RTPI RISK & ISSUE REGISTER - SUMMARY (detailed action plans and controls are included within service delivery dashboards)

Risk/Issue identifier	Risk/Issue	Owner	Service Plan(s)	Date Registered	Category	Risk/Issue Description (the cause, the event and effect/impact)	Risk Response and actions (from service plan)	Probability	Impact	Risk Status	Change to Risk Score	Note on Change
R001	Risk	Chief Executive	Senior Executive Team Action Plan	13-Aug-18	1 - 5 All corporate objectives compromised	Failure to comply with Health & Safety Legislation	Action plan is a standing items on SET and Board agenda	2	5	15		
R002	Risk	Chief Executive	All Service Plans	13-Aug-18	1 - 5 All corporate objectives compromised	Failure to comply with Data Protection Legislation	Data Manager now recruited. All staff had mandatory GDPR training [complete]. Training to be offered to Board members.	3	4	16		
R004	Risk	Head of Marketing and Communications	Communications & Marketing	13-Aug-18	1. Shaping and informing policy and practice	Brand & Reputational damage	Brand strategy to be developed to insure consistency of message.	3	4	16		
R006	Risk	Director of Professional Standards	CEPD	13-Aug-18	2. Knowledge, education and raising standards	Loss of leading position in Education	Regular engagement through the PAP, PSF and individual accreditation panels. KPI to measure the impact. Engagement with chair of the ELLC.	2	5	15		
R007	Risk	Director of Prof Standards & Development	Membership & CEPD	13-Aug-18	3. Championing the planning profession	Chartered Membership Numbers Decline	Comprehensive marketing strategy. Supporting Comms and public affairs team. Partnership strategy. …..	3	5	20		
R008	Risk	Chief Executive	Governance	13-Aug-18	3. Championing the planning profession	Governance: ineffective governance structure and process, Board of Trustees lacks skills and experience, Breakdown in electoral process, lack of engagement in the electoral process - members and GA	Board effectiveness review. Extensive diversity recruitment campaign for the 2018 elections. Strengthening governance resources/team. Rigorous standards implemented and monitored.	2	5	15	↓	Probability reduced from 3 to 2 at BOT Risk Review Nov 2018
R009	Risk	Chief Executive	Nations & Head of English Regions	13-Aug-18	3. Championing the planning profession	Volunteer fatigue and attrition	Volunteers strategy and plan being developed.	2	5	15		
R010	Risk	Director of Commercial & Corporate Services	Commercial & Corporate Service	13-Aug-18	3. Championing the planning profession	Failure to maximise the potential benefits of the CRM/website project	Change readiness consultant appointed. Communication with staff. Training. Data manager role.	2	4	12	↓	Probability reduced from 3 to 2 at SET 21st Jan 2018
R011	Risk	Director of Commercial & Corporate Services	Commercial & Corporate Service	13-Aug-18	3. Championing the planning profession	Business Change - Failure in delivery of 2017/18 major projects (Kaplan/refurb). Resource drain impact on core work	Change readiness project. MPSC oversight for all new projects.	4	4	20		
R012	Risk	Director of Commercial & Corporate Services	Commercial & Corporate Service	13-Aug-18	3. Championing the planning profession	Failure to maintain essential member services.	Preparation of Business continuity plan. Consultant engaged to complete this review	4	4	20		
R014	Risk	Director of Commercial & Corporate Services	Commercial & Corporate Service	13-Aug-18	5. Strong financial and business management	Commercial services do not generate a surplus, commercial opportunities are not realised	Partnership strategy prepared. All commercial contracts reviewed. MPSC scrutiny. Will remain amber until commercial strategy in place, to redress the balance between subscriptions and commercial income (75%/25% respectively). KPI to measure.	4	3	15		
R017	Risk	Head of HR	HR	13-Aug-18	5. Strong financial and business management	Failure to attract and retain colleagues with the right skills and experience	Development of a people strategy. Benchmarking, staff survey, ways of working, reference issue I006	4	5	25		
R019	Risk	Head of ICT	ICT	13-Aug-18	5. Strong financial and business management	RTPI Data assets compromised	Work on business continuity with decrease risk as well as cyber security work.	2	5	15		
I001	Issue	Director of Commercial & Corporate Services	ICT	13-Aug-18	5. Strong financial and business management	Additional costs and delays to the implementation date of the CRM/Website	Weekly working gp, project group meeting, champions, external project management and increase resources.	5	5	30		
I004	Issue	Director of Commercial & Corporate Services	HR	04-Sep-18	5. Strong financial and business management	Above average staff attrition	Benchmark against peer group Enhanced pension offer Staff survey 2019 Pay Award Job evaluation project	3	5	20		
I005	Issue	SET	All	26-Sep-18	5. Strong financial and business management	work load too hight: risk of not prioritising and important urgent things missed or done not at the standards expected	Test issue in staff survey	3	4	16		
I006	Issue	Chief Executive	Governance	08-Oct-18	2. Knowledge, education and raising standards	No immediate suspension process in place for breach of conduct allegations by members (for serious allegations)	written resolution taken to Board as a matter of urgency	5	5	30		
I011	Issue	Finance Director	Finance & Subscriptions	03-Dec-18	1 - 5 All corporate objectives compromised	Delays to investment policy review means that RTPI is holding cash in excess of counterparty risk in investment policy	JR to propose engaging a consultant to work with RTPI board to refresh investment policy and principles at RTPI awayday	5	3	18		
I012	Issue	Chief Executive	Governance	03-Dec-18	1 - 5 All corporate objectives compromised	Currently RTPI Standing Committees are required by regulations to comprise of a majority of GA members. This limits committee chairs in their selection of candidates who would reflect the diversity of the membership and contribute most effectively to the crucial work of committees. Although a third of GA members apply for committee membership it is still less than required to comply with the regulation. The current regulations represent a brake on the effective engagement in the work of the institute by its volunteers.				0		
I013	Issue	SET	SET	03-Dec-18	1 - 5 All corporate objectives compromised	Business continuity issue arising from loss of key personnel. Ongoing issue across a number of services.	Job evaluation review of all roles scheduled for 2019. Pending full evaluation individual business cases considered for individual cases on an exceptional basis			0		
I014	Issue	SET	SET	03-Dec-18	1 - 5 All corporate objectives compromised	Chartered Membership numbers have been static over a number of years. There is an opportunity to grow membership	SET have agreed that Richard Patrick will lead on developing a membership growth strategy			0		