## Appendix 6 – Risk Mitigation Framework – Template

### Guidance Notes on Using the Framework

1. **Column A**: Statements to be assessed.
2. **Column B**: Indicate the score and risk level of each statement by selecting the level of risk from the dropdown list. Please use the following criteria:
* **1 – LOW:** Minor or insignificant risk. Not a concern
* **2 – MODERATE:** Moderate risk. Not a significant concern with the appropriate mitigation measures**.**
* **3 – HIGH:** High risk. High concern but appropriate mitigation measures are possible**.**
* **4 – MAJOR:** Major risk. No mitigation measures possible**.**
* **N/A:** Not Applicable**.**
1. **Column C**: Write a clear and succinct justification for the assessment of eachstatement.
2. **Column D**: For statements checked as moderate or high risk, indicate, if applicable, a feasible risk control measure that can mitigate the risk.

**Example**

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|  |  |  |  |
| --- | --- | --- | --- |
| 1. **RISK CRITERIA**
 | **B. RISK ASSESSMENT** | **C. JUSTIFICATION OF ASSESSMENT** | **D. RISK MITIGATION MEASURE** |
| *EXAMPLE: Risk of upcoming city elections and/or state elections.* | **1 - Low** | *The next city and state elections are scheduled for 2022.* | *NA* |
| *EXAMPLE: Risk of project being opposed by civil society* | **3 - High** | *In the past, groups of activists have fiercely opposed the planning and implementation of cycling infrastructure in other parts of the city. These groups succeeded in putting a halt to a previous cycling highway project being planned. Many of these groups are powerful and often co-opted by politicians. This is a high risk, however there are potential mitigation measures.*  | * *A careful assessment in order to understand why these particular groups have opposed and put a stop to the previous cycling highway project will be carried out.*
* *An effective civic communication strategy will be devised to showcase the overall potential benefits and positive impacts of a cycling highway.*
 |

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| 1. **RISK CRITERIA**
 | **B. RISK ASSESSMENT***Please select the score and level from the* ***drop-down list*** | **C. JUSTIFICATION OF ASSESSMENT***Please indicate the reason for the assessment and level of risk* | **D. RISK MITIGATION MEASURE***Please indicate a mitigation or potential risk control measure if MODERATE or HIGH was selected in column B. Indicate whether YOUR support can mitigate this risk. Please indicate any other comment.*  |
| --- | --- | --- | --- |
|  **POLITICAL & REGULATORY RISKS** |
| 1. Risk of upcoming city elections and/or state elections that may have implications for city or local-level political stability, over the next two years.
 |  |       |       |
| 1. Risk of local government and/or city authorities lacking a commitment to transparency and integrity (e.g. Corruption events in the recent past in the current city government or amongst city officials involved in the project).
 |  |       |       |
| 1. Risk of the occurrence of a political event or events driven by civil society that may have a significant impact on the project.
 |  |       |       |
| 1. Risk of withdrawal of political support from the Mayor / city council.
 |  |       |       |
| 1. Risk of project being opposed by civil society.
 |  |       |       |
| **SOCIOECONOMIC & CULTURAL RISKS** |
| 1. Risk of the project contributing to the discrimination of certain groups and/or failing to incorporate concerns for the particular needs of the most vulnerable populations and disadvantaged groups (people with disabilities, indigenous and ethnic groups; women and children) in its design and implementation
 |  |       |       |
| 1. Possible impacts of the project deriving from cultural and livelihood disturbances (e.g. implementation on contested or ancestral lands, project resulting in voluntary or involuntary displacement of local residents, or residents around the project implementation area, impact arising from local customs, religious beliefs, ancestral traditions, either in short or long-term).
 |  |       |       |
| 1. 8. Risk that project will not incorporate and/or take into account processes for rights of consultation and consent, as well as grievance mechanisms for vulnerable populations and disadvantaged groups (people with disabilities, indigenous and ethnic groups; women and children) as well as for civil society organizations, and human rights defenders.
 |  |       |       |
| 1. Risk that the project will fail to ensure basic labor rights as well as human rights standards and principles during its planning, implementation & operation.
 |  |       |       |
| **ENVIRONMENTAL & CLIMATE RISKS** |
| 1. Risk of possible negative environmental and/or climate change impacts of the project on human health, ecosystems and their services, on soil, water, air and the landscape; and/or biodiversity.
 |  |       |       |
| **FINANCIAL RISKS** |
| 1. Risk that the CFF TA support will not be able to find suitable financial models that meet the CFF principles of operation, provide good value to the city and allow for the sustainable implementation and operation of the project.
 |  |       |       |
| 1. Risk that climate resilience components of the project will not be affordable for the city under a viable financial model developed through the CFF TA support.
 |  |       |       |
| **TECHNICAL RISKS** |
| 1. Risks arising from lack of local skills and know-how, as well as available technology or infrastructure, to plan and implement the specific features of the project.
 |  |       |       |
| 1. Risks that a CFF capacity development programme in the city will not have the desired impact on the city’s future ability to deliver the project.
 |  |       |       |
| 1. Risk that the features and components of the project are not compatible with local conditions such as climate, meteorological, physical conditions etc.
 |  |       |       |
| **PROJECT MANAGEMENT & COOPERATION RISKS** |
| 1. Risk arising from the political responsibilities, mandates or agreements with other government entities needed to deliver the project.
 |  |       |       |
| 1. Wider risks to the CFF mission, operations, and principles of operation as well as future funding and public perception.
 |  |       |       |

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**OVERALL COMMENTS:**