cross section of the community.*

2. Property, Open areas, equipment and activities

NB: Land owned by LPC: Candys Field, Front Meadow area and car park, Cemetery, The Rag, The Green,
Land jointly owned with Woodbury Parish Council: Gulliford Burial Ground
Land owned by the National Trust but managed by LPC: Cliff Field, Avenue Field and The Avenue

L/S = Likelihood score, I/S = Impact score,

Risk no.	Description	Impact	L/S	I/S	Risk rating	Mitigation
2.1	Parish council building – physical assets owned by the council – furniture and other assets may be damaged or stolen	Assets may be unusable or unsafe and cannot be accessed. Financial loss to the council. There would be a short term impact, which could affect delivery of service.	2	2	4	All other equipment and furniture insured by council with Zurich.
2.2	Loss of or damage to other physical assets owned by the council eg play equipment, benches, phone boxes	Assets may be unusable or unsafe and cannot be accessed. Financial loss to the Council. Risk of injury to users. There would be a short term impact, which could affect delivery of service	2	3	6	All equipment and furniture insured by Zurich. Short term support could be available from other local town and parishes, EDDC and DCC. All play equipment is regularly sight inspected by the PC contractor and annually by a ROSPA full safety inspector who provides a full written report. Any maintenance/repair undertaken as soon as possible. Damaged equipment will be fenced off where required. The publicly accessible defibrillators are located in The Strand (next to the village shop and outside of The Saddlers Arms public house. The defibrillators are checked and reported online to the Circuit once a month by the Clerk. **Recommendation:** *Consider a rolling maintenance programme of all Parish Assets to maintain equipment and replace regularly which feeds into budget process.* PC contractor is appointed to assist with identification of problems. All assets are now checked at least annually and proposals put forward for repair or replacement as required. Asset's check completed by lead Cllr of Assets and Amenities. Any new play area equipment added or other assets are added to both the fixed asset register (RFO) and insured.
2.3	Ownership of trees	Damage caused to or by trees which endangers public safety or causes legal nuisance to others.	2	3	6	DCC surveys trees in Candys field and informs the council of necessary work. Tree warden informs council of dangerous or unhealthy trees within the PCs ownership or management of: Candys Field, Cemetery, Front Meadow, Cliff Field, Avenue Field and The Avenue, **Recommendation:** *Consider an annual tree survey of the PCs trees in the Parish by tree warden or another professional volunteer. All reports are shared with and discussed by the Asset and Amenities Committee (both survey and management). Specific tree assessments will be requested if problems are reported outside of the tree survey.*

						Contractor will carry out the recommended works – Best value, price, range of services offered will be reviewed periodically. Work carried out is verified by the Clerk. **Recommendation:** *Consider a Tree Management policy is adopted to include reference specific management actions suitable for veteran trees and section on dealing with trees as a result of an insurance claim.*
2.4	Failure of security for vulnerable buildings, amenities or equipment.	Buildings, amenities or equipment may be damaged or stolen preventing use or access.	2	2	4	Youth Hut – keys held by YC leader, Clerk and safe lock outside. Building insured and premium reviewed annually. Toilets – keys held by cleaner and Clerk. Contractors write own risk assessments and provide copy of public liability insurance cover to the Clerk.
2.5	Failure to maintain vulnerable buildings, amenities or equipment.	Buildings, amenities or equipment may break down or be unsafe to use or access.	3	2	6	Visual inspection in line with Health & Safety responsibilities of the Clerk. Risk assessment for building, PC contractor and cleaner briefed to update Clerk on any issues.
2.6	Failure to maintain land in ownership or managed by LPC.	Accidents to members of the public.	2	2	4	All land owned or managed by the PC has an individual risk assessment written: Candys Field, Front Meadow and car park, Cliff field, Avenue Field, The Avenue, Cemetery, The Rag, The Green, Gulliford Burial Ground. PC contractor informs Clerk of any damage to land to rectify. LPC £10m Public liability insurance cover with Zurich.
2.7	Unauthorised traveller encampment.	Damage caused to land or assets due to an authorised traveller encampments; costs incurred.	2	3	6	**Recommendation:** *Consider a policy/action plan to deal with unauthorised traveller encampments. Agree a solicitor to act immediate to assist and advise LPC – possibly Stephens Scown.* Clerk / Councillors to notify the Police, EDDC/ DCC, supply bin bags and request considerate use of the land and a leave date/time; Ensure staff / Councillors do not attend a site unaccompanied or without a mobile phone. Clerk to seek advice regarding serving notice to vacate and if necessary, appointing Bailiffs, if the encampment fails to vacate by the date specified on the notice.
2.8	Failure to verify work undertaken by contractors or suppliers.	The council does not know of work undertaken by contractors or suppliers or its outcome.	2	2	4	Check all works are completed satisfactorily. Invoices not paid until work has been verified and approved by Clerk or Councillor. Other reports are produced whenever the Council has a new activity or project (as approved by a committee or Council decision).
2.9	Play equipment – Candys Field	Risk of injury from use of play equipment if not maintained in a safe condition. Risk of vandalism or other harm caused to	2	3	6	Play equipment visually checked regularly by PC contractor and issues reported to Clerk; action taken to repair or replace with closure of equipment if required (including temporary removal). Annual ROSPA safety check of all play equipment and any item marked as Low, Medium or High Risk is recorded and an action plan put in place. Checks include surrounding surfacing, overhanging trees etc. as well as the equipment itself.

		play equipment which could cause issues such as injury or prevent use of equipment.				Any anti-social or criminal (suspected or proven) activity (broken glass, deliberate damage) is reported to the police.
2.10	Outdoor Assets – Seat and Picnic benches, Bus Stops, Signage and telephone boxes	Risk of injury (splinters, trip hazard, minor cuts etc.) if outdoor assets are not well maintained. Risk of Vandalism or other damage to equipment which in turn could cause injury	2	3	6	Assets are checked throughout the year. Damage caused by weather is routinely inspected, cleaned and/or repaired. **Recommendation**: *Council to consider a review of assets - to identify high, medium and low priorities for repair/replacement.* Replacement and repaired benches – complete; signage in good working order; telephone boxes – Trafalgar Rd back in working order as a book swap, The Strand remains empty.
2.11	Open Space Contract activities – grass cutting, hedge trimming/cutting, managing shrubbery	Risk of injury to both public and contractors if sensible precautions not put in place	2	2	4	All contractors who carry out work for the Parish must have PLI insurance to a minimum of £5m. All contractors are expected to carry out work in a safe manner towards both the public and their employees with the appropriate use of protective equipment and the right tools for the task at hand; Regular spot checks, ensuring work areas are left in good condition after a task complete and regular management meetings to plan in required works. Chemicals are only used with a licensed contractor. NB Community Payback scheme supervisors and workers included here – own PLI and RA provided.
2.12	Burial ground	Risk of injury. Risk of vandalism.	1	3	3	PC contractor cuts grass, trims hedge and maintains the trees within the ground. PC contractor will report any issues immediately to the Clerk. Local stone mason, grave digger and funeral directors used are all qualified to maintain statutory requirements. (see separate cemetery policy and risk assessment)
2.13	Front Meadow car park	Risk of injury	1	3	3	(See separate risk assessment.)

3. Legal

L/S = Likelihood score, I/S = Impact score,

Risk no.	Description	Impact	L/S	I/S	Risk rating	Mitigation
3.1	Legal liability as a consequence of asset ownership (public liability)	The council has to fight a legal case that may lead to financial or reputation loss.	1	2	2	Current policies give the following cover under heading of Legal Liabilities: - Employers Liability £10m - Public and Products Liability - £10m - Officials Indemnity - £500,000 - Liable and Slander - £250,000
3.2	The risk of damage to third party or individuals as a consequence of the council providing services or amenities to the public (public liability)	An insurance claim may be made against the council.	2	3	6	All amenities and public open spaces, managed by the Parish Council are insured with Zurich public liability up to a maximum of £10 million. Risk assessments are carried out at least once (and undated if any changes occur) per year. Playgrounds visited and sight safety equipment checked regularly by PC Contractor. Small jobs undertaken when identified. All equipment insured. Annual inspections undertaken and results acted upon – inspection completed March 2025 via ROSPA Playsafety Ltd. Reports are presented to Council with a list of the recommended actions. If an occurrence of an unauthorised traveller encampment took place a full check would be made of the open space/any assets/trees to ensure no risk to public safety remained when the camp was cleared.
3.3	Legal liability as a consequence of an event (public liability)	The council has to fight a legal case that may lead to financial or reputation loss.	2	2	4	A risk assessment would be carried out for each event and shared with key personnel and be part of the Event Management Plan. All third parties booked for events are asked to supply their own risk assessment and a copy of their PLI and any other licenses that they may require.
3.4	Failure of professional services employed by the council or leases of the Council	The council may use unqualified or insufficiently qualified professionals leading to loss.	1	2	2	The council will use properly accredited professionals who have partnered other towns and parishes or appear on approved contractor lists from SLCC or NALC; or have sought recommendation, proposals and quotes from 3 providers for any advice. Advice service from both SLCC and DALC (subset of NALC) regularly used as first port of call for advice. Professionals should have in place professional indemnity insurance. Take up references for all contractors employed by Council if appropriate.
3.5	Loss of Clerk or RFO	The council may be unable to undertake all duties and responsibilities in a way that is compliant with current legislation.	2	3	6	A locum clerk may be available through contact with SLCC or DALC. Other key personnel are aware of major projects and work flows. Processes are slowly being documented and made accessible to all staff and key Councillors.

4. Information Technology

L/S = Likelihood score, I/S = Impact score,

Risk no.	Description	Impact	L/S	I/S	Risk rating	Mitigation
4.1	Business continuity	Loss of Clerk laptop and files would restrict access to documentation.	2	3	6	All files are backed up on a USB drive. **Recommendation:** *Clerk to receive advice regarding secure back up and data management system and storage.* A copy of all leases is held in a fireproof box with the Clerk and with Vine Orchards. A copy of the minutes is maintained as well as copies of approved minutes on the website. **Recommendation:** *Consider a reputable computer contractor.*
4.2	The council risks losing files and data	The council is unable to carry out its business and regulatory requirements.	2	3	6	All files are backed up on a USB drive. **Recommendation:** *Clerk to receive advice regarding secure back up and data management system and storage.* Edge It financial package data is stored with Edge It.
4.3	Access to councils data subject to GDPR by a non-authorised person.	Council data is accessible to non-council staff	2	3	6	Passwords are in place to access computers, datafiles, and finance systems. **Recommendation:** *Consider a data protection policy to cover the management, retention, transfer and disposal of data. An IT policy produced to support this.*
4.4	Accessing full electoral roll data.	An offence may occur if data is not used correctly.	1	3	3	The data is password protected by EDDC and can only be accessed with the authority of the Clerk.

5. Reputational

L/S = Likelihood score, I/S = Impact score,

Risk no.	Description	Impact	L/S	I/S	Risk rating	Mitigation
5.1	Ad hoc provision of amenities/ facilities for events to local community groups	Reputational damage to the council if associated with a dangerous, illegal or immoral activity	1	2	2	Event use of open spaces is booked through the Clerk. Use of the Youth Club is booked through the youth club leader. Risk assessments and copy of public liability insurance by user is provided to the Clerk. No charges are made for bookings for non-commercial organised community events.
5.2	The council does not respond to enquiries from the public.	The council risks reputable damage.	1	2	2	Verbal enquiries dealt with at the time and recorded if considered important. E-mail and other mail dealt with and filed; Clerk and Cllrs to own their inbox and forward all emails to relevant person; Clerk to record a master correspondence list to report to the next full council meeting. ***Recommendation:*** *Consider implementing an auto-response from the Clerk to all email enquiries and log of verbal enquiries.*
5.3	Minutes of meetings are not properly kept.	The council risks reputational damage. Risk of illegality of decisions.	1	2	2	Minutes properly numbered with a master copy signed and kept in safekeeping – both online and hard copy. Resolutions are clearly recorded within the minutes and any appropriate action. Internal Auditor checks on an annual basis.
5.4	The council fails to handle documents correctly.	The council risks reputational damage.	1	2	2	**Recommendation:** *Consider policy in line with GDPR legislation. These cover the management, retention, transfer and disposal of data.* All staff / Councillors to be briefed on their responsibilities in accordance with these policies included in the PCs email usage policy
5.5	Cllrs are unaware of the Council's policy regarding declarations of interests and the receiving of gifts and hospitality.	The council risks reputational damage.	1	3	3	Recording and monitoring members' interests, gifts and hospitality received undertaken by Clerk. Code of conduct, Standing Orders and Financial Regulations are all reviewed annually by Council. New Councillors joining part way through a year/term are all issued with a copy of these key policies. Register with the Monitoring Officer any gift or hospitality with an estimated value of at least £50 within 28 days of its receipt. Register with the Monitoring Officer any significant gift or hospitality that I have been offered but have refused to accept.
5.6	Members (or employees) do	The council risks reputational damage.	2	3	6	Revised code of conduct for Members July 2024 little mitigation can be carried out as a member cannot be forced to resign. Grievance and Disciplinary policy in place and reviewed annually.

	not behave to the standards expected.					**Recommendation:** *Consider a dignity at work policy inline with Civility and Respect pledge signed up to in Sept 2024.*
5.7	Loss of Clerk or other staff	The council risks reputational damage.	2	3	6	A locum clerk may be available through contact with SLCC or DALC. All passwords should change when a member of staff leaves to prevent unauthorised access (eg to social media sites and remote cloud access of documents).

6. Public toilets in Underhill car park

NB: The public toilets are owned by EDDC but run and maintained by Lympstone Parish Council. LPC also has a separate risk assessment written for the public toilets.

L/S = Likelihood score, I/S = Impact score,

Risk no.	Description	Impact	L/S	I/S	Risk rating	Mitigation
6.1	Toilets	Trip hazards causing falls. Wet floors from spills or cleaning causing falls Electrical issues (lighting, hand dryers). Health issues related to hygiene practices.	2	3	6	The public toilets are cleaned on a daily and the contractor will report any issues or damage to the equipment to the Clerk. **Recommendation:** *All electrical equipment will be checked at least annually.*
6.2	Cleaners cupboard	Burns from chemicals	2	3	6	Door locked. Chemicals only used by cleaning contractors who are fully insured/trained in usage.
6.3	Cleaners not attending	Toilets are not in a clean condition and complaints received	1	2	2	If the Cleaner is unable to attend the Clerk is to be notified to arrange alternative cover.
6.4	Vandalism	Toilets are out of use	2	3	6	Main doors automatically lock between 8pm – 8am. CCTV is installed on the external walls to view time of suspected perpetrators.

7. Hub Building Project

Replacement of outdated and beyond repair Youth Club building at Candys Field

Risk no.	Description	Impact	L/S	I/S	Risk rating	Mitigation
7.1	Can't obtain sufficient funds to complete building (£1m +)	Can't proceed with project	3	4	12	Obtain updated note from fundraising consultant that £1m+ funding is available (source, timeline and resources needed to complete funding applications) The governing document for the charity allows donations to be used for a rebuild – so in case insufficient funds could look at a refurbishment (as long as donors agree at time of donation)
7.2	Build costs exceed BOQ (Bill of Quantities)	Insufficient funds available to complete build	3	3	9	Identify additional sources of funding
7.3	Slippage to program (Funding, Build time)	Increased cost and increased down time of existing facility	3	2	6	Ensure high level of program and cost control
7.4	Insufficient resources (Trustees/Employees) to carry out funding, cost control etc)	Unable to complete funding application, control costs, recruit staff needed for future operations	2	3	6	Recruit more trustees (and more staff for running YC)
7.5	Charity can't reclaim VAT	Costs overrun funding levels	2	4	8	Obtain professional advice on reclaim status of charity