

Impact	Likelihood			
	Low	Moderate	High	Extreme
Extreme	4	8	12	16
High	3	6	9	12
Moderate	2	4	6	8
Low	1	2	3	4

Risk Classification	
Extreme	12 to 16
Medium	6 to 11
Low	3 to 5
V Low	1 to 2

Risk Appetite	Definition
Open	Willing to consider all potential delivery options and choose one most likely to result in success.
Cautions	Preference for safe options that offer low degree of residual risk but may offer limited reward.
Minimal	Choose safe option with low degree of inherent risk.

NATURE OF CHALLENGE										CURRENT STATUS			CJI Risk Appetite & Action planned with target dates
RISK Area	Cause	Impact	Lead Owner	Category: S-Strategic; O-Operational; R-Resourcing; P-Political	Response Treat/ Tolerate	Inherent Scores			Key Controls in place	Residual Scores			
						Likelihood	Impact	Total		Likelihood	Impact	Total	
Risk 1 Reputation: Quality of inspection product.	<p>CJI fails to follow its inspection process in accordance with QMS leading to a flawed inspection product.</p> <p>Insufficient funding to maintain/secure necessary resources to deliver a quality inspection product (e.g. adequate funding for external consultancy support/business support/internal inspection resource).</p> <p>On request, CJI undertakes ex-programme Inspection activity which involves organisations outside or at the boundary of its inspection remit and produces an inspection product which is subject to significant challenge.</p> <p>Ability to undertake on site fieldwork impacts on quality of evidence gathered, report findings and recommendations.</p>	<ul style="list-style-type: none"> Reputational damage to CJI. Loss of criminal justice system, public and political confidence. Inspected bodies decline to accept or implement inspection recommendations; Failure to achieve organisational business objectives; Operation and performance of justice bodies not subject to robust inspection; CJI's independence is perceived to have been compromised/reduced. CJI is subject to legal challenge/significant challenge by inspection participants, CJI experiences resource utilisation and delay in publication of inspection product. 	CI	S O & R	Treat	3	4	12	<ul style="list-style-type: none"> Programme of QMS audits; Annual Review of QMS audit; ISO 9001:2015 certification and annual surveillance audits Regular engagement with FSD/sponsor division, DoJ; Regular stakeholder engagement (formal/informal) Strong networks and relationships with partner Inspectorates in other jurisdictions/other oversight bodies. Due diligence and pre-engagement with inspected bodies where ex-programme work is undertaken to secure agreement and acceptance of CJI's authority to undertake inspection work/make recommendations in line with ToRs. Effective inspection planning and fieldwork carried out following risk assessment and agreement with inspected bodies to ensure health and safety requirements observed onsite. 	2	3	6	<p>Risk Appetite: CAUTIOUS</p> <ul style="list-style-type: none"> SMT monthly reviews and discussions. (ongoing) Inspectors to consider required on site fieldwork and health and safety risks for each inspection and discuss with CI and DCI at planning stage and throughout inspection stages. RQIA advice to be followed on CSU on site fieldwork. ISO reaccreditation options to be discussed with assessor. If required, increased time allowed for research and scoping of inspection reports/review ToRs by Inspectors undertaking large thematic with further discussion with CI and DCI to enhance clarity and inspection parameters.
Risk 2 Reputation: CJI's Relevance to/within the CJS.	<p>Alteration of normal working practice during Coronavirus Covid-19 public health pandemic (inspection fieldwork) leads to:</p> <ul style="list-style-type: none"> Timeframes for completion of inspection fieldwork increases; Fewer inspection reports scheduled/completed per annum; Inability to adequately conduct Ministerial/organisation request in addition to planned work; Unable to adequately inspect places of detention and fulfil NPM responsibilities <p>FAC and permission to publish process become protracted leading to delays in publication of inspection reports.</p> <p>Limited coverage of published reports lessens public awareness of inspection findings.</p>	<ul style="list-style-type: none"> Relevance of inspection findings and recommendations is reduced and public confidence in CJI is lost. CJI is not viewed as an effective inspection body. Inspected organisations decline to adequately engage and support the inspection process; Operation and performance of justice bodies not subject to robust inspection; NPM responsibilities not met. Delivery of business plan objectives is compromised. CJI's ability to influence change and drive improvement within the CJS is diminished. Lack of face to face inspection fieldwork & on-site visits negatively impacts on completeness of findings. 	CI/CE & BCM	S, O & R	Treat	2	3	6	<ul style="list-style-type: none"> Regular SMT reviews and updates; Completion of Inspection Programme Tracker and communication with PS/Private Office of DoJ/Minister of Justice; SLAs/MoUs established with inspected bodies/orgs; Flexibility of the inspection programme Consideration and allocation of inspection resourcing; Risk-based approach to Follow-Up Reviews; 2020-23 Corporate Plan in place, annual Business Plan inc. 2020-21 Inspection Programme and commencement of new Inspection work. Continued publication of completed Inspection reports during Coronavirus Covid-19 pandemic. Use CJI social media platforms; video messages; e-zine and key facts documents to raise awareness of reports. Pro-active early engagement with media and other stakeholders to promote coverage & discussion around inspection findings and recommendations. Development of CJI Recovery and Sustainability Plan and risk assessments. Engagement at leadership level with inspected orgs and Individual risk assessment to plan and progress fieldwork in safe and comprehensive way. Working arrangements to be kept under review and reflect public health agency guidance. Use of technology to support business needs. Mid-Yr Review of progress against 2020-21 Business Plan Objectives and Targets 	1	3	3	<p>Risk Appetite: CAUTIOUS</p> <ul style="list-style-type: none"> SMT monthly meetings (ongoing); Chief Inspector's contact with Inspected bodies (ongoing); Progression of the 2020-21 Inspection Programme (ongoing); PDP (mid/end of year reports-completed April & Oct each year); CJI Communication activity (ongoing). Updating and delivery of CJI recovery and sustainability plan
Risk 3: Delivery: Resilience and sustainability of CJI	<p>Flat cash or reduced budget allocation impacts on CJI's ability to conduct comprehensive inspection programme; meet its business plan and contractual obligations; maintain good corporate governance/financial and information management practices (e.g. NPM responsibilities/GDPR requirements) and maintain sufficient staffing levels.</p> <p>Timeliness of succession planning, recruitment and staff replacement.</p>	<ul style="list-style-type: none"> CJI fails to meet its legislative requirements or adequately protect/process information. Adequate financial probity re use of public money is not maintained. Risk of fraud. CJI annual accounts are qualified. CJI's status as a UK NPM is revoked. CJI is subject to legal challenge re corporate governance practices. CJI inspection programme development is constrained by insufficient budget 	CE	S & O	Treat	3	4	12	<ul style="list-style-type: none"> Increased contact (formal/informal) with sponsor division DoJ to raise awareness of risk and impact of insufficient budget allocation for 2021-22; Seek clarity around CJI financial allocation from DoJ sponsor division and/ or Access to Justice Director and if required request additional funding; Regular Quarterly Oversight meetings with sponsor division DoJ; Business Case for additional resources approved – subject to available funding; Effective ARAC oversight and positive internal audit report and external audit completed. 	2	3	6	<p>Risk Appetite: CAUTIOUS</p> <ul style="list-style-type: none"> SMT monthly meetings (ongoing); Quarterly Oversight Meetings with DoJ sponsor division (ongoing); ARAC meetings (x4 per financial year) (ongoing); CI/DCI to maintain contact with individual staff members (ongoing);

	<p>Illness of staff delays progression/publication of inspection reports.</p>	<p>allocation (reduced or flat cash), which effects CJI's independence.</p> <ul style="list-style-type: none"> • CJI unable to fulfil Business Plan objectives re delivery of the planned inspection programme. • Relevance of inspection findings and recommendations is reduced and public confidence in CJI is damaged. 						<ul style="list-style-type: none"> • Engagement with DoJ Security/Information Management Fora; • Regular engagement with staff (formal/informal) to enable effective internal workforce planning. • Workforce plan to effectively manage staff issues incorporating early engagement with DoJ sponsor division. • Two inspectors recruited. 				<ul style="list-style-type: none"> • Funding bid to resource approved business case from April 2021 secured.. • Actively pursue Business Case funding commitment from DoJ to maintain current Inspector Team staffing levels from April 21 onwards. • Impact of flat cash 21/22 settlement on ability to complete requested and programmed inspections emphasised to sponsor team.
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