

## Appendix 2

Risk Register														
TB Badger Control Project														
Risk number	Title	Description	Consequence	Current likelihood	Current impact	Current risk rating	Mitigation	Residual likelihood	Residual impact	Residual risk rating	Risk Owner	Contingency	Raised	Status
1	Legal challenge brought	A likely legal challenge to a policy decision on culling	1.Delayed implementation 2. DEFRA reputation damaged	H	H	H*	1.Process in place to ensure all evidence and options are presented to Ministers. 2. There is an audit trail. 3. Early and close working with lawyers to identify and consider all potential legal issues. 4. Examine/learn from the Welsh legal challenges	H	H	H*	X	Use current information/knowledge on the potential legal challenges	15-Jun-10	Open
2	Legal challenge upheld	The upholding of a legal challenge to a decision on culling	1.No implementation. 2. DEFRA reputation damaged. 3. Farmers unable to apply for licenses and therefore cull not permitted to take place.	M	H	H*	1.Process in place to ensure all evidence and options are presented to Ministers. 2. There is an audit trail. 3. Early and close working with lawyers to identify and consider all potential legal issues. 4. Examine/learn from the Welsh legal challenges	M	H	H*	X	Use current information/knowledge on the potential legal challenges	15-Jun-10	Open

Risk number	Title	Description	Consequence	Current likelihood	Current impact	Current risk rating	Mitigation	Residual likelihood	Residual impact	Residual risk rating	Risk Owner	Contingency	Raised	Status	
3	Complaint to Bern Convention Standing Committee upheld	1. A complaint is made to the Bern Convention Standing Committee that the proposed action is in breach of the Bern convention; and  2. the complaint is upheld	1. Delayed or no implementation  2. DEFRA reputation damaged	M	M	M	1. Process in place to ensure all evidence and options are presented to Ministers.  2. There is an audit trail.  3. Early and close working with lawyers to identify and consider all potential legal issues.  4. Examine/learn from the Welsh legal challenges  5. Keep Bern informed of developments	M	L	M	X				
4	Local area delivery	Failure to identify a mechanism to ensure local area delivery of the policy on the ground	Criteria not met to enable any licences to be issued therefore no actual culling	M	H	H	Early and close working with the industry and NE to determine a workable mechanism	M	M	M	X	Consider currently known options with the NFU and NE preferred criteria	15-Jun-10	Open	
5	Local area capacity	Resources not available at local level (industry) to operate a cull or vaccination strategy. The stricter requirement for vaccination will be affected by the lack of vaccinators.	No delivery of a cull. The programme of vaccination will be affected detrimentally and will cause further delay to the cull.	H	H	M	Early and close working with the industry	L	L	L	X	Take into account current knowledge of how the industry see a cull working and the vaccination strategy working. FERA will have responsibility for training more vaccinators	02-Jul-10	Open	
6	Industry acceptance	Failure to get industry acceptance and potential costs for a cull if industry partnership the preferred route	No delivery of a cull	M	M	M	Early and close working with the industry	M	M	M	X	Take into account current knowledge of how the industry see a cull working	15-Jun-10	Open	
7	Disagreement on evidence base	No shared understanding on the evidence base	Conflicting messages given to Ministers	M	H	H	Engage early with those in key advisory positions in DEFRA and its Agencies.	M	H	H	X	Be prepared to set out for Ministers where agreement can not be sought and the reasons behind this.	15-Jun-10	Open	

Risk number	Title	Description	Consequence	Current likelihood	Current impact	Current risk rating	Mitigation	Residual likelihood	Residual impact	Residual risk rating	Risk Owner	Contingency	Raised	Status
8	Project resources-core DEFRA	Insufficient resources - staff and time - to deliver to a very tight timescale	Slippage to tight time scales resulting in delayed implementation	H	M	M	1. Early planning of work and forewarning to those involved 2. Prioritisation of resources 3. Obtaining additional resources when required	M	M	M	X	Investigate options for extra resources	15-Jun-10	Open
9	Project resources-DEFRA family	Insufficient resources to deliver a cull (e.g. Staff available to assess licence applications)	1. Slippage to tight time scales for a cull to commence	H	H	H*	1. Early planning of work and forewarning to those involved 2. Identification of key milestones to enable cull delivery 3. Prioritisation of resources 4. Obtaining additional resources when required	M	M	M	X	Investigate options for extra resources	15-Jun-10	Open
10	Public acceptance	Strong public opposition to the policy	Could delay or stop policy development and delivery	H	H	H*	1. Proactive communications 2. Local area understanding	H	M	H	X	Be prepared to acknowledge outcome of consultation	15-Jun-10	Open
11	Political will	A change in political will	Change in the package of measure to control TB	L	M	M	Regular contact with the Ministerial Office and ensure sufficient meetings in Ministerial calendar	M	L	M	X	Be prepared to revise plans	15-Jun-10	Open
12	Welsh Legal Challenge	Legal challenges to the Welsh Pilot culling	The outcome if upheld may delay or stop the project	M	H	H	Awareness of grounds and dates of Welsh legal proceedings. Early planning of options if legal challenges upheld.	M	M	M	X	Proceed with project keeping close liaison with the Welsh on significant issues that we need to be considered	15-Jun-10	Closed

Risk number	Title	Description	Consequence	Current likelihood	Current impact	Current risk rating	Mitigation	Residual likelihood	Residual impact	Residual risk rating	Risk Owner	Contingency	Raised	Status
13	Security	Security risks to staff and farmers	May delay implementation	M	M	M	Early engagement and planning with DEFRA Security and the Home Office to ensure security procedures in place for ways of working and early comms planning with farmers and local police forces. Awareness of security issues experienced by the Welsh.	M	L	L	X	Understanding and awareness of security measures.	15-Jun-10	Open
Long term post project risks														
15	Illegal Culling	An increase in illegal culling in areas not within the early cull areas	An increase in TB could be seen in areas where illegal culling	H	M	H	Engagement with the Home Office and Wildlife Crime Unit on procedures to follow. Engagement with NFU on likelihood	L	L	L	X	Current procedures in place to deal with illegal culling	15-Jun-10	Open
16	An increase in herd breakdowns	An increase in herd breakdowns in cull or areas surrounding a cull	A stop to culling, revoking of licences. A need to defend rational behind project. Defra's reputation damaged	M	H	M	Ensure policy is based on evidence and all options presented to the Minister to inform his decision. Ensure other TB control measures are in place and being adhered to. Ensure suitable monitoring is in place. Plan an appropriate exit strategy.	L	L	L	X	Delay licences if not confident of positive effect of culling	15-Jun-10	Open

Risk number	Title	Description	Consequence	Current likelihood	Current impact	Current risk rating	Mitigation	Residual likelihood	Residual impact	Residual risk rating	Risk Owner	Contingency	Raised	Status	
17	Civil action being brought by those adversely affected by culling in areas adjacent to cull areas	Potential increase in cattle herd breakdowns due to perturbation of the badger population on the edge of the cull area	1)A stop to culling, revoking of licences. 2)Legal action taken by those affected would not only have reputational consequences but may have financial implications. 3)A need to defend rational behind project. Defra's reputation damaged	H	H	H	1).Set licence criteria in line with science (size of area, boundaries). 2).Early and close working with lawyers to identify and consider all potential issues. 3).Engage with landowners/farmers in neighbouring areas	L	L	L	X		Be prepared to handle	02-Jul-10	Open
18	Negative and adverse publicity concerning the free shooting and trapping of non target species.	Increase in negative publicity from local and national press. Decrease in public acceptance of the policy. Potential for legal action to be taken	A need to defend rational behind project. Defra's reputation damaged	M	M	L	1)Early and close working with the industry. 2) Ensure other TB control measures are in place and being adhered to. Ensure suitable monitoring is in place. 3) Work closely with the Press office to issue positive communications.	M	M	L	X		Be prepared to handle	25/10/2010	Open
19	Habitats Regulations Assessment	To seek the view of the European Commission on IROPI in relation to possible effects on priority species.	Could delay the announcement of the policy	M	H	H	Preliminary engagement with UKRep and the Commission. Legal advice on wording to avoid delaying an announcement of Commission responses takes a while	M	M	M	X		Not requiring commission view	31/12/2010	Open
20	Consultation summary and responses	Although progressing well there is a risk of losing current FSR staff	Could delay the announcement of the final decision on badger control.	M	M	M	More resource to replace those that have moved on	M	M	M	X		Be prepared to handle	17/11/2010	Open

## Guidance for completing the PPM risk register template

(Note: for guidance on printing, see the end of these notes.)

<b>Risk</b>	Something happening that may have an impact on the achievement of the objectives of the Programme, Project or on-going Function (hereby referred to as Activity). It includes risk as an opportunity as well as a threat.
<b>Risk register title</b>	The title for your Activity.
<b>Version</b>	The date on which the register was revised.
<b>Risk number</b>	A unique sequential reference number for each risk.
<b>Title</b>	A brief descriptor for the risk.
<b>Description</b>	Details of the nature of the risk - what it involves; what you are concerned about.
<b>Cause</b>	<p>The source of the risk. This may be a trigger that would cause the risk to materialise.</p> <p>An understanding of the source helps you to keep an eye in the right place, to see if the risk is about to happen. This can help with early warning or escalation.</p>
<b>Consequence</b>	<p>This is what happens when a risk is realised. You should consider the impact on time, cost and quality, in the context of what your Activity will deliver. You should consider wider consequences (e.g. financial, legal, social, environmental and reputational).</p> <p>Your assessment of the consequences will feed directly into your assessment of the Current and Future impact (see later).</p>
<b>Objective affected</b>	This answers the 'Risks to what?' question. Flag the objectives in your activity that would be affected by this risk. If there is a direct influence on a DSO or PSA, flag this.
<b>Current likelihood</b>	<p>A qualitative description of the probability or frequency of the risk occurring, based on your current knowledge and the current controls that are in place.</p> <p>Four options are available, ranging from very low to high. Depending on the duration of your Activity, you may want to develop specific definitions. Use the following as an opening guide:</p> <p><u>High</u>: very likely (significantly greater than 50:50 chance). The risk is very likely to occur this year or at frequent intervals in the foreseeable future (say the next 18 months to 3 years).</p> <p><u>Medium</u>: likely (around 50:50 chance). The risk is likely to occur this year or more than once in the foreseeable future (say the next 18 months to 3 years).</p> <p><u>Low</u>: possible (significantly less than 50:50 chance). The risk may occur this year.</p> <p><u>Very Low</u>: very unlikely to occur this year; unlikely to occur in the foreseeable future (say the next 18 months to 3 years).</p>
<b>Current impact</b>	<p>The severity of the risk occurring, in terms of its effect on the objectives or delivery of your Activity.</p> <p>Four options are available, ranging from very low to high. Depending on the nature of your Activity, you may want to develop specific definitions. Use the following as an opening guide:</p> <p><u>High</u>: huge financial loss or budgetary over-run; death or significant public health concerns; key deadlines missed; very serious legal concerns (e.g. high risk of successful legal challenge, with substantial implications for the Department); major environmental impact; loss of public confidence.</p> <p><u>Medium</u>: major financial loss or budgetary over-run; some public health effects; deadlines need to be renegotiated with customers; potentially serious legal implications (e.g. risk of successful legal challenge); significant environmental impact; longer-term damage to reputation.</p> <p><u>Low</u>: medium financial losses; minor or reversible health effects; local reprioritising of delivery required; minor legal concerns raised; minor impact on the environment; short-term reputation damage.</p> <p><u>Very Low</u>: negligible financial, public health, delivery, legal, environmental or reputational effects.</p>
<b>Current risk rating</b>	<p>The classification given to a risk, based on its likelihood and potential impact, as per the matrix below.</p> <p>Five categories are available, ranging from Very Low to H*.</p> <p>The H* category is reserved for those risks that have both a high likelihood and a high impact. This value is automatically calculated by your entries under 'Likelihood' and 'Impact'.</p>

	H	M	M	H	H*
L	M	L	M	M	H
k	L	VL	L	M	M
e	VL	VL	VL	L	M
l		VL	L	M	H
i					
h					
o					
d					

Impact

<b>Countermeasure</b>	The current measures or controls you have in place to contain a risk or reduce it to an acceptable level, or the actions that need to be taken to address the risk. This should include the steps you will take to escalate the risk if its impact and likelihood are too great for you to deal with. These should indicate who needs to do what, by when. A brief note on how your attempts to address the risk are progressing. This should provide some context for the RAG rating.
<b>Residual likelihood</b>	Not all risks can be eliminated. Some level of exposure to risk remains. Describe the likelihood of the risk occurring <i>after</i> the controls and actions have been taken or set in place - and are effective. Use the same definitions as for 'Current likelihood'.
<b>Residual impact</b>	Not all risks can be eliminated. Some level of exposure to risk remains. Describe the impact that would remain <i>after</i> the controls and actions have been taken or set in place - and were effective. Use the same definitions as for 'Current impact'.
<b>Residual risk</b>	The classification given to a risk, based on its residual likelihood and residual impact. This reflects the level of risk that remains <i>after</i> the controls and actions have been taken or set in place and are effective. This value is automatically calculated by your entries under 'Residual Likelihood' and 'Residual Impact'. If this level of risk is seen as unacceptable, additional controls or actions will need to be identified.
<b>RAG</b>	This is shorthand for Red-Amber-Green. This is a flag to indicate what progress is being made in tackling this risk and moving it down to the target or acceptable level of risk. It does not simply replicate the risk rating (i.e. high-risk doesn't always mean Red). Use the following definitions: Red: Stop - the approach to addressing this risk is considered to be poor, becoming critical. This may be because there is no coherent action plan prepared or the actions that have been taken so far seem to have had insufficient impact on the risk or a critical point is looming and decisive action is necessary to avoid serious problems, external criticism or funding being withheld. Amber: Caution - the approach to addressing this risk is currently sitting between fine and poor. A good action plan has been prepared and is being implemented. The actions are currently containing the risk, rather than reducing the level of threat. There is still a significant likelihood that this risk could 'go wrong' very easily – there may be changing external circumstances or there may have been little time for the impact of the actions to 'kick in'. Some critical deadlines are on the horizon and important progress needs to be made relatively quickly. Green: Proceed - the approach to addressing this risk is considered to be fine. A comprehensive action plan has been prepared and the risk is responding to early actions that have already been taken. Good performance monitoring information is in place to give early warning of problems with this risk. There may be a lengthy period before critical points are reached.
<b>Risk owner</b>	The person who is accountable for the risk being addressed effectively.
<b>Contingency</b>	An action or arrangement that can be put in place to minimise the impact of a risk that has occurred. This is your 'Plan B', if the risk actually materialises. Please consider if the contingency needs to involve escalation to someone else.
<b>Raised</b>	The date when the risk was first raised. The person who raised the risk.
<b>Status</b>	If the risk is live, and it could affect your activity, it is described as 'Open'. If the risk has been effectively dealt with and is no longer a concern, it is described as 'Closed'. The suggestion is that 'Open' and 'Closed' risks should be kept on separate worksheets in the same workbook.
<b>Printing guidance</b>	There's nothing worse than a risk register that has to be printed out in such small font that it becomes very user unfriendly. Before you print out your register, it is recommended that you sort it, for example by 'Current Risk Rating' or 'Residual Risk Rating' or 'RAG'. There may be occasions when a summary of the register would be helpful. To do this in Excel, you can select a limited portion of the register to print, using the 'Print Area' option from the 'Page Layout' tab.

# Issue Log

## TB Badger Control Project

Issue number	Title	Description	Consequence	Current impact	Mitigation	Issue Owner	Raised	Status
1	State Aid	Before any monies are paid out we need to get State Aid Clearance	Unable to pay monies for delivery	H	Work closely with Y as options develop to ensure clearance to achieved in time for delivery	X	12/10/2010	Open
2	Welsh legal Challenge	Legal challenges to the Welsh Pilot on culling	The outcome if upheld may delay or stop the project	H	Awareness of the grounds and dates of Welsh legal proceedings. Early planning of options if legal challenges	X	15/07/2010	Closed
3	liabilities concerning buffers and boundaries	Identifying the liabilities to government and farmers regarding the disbenefits in non participant areas (including neighbouring areas)	Potential legal challenge. The delay/postponement or the prevention of policy implementation.	M	Seek legal and ministerial advice as early as possible	X	07/09/2010	Open
4	Coordinating culling and vaccination policy with WAG	Ensure approaches to vaccination policy are coordinated with development of policy on culling and vice versa. Interdependence of licence conditions has a significant impact on the delivery of the policy as a whole	Mixed messages from Government on how culling and vaccination might be used in combination; ineffective use of the two control measures in combination.	M	Culling and vaccination policy teams to liaise to ensure approaches are coordinated	X	18/10/2010	Open



5	Timetable for IA	Impact Assessment requires sign-off by the Reducing Regulation Committee which require a 3 week review by the Regulatory Policy Committee after Chief Economist sign-off. This means that the Chief Economist will need to sign-off the Impact Assessment before the MoS. has taken decisions on all aspects of the policy.	1. IA is inconsistent with the final policy decision. 2. Resource is tight to complete all work to the deadlines.	H	Base IA on MoS. early steers, ask for steer on outstanding issues before final policy submitted to MoS. Set out clear timetable for all involved to plan and prioritise workload to fit with busy period for IA. Send draft versions to reviewers to prepare for final review and cut down review time.	X	17/11/2010	Open
6	Delivery of costs and local law enforcement guidelines by Home Office and ACPO	Lack of resources to provide accurate cost of police resources and guidelines in the event of protest or criminal activity by Animal Rights or related organisations	Insufficient funds available to police activities. Delay in culls. Possible threat to participating farmers and their families and delivery agents	H	Continued engagement with ACPO and Home Office. Work closely to ensure continued resource of policing any protest activity is monitored and costed. Ensure consistency of advice through forces	X	15/11/201	Open