

ICIMOD Risk Management Strategy

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1. Introduction

In its new strategic framework, ICIMOD pays particular attention to achieving results and impact through the generation and application of high quality science in transdisciplinary ways. For this purpose, a matrix management structure has been introduced through a change management process, which is to be evaluated and addressed on a continual basis as an ongoing management responsibility. At the same time, ICIMOD has grown very fast in terms of financial resources, whereby more than 40% of funds are being spent by partners through a robust partnership mechanism. Such rapid changes and ambitious targets bring greater risks, but they also present opportunities for innovation and learning.

As ICIMOD's visibility and competitiveness increase, so do the risks related to achieving quality results and cutting-edge, innovative science. Moreover, regional member countries, donors, and other stakeholders have called for increased accountability in terms of the delivery of results and the systematic management of risks to minimize chances of failure.

The Centre aims to contribute to development impact through the achievement of concrete outcomes that go beyond the direct influence of its programmes, often entering into the areas of influence of the Centre's partners. However, in a context where many actors and factors play important roles, ensuring programme activities contribute to positive impacts becomes more challenging, and attribution of these impacts can be difficult.

What is Risk?

Oxford English Dictionary defines risk as “a situation involving exposure to danger” or “the possibility that something unpleasant or unwelcome will happen”. For ICIMOD risks are those situations which have the potential to negatively impact the achievement of activities, processes, results, and beyond.

2. Risk Management Strategy Objectives

Risk management is defined as a systematic plan for identification, assessment, implementation, and communication of risks. The objectives of the ICIMOD Risk Management Strategy are as follows:

- To help the management of ICIMOD plan and allocate resources strategically and be vigilant of major threats to the organization and its mission;
- To identify, assess, and plan for major risks at institutional, programme, and initiative levels with clear responsibilities; and
- To improve understanding, monitoring, and reporting of risks at different levels.

3. Types of Risks

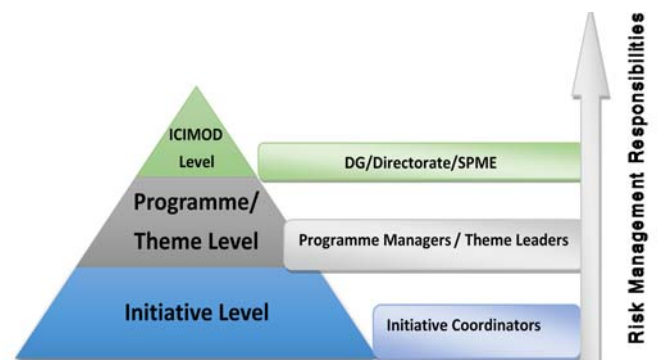
Risks are categorized into two major types – internal risks and external risks. Internal risks are factors and conditions largely within the influence of the organization, programmes, and initiatives that may hinder success, such as corruption, human and financial resource capacity, management capabilities, incentive structures, accountability and transparency, ownership, and motivation of staff.

External risks are conditions outside the influence of the institution, programmes, and initiatives that could have a negative influence on the achievement of results and beyond. External risks could be related to political, institutional, economic, environmental, social, or technological conditions.

4. Levels of Risk Management at ICIMOD

ICIMOD’s Risk Management Strategy will address risks at institutional, programmatic, and initiative levels. The major responsibility of risk management at the institutional level lies with the Director General and his team. Regional Programme Managers and Thematic Leaders are responsible for programme-level risks, and programme coordinators have responsibilities of initiative-level risk management.

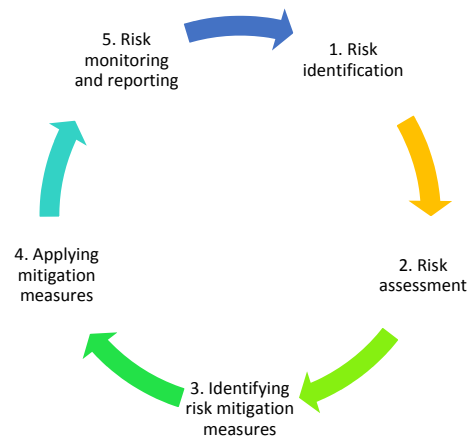
Figure 1. Risk Management Responsibilities



5. Risk Management Cycle

The risk management cycle must be built around the project management cycle. During the project design stage, risks are identified and assessed. Risk mitigation measures should be part of implementation strategies so that these measures are implemented during the execution of the programme. Hence monitoring and evaluation will take care of various risk implementation strategies.

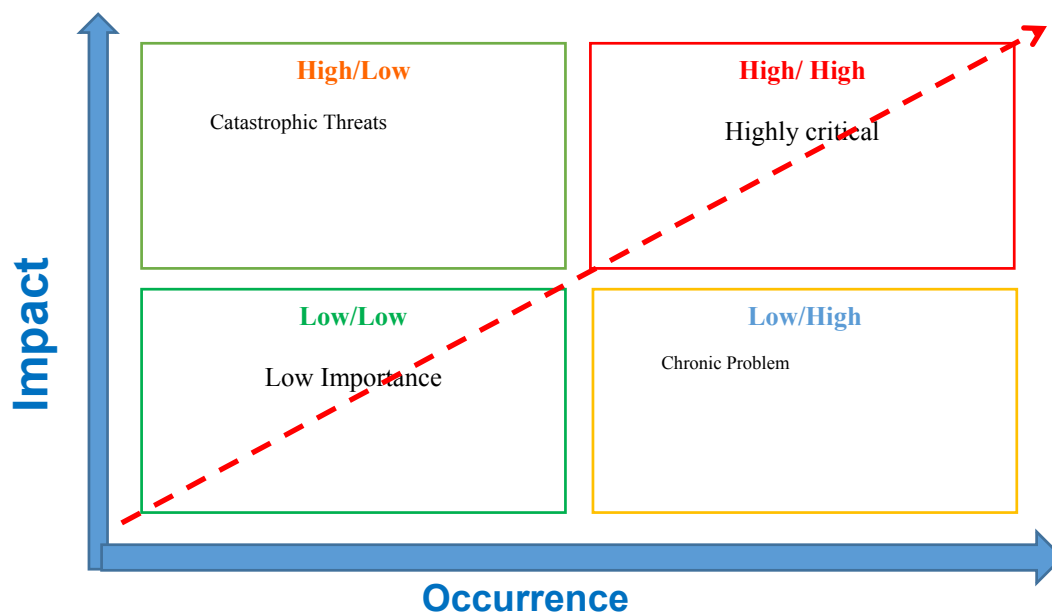
Figure 2. Risk Management Cycle



6. Risk Assessment Matrix

Risks are analysed in two ways, first in terms of impact and second in terms of occurrence. The following matrix provides a brief description of risk assessment. It shows that risks with high probability of occurrence and high impact on results need greater attention in terms of robust planning and a strong mitigation strategy.

Figure 3. Risk Assessment Matrix (adapted from UNSECO Training Manual)



7. Monitoring and Reporting Risks

Risks at programme and initiative levels will be reviewed on a quarterly basis as part of the organization's regular review process. Institutional-level risks will be reviewed on yearly basis and will be reported to the ICIMOD Board of Governors.

8. Major risks at the Institutional Level

Major risks	Assessment Impact (I) & Occurrence (O) (Low, Medium, High)	Mitigation measures
External risks		
Reputational risks: Sensational, speculative, and baseless statements about ICIMOD by individuals, media, and competitors	I (M), O (L)	ICIMOD is fully aware of such situations and is taking precautionary steps like developing relations with mainstream media and engaging with well-reputed media persons from the region. At the same time, ICIMOD makes clear statements on its website about engagements with individuals and organizations.
Partners' capacities and management systems: Partners are unable to deliver according to expectations, leading to unsatisfactory results	I (H), O (M)	ICIMOD's partnership management system, including the selection process, is being improved, and staff are being trained on partnership-building techniques. ICIMOD will provide trainings in financial management and monitoring and evaluation to its key implementing partners.
Major policy shifts in member countries towards ICIMOD and mountain issues might create big challenges such as less ownership of ICIMOD	<u>I (H), O (L)</u>	ICIMOD is further strengthening its RMC engagement strategy and has been engaging with relevant strategic and policy institutions with the goal of mainstreaming mountain issues in national development policies, such as National Planning Commissions and policy think-tanks

<p>Major core and programme donors shift their priorities from the Hindu Kush Himalayas to other regions or other topics (regional issues and climate change)</p>	<p><u>I (H), O (L)</u></p>	<p>ICIMOD has to demonstrate that its work makes an impact beyond regional boundaries. It should utilize its robust institutional mechanisms for quality assurance and monitoring mechanisms to deliver results and impacts. The ICIMOD Support Group (ISG) is helping ICIMOD to secure long-term strategic funding. Meanwhile, ICIMOD is continuously diversifying its core and programme funding sources to minimize such risks.</p>
<p>Political uncertainty, disasters, and security issues in regional member countries pose risks for effective programme implementation</p>	<p><u>I (M), O (M)</u></p>	<p>ICIMOD's strategic planning process is being strengthened to cope with uncertain situations. Country focal points are being trained to stay alert and well-informed about the developments in the respective countries, and to coordinate effectively with the respective line agencies and partners. ICIMOD requires some flexibility to take rapid action and refocus programmes when faced with unforeseen situations. To avoid such situations, regular security advisories are issued to staff.</p>
<p>Internal risks</p>		
<p>ICIMOD's reputation could be tarnished by low-quality output.</p>	<p><u>I (H), O (L)</u></p>	<p>ICIMOD is further strengthening monitoring and quality assurance processes at the partner level. Similarly, knowledge products and processes are being enhanced to capture success stories and effectively disseminate them. These efforts are aimed at ensuring high-quality outputs.</p>
<p>Less relevance and poor linkages of ICIMOD work to policy and national priorities: ICIMOD's work is not relevant and/or not linked to national policy making</p>	<p><u>I (H), O (L)</u></p>	<p>ICIMOD programmes are developed in extensive consultation with partners' needs and linked to country priorities. ICIMOD ensures that policy makers are involved in the programme right from the start. It is making conscious efforts to engage with</p>

		national planning commissions and other equivalent bodies in its member countries.
<p>Rapid growth and fund absorption: Rapid funding growth in a limited time can pose risks for the proper utilization of funds and delivery of quality output.</p>	<u>I (M), O (H)</u>	<p>ICIMOD is taking a cautious approach to the further expansion of its income base and operations. It is focusing more on increasing the quality of programme delivery to make necessary impact, and new funding opportunities are being thoroughly evaluated on that basis. However, opportunities for wholly unrestricted funds are being given due consideration. To address the issue of fund absorption, the organization has planned to add staff positions and hire appropriate consultants. Similarly, it regularly follows up with partner organizations to ensure timely liquidation of programme funds.</p>
<p>Not enough or inappropriate staff: Not being able to hire competent and appropriate staff for the different initiatives poses a risk of timely delivery of the programme outcomes.</p>	<u>I (M), O (L)</u>	<p>ICIMOD has started a strategic staffing process whereby core competency and project staff requirements are identified on short and long-term basis. At the same time, current staff are receiving various training opportunities to build their capacity. Short-term consultancy requirements are being addressed through the development and regular update of a consultants' roster, where all potential consultants are registered.</p>
<p>Internal control risk: Risk of certain internal control processes being overlooked at the time of actual implementation.</p>	<u>I (H), O (L)</u>	<p>The internal control processes that have been developed for programme operations and administrative functions are very tight and robust. ICIMOD's internal control systems are regularly assessed, and have been approved, by donors. To maintain this status, we continuously monitor and upgrade our systems using the automated STAR system and other internal</p>

		administrative processes. An internal audit function is in place for regular auditing of accounting, procurement, and control procedures. Internal audit reports are submitted to the Senior Management Committee.
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9. Common Operational Risks across Programmes and Initiatives

Risks	Assessment Impact (I)/ Occurrence (O) (L, M,H)	Mitigation Measures
1. Political instability and insecurity whereby the situation becomes difficult for the implementation of activities across the region	I (M), O (M)	Maintain close relations with partners and gain support from government institutions; adapt work plans and be flexible if needed
2. Lack of strategic partnership leading to limited upscaling of programmes	I (H), O (M)	Clearly map network partners for each initiative and for the regional programme; identify strategic partners for ensuring impacts; formulate partnership and impact plans at programme level; proactively execute the plan for establishing joint ventures through strategic partnerships
3. Sufficient focus and priority not given to the impact of climate change on gender and social equity in national planning process especially for mountain regions	I (M), O (H)	Proactive strategic engagement with national planning commissions; organize specific events to sensitize decision makers on mountain and climate issues; promote champions within and outside government systems (identify decision makers, build rapport with them, etc.)
4. Transboundary sharing of data and information remains	I (M), O (H)	Efforts are continuously made to encourage data and information sharing. Regional data

restricted and not easily accessible in some RMCs		sharing policy to be shared with partner institutions.
5. Quality assurance of research results is not satisfactory	I (M), O (H)	Quality assurance and regular supervision and monitoring mechanism put it place for each programme, initiative, and partner.
6. Institutional and Cross-Programme results are not forthcoming	I (M), O (L)	ICIMOD is continuously strengthening its institutional matrix management approach and improving the behaviour and attitude of professionals to achieve more collaborative and result-oriented outputs.
7. Local stakeholders don't have strong ownership of the programme and some feel competition	I (H), O (M)	ICIMOD has put a systematic partnership management approach in place, which will help identify key stakeholders who feel competition, and take them into confidence through dialogue and negotiation
8. Higher expectations from the programme by governments and local stakeholders	I (L), O (M)	Partners have been informed about the scale of interventions and possible resources through formal and informal channels, and have been sensitized about ICIMOD's role
9. Partners' capacities inadequate to deliver results on time	I (M), O (M)	Capacity building of partners is a major strategy in the programme implementation strategy of all ICIMOD programmes and initiatives
10. Issues of absorption of funds	I (H), O (M)	ICIMOD and partners have vast experience in dealing with large international funding and have mechanisms in place for timely and effective utilization of funds
11. Lack of M&E capacities of partners	I (M), O (M)	ICIMOD is closely working with partners to jointly build M&E systems and to enhance the staff's capacity for monitoring and evaluation

10. Programme Level Risks and Mitigation Measures

10.1. Adaptation to Change Programme: Risk Assessment and Mitigation Measures

Risk	Assessment Impact (I) Occurrence (O) (L, M,H)	Mitigation Measures
Regional Programme on Adaptation to Change		
External Risks		
Adaptation related policies don't get enough attention in national agenda of member countries	I (H), O (M)	Regular strategic engagement with policy makers to emphasize the need to formulate climate-friendly development action plans and the value of adaptation plans for achieving development goals
Policy makers take no action despite interest in knowledge about local response strategies and needs for adaptation	I (H), O (M)	Proactive strategic engagement with policy makers to ensure policy action (identify decision makers, build rapport with them)
Pilot activities and livelihood securities are threatened by conflict arising from changing access to resources	I (M), O (M)	Pilot activities are jointly designed with relevant stakeholders to mitigate future conflicts arising out of reduced access to resources; resource sustainability is factored in during planning
Global economic factors and market developments may change results of pilots	I (M), O (L)	Strategically address the mid-term outlook for the economy and market while planning pilot activities
Interest in regional collaboration for adaptation to change is low	I (L), O (M)	While encouraging regional cooperation for technical areas, focus on the necessity (and gains) of a regional approach
Internal Risks		
The challenge of consolidating results of the bigger initiatives	I (M), O (L)	Develop a programme-level conceptual framework, ensure close synergy of all initiatives, follow a clear programme-level objective and impact pathway

Initiative: 1.1. Himalayan Climate Change Adaptation Programme (HICAP)		
External Risks		
Policy makers take no action despite interest in sub-basin level climate scenarios and water availability and demand projections	I (H), O (M)	Proactive strategic engagement with policy makers to ensure policy action (identify decision makers, build rapport with them)
Up scalability of small pilots is low given the localized context and hence low interest for replication	I (L), O (M)	Create pilots in a joint venture mode with government and other stakeholders to ensure ownership and scaling up of the initiative
Internal Risks		
Complex team building and partnership building process delays the delivery of results	I (M), O (M)	Regular team building and joint work events organized to foster mutual respect and equal partnerships
M&E for research into use not taken seriously will have negative impacts on achieving results and impact	I (H), O (H)	Continued focus on impact pathway to develop strategies for translating research results into action
Initiative: 1.2. Rural Livelihoods and Climate Change Adaptation in the Himalayas (Himalica)		
External Risks		
National and regional stakeholders and authorities are not affectively involved in the implementation of the activities	I (M), O (L)	Ensure stakeholders' involvement in the intervention right from the planning phase in all countries; set up a mechanism to ensure that partners take ownership of the project and drive the implementation
The political, social, economical and natural environment becomes insecure for target groups to invest in the development of income generating opportunities.	I (M), O (L)	Pilot project interventions are demand-driven and jointly planned with nodal ministries, implementing partners and communities; the design of the pilots incorporates risk aversion, addressing conditions described in the risk; proactive engagement with relevant stakeholders from the beginning of the planning phase to build political will to scale up interventions
Internal Risks		
Initiative is supply-driven and does not follow a demand-driven approach	I (M), O (L)	The concept of the initiative is based on a demand-driven approach and

		active partnerships throughout the region; all activities are jointly scoped and planned with governments, implementing partners and communities
Pilots and action research and capacity building activities are not interlinked and therefore lack strong synergy	I (M), O (L)	The programme coordination focuses on trans-disciplinary and interlinking cooperation within the core team; the conceptual framework is based on the principle of strong inter component linkages and synergies.
The focus of the initiative is thinly spread across many partners in the region (or even within a country) and hence can result in “stand alone” activities without an overall regional or thematic approach which dilutes the focus and impact of the programme.	I (H), O (M)	<ul style="list-style-type: none"> • Development of a clear conceptual framework for objectives, interventions and impact. • Joint designing and development of all interventions with partners • Locating interventions within selected areas of a landscape or basin. • This approach facilitates complementing activities and enhances ICIMOD’s visibility in the core areas • Core partners will be identified on the basis of competence and capability for different activities and long-term cooperation under the partnership strategy
Initiative: 1.3. Adaptation Initiative in Himalaya (AdaptHimal)		
External Risks		
Insurgency conflicts in some of the pilot areas	I (M), O (L)	By coordinating with the government organization and group in this case
No motivation with inadequate incentives within partners and staff of partners	I (H), O (H)	Provide adequate incentive for motivation
Unacceptability of project results by policy makers	I (M), O (M)	High-level political lobbying/advocacy from the beginning
Internal Risks		
Project duration short in relation to long term goal	I (H), O (L)	ICIMOD and IFAD have long term strategic partnership, this grant is a part of this partnership.

Federation in North East India not willing to adopt to change (innovation)	I (H), O (M)	ICIMOD and partners are aware of this situation and closely working with the Federation
Lack of participatory and inclusive planning and decision making whereby interest of women neglected	I (H), O (L)	ICIMOD and partners have made this a priority and do not comprise on women's participation at any level

10.2. Transboundary Landscape Programme: Risk Assessment and Mitigation Measures

Risks	Assessment Impact/ Occurrence (L, M,H)	Mitigation Measures
Regional Programme on Trans-boundary Landscape		
External Risks		
Long gestation period (>5 years) of outputs	I (M), O (M)	Capture short-term impact stories, validate and disseminate them; increase field work intensity and leveraging of local government resources; increase frequency of backstopping country partners in the field
Land use change	I (M), O (L)	Promote integration of different frameworks such as ecosystem management, innovative livelihoods, knowledge products, etc. in the local/national planning and implementation systems/mechanisms
Conflict between countries	I (H), O (L)	Focus on “no regrets approach” i.e., continue mentorship programme implementation and cross exchange at regional knowledge communication forums
Inter & intra state conflict	I (M), O (M)	Train programme resource persons and country partners in stakeholder dialogue management, intercultural management, and conflict management through negotiations and mediation techniques; increase integrative concepts and convergence of service delivery
Global economic risks	I (M), O (L)	Transboundary Value Chain networking and market places; build on local cooperative systems and domestic markets
Kailash Initiative		
External Risks		
The political, social, economic and natural atmosphere deteriorates	I (M), O (M)	To create a conducive political, social, economic and natural environment, focus on benefits for target groups through unscaled VCs of income generating and environmental conservation opportunities; select nationally

		recognized country partners; Local governments are involved in bottom-up programme planning, implementation and financing; continue sharing good practices through common forums
Reform processes are stalled or very slow	I (M), O (M)	Good lessons and practices are shared with policymakers; mentorship in required fields is continued with key decision makers at all levels of programme and policy (i.e., from local government to national); national and regional stakeholders and authorities are adequately involved in regional knowledge forums
Ownership of KSLCDI at country level (e.g., due to low quantum of programme funding or sensitive issues)	I (M), O (M)	Regional Programme Steering Committee members in all three countries are sensitised and mentored so that they can promote transboundary cooperation at national public forums; national funds are leveraged right from the start; new partnerships are forged with impact orientation as the main criteria; interventions continue to follow a demand-driven approach based on consultative and participatory modes of planning and implementation
National and regional stakeholders and local authorities/institutions don't cooperate in the implementation of the KSLCDI	I (M), O (M)	Treat global issues such as climate change, globalisation processes and poverty alleviation as areas for collaboration; increase joint articulation of relevant issues by providing space in global forums (UNFCCC, CBD, UNCCD); focus on issues that are of common priority for all stakeholders; build regional partnerships w.r.t. standard protocols, technologies and instrumentation, etc., and make these available in an adequate and timely manner

Local communities will not devote full time for participation in project related activities	I (M), O (M)	Build on participatory approaches to livelihoods innovation, ecosystem management and environment monitoring; bridge cooperation between stakeholders at the provincial level, strengthening local planning and implementation mechanisms; promote innovations among local communities who are willing to share knowledge and introduce incentive-based mechanisms
Internal Risks		
Low synergy in matrix management	I (M), O (L)	Strengthen team-building processes for common outputs and impact-orientation
Performance monitoring is not gaining equal recognition	I (M), O (L)	Equitable recognition of good implementation/impact and good science
Karakorum Pamir Landscape Initiative (KPL)		
External Risks		
Political uncertainty especially in GB and security situation in both the countries -- China, Xinjiang province, and Pakistan, Gilgit Baltistan province	I (M), O (M)	Maintain a good relationship with the governments and all stakeholders for programme implementation; stay alert about political uncertainties
Pilot activities can be affected due to security situation, the local communities are very cooperative	I (M), O (M)	Take the government leaders into confidence during the preparatory phase
Local stakeholders don't have strong ownership of the programme and some feel competition with KPL activities	I (H), O (M)	Identify key stakeholders who feel competition and take them into confidence through dialogue and negotiation
Regional Cooperation Framework (RCF) is not well respected by the	I (L), O (L)	Involve local authorities in each country in the process of RCF formulation

local / provincial governments		
Internal Risks		
Huge expectation of strategic partners for programme implementation	I (H), O (M)	Identify genuine partners who are working on development and policy issues
Huge demand of capacity building activities from local communities and other stakeholders	I (L), O (M)	Build career prospects and opportunities for the local youth in the programme
Kanchenjunga Landscape (KL) Initiative		
External Risks		
Change in political regime after the 2014 election specially in Darjeeling and Sikkim of India	I (M), O (H)	Strategic planning for inclusiveness and extra efforts to bring the local authority on board
Divergence in opinions and priorities on conservation and development agendas among the stakeholders in the countries and states involved	I (M), O (M)	Inclusive planning and consultative process; capacity building through mentorship
Longer transitional period between programme development and implementation	I (L), O (L)	Shorten the transitional period
Assured or committed financial resources to implement the programme	I (M), O (H)	Strategic planning for financial resources
Internal Risks		
Resources allocation based on country share may cause problem. There is larger area involved in India with two states	I (L), O (H)	Resources allocation based on the priorities and geographical coverage
Relying on only one window implementation	I (M), O (H)	Need to engage multiple partners

through one partner for different components		
Interventions are not made against the aspirations of local communities and governments	I (H), O (L)	Adhere to Conservation and Development Strategy and implementation plan developed by the countries
Brahmaputra Salween (BSL) Initiative		
External Risks		
Political uncertainty/ ethnic conflicts persists in some parts of the BSL	I (M), O (H)	Need to identify neutral national partners for programme implementation. Country focal institutes have to be alert about the situation and should communicate the issue with ICIMOD
Partners' capacities in delivering results in time inadequate and therefore BSLCDI activities receives less attention	I (H), O (M)	Activities and impact have to be carefully aligned with countries' priorities; impact pathways must be clearly communicated with partners; need for capacity strengthening is addressed early on as major component of BSLCDI
Pilot activities are affected due to lack of cooperation by local communities	I (M), O (M)	Need to take the community leaders into confidence during the preparatory phase
Local stakeholders lack ownership of the programme and not effectively involved in implementation of activities	I (M), O (L)	Need to identify key stakeholders who may influence decision making and governance at the local level and take them into confidence through national partners
Regional Cooperation Framework (RCF) is not respected by the local / provincial governments	I (H), O (L)	Involve local authorities within each country in the process of RCF formulation
Lack of strategic partnerships for programme implementation	I (M), O (M)	Work closely with focal institutes to widen the profiles of national partnerships and involve them adequately and effectively for impact
Internal Risks		
BSL regional level activities do not add value to national level efforts	I (H), O (L)	Need careful planning of regional activities to address asymmetry in knowledge and capacity in BSL member countries; select a programme

		package with national stakeholders and strengthen their ownership
Pilots (action research) and capacity building activities do not complement each other	I (H), O (M)	Build career prospects for youth and opportunities for the local institutions in the programme
Availability of long-term funding (as landscape initiative needs some time to deliver impact because it involves a gradual and iterative process of partnership building, capacity strengthening and then actions on the ground).	I (H), O (H)	Proposals need to clearly mention short-term (1-2yrs), mid-term (3-5yrs) and long-term (beyond 5yrs) activities and their connections to impacts

10.3. River Basin Programme: Risk Assessment and Mitigation Measures

Risks	Assessment Impact/ Occurrence (L, M,H)	Mitigation Measures
Regional Programme on River Basin		
External Risks		
Priorities in the RMCs change due to political change or changes in leaderships in partner institutions	I (M), O (H)	Be aware of changing situations. Engage with mid-level officials
RMCs readiness in transboundary cooperation remains low	I (M), O (H)	Continuous engagement and advocacy through participation in various fora.
Koshi River Basin Initiative		
External Risks		
Adequate information/data sharing does not exist amongst partners.	I (M), O (H)	Conscious efforts are made to encourage data and information sharing (e.g., regular follow-up; monitoring process built into partnership agreements; web based DB platform to ensure transparency).
Models are not of sufficient quality to warrant use. Relevant agencies have sufficient training to use models.	I (H), O (M)	Partner institutions' performance is monitored closely; capacity development needs are assessed at partners' forums.
Insufficient cooperation of national agencies for transboundary river basin management.	I (H), O (H)	Development of water management policies in all three countries are monitored to identify opportunities. Strategic partnership with key national agencies are being developed to involve policy makers.
HYCOS Initiative		
External Risks		
Lack of cooperation between the various NHSs and NMSs in the HKH Region and the PMU in	I (H), O (L)	Continuous engagements with partners

the project design and implementation		
NHS and NMS staff may be overburdened and have limited time to participate in the project execution due to other commitments.	I (H), O (M)	Consider synergies between ongoing projects from the beginning; protecting life and property remains a high priority in the member countries.
Field equipment installed by the project may be damaged or destroyed due to vandalism, theft, or natural disasters such as floods and thus impact the project activities.	I (H), O (M)	Work closely with the hydro meteorological agencies and raise the community's awareness about the usefulness and value of such systems in order to create ownership and avoid theft. Ensure there are adequate spare instruments and replacements.
Internal Risks		
Continuous funding of the initiative is a big challenge	I (H), O (H)	ICIMOD senior management is making efforts to get enough funding to continue the planned work.
HI-AWARE Initiative		
External Risks		
Issues with absorption of funds	I (M), O (L)	ICIMOD and consortium have vast experience in dealing with large international funding and have a mechanism in place for timely and effective utilization of funds.
Under-performing members or subcontractors	I (M), O (L)	Based on ICIMOD's experience, the consortium will use a detailed planning, review and follow up process in order to keep up the performance of stakeholders.
Lack of transparency and accountability in country partners system	I (M), O (M)	The consortium will sign a letter of agreement following ICIMOD's financial and accountability procedures in order to ensure accountability and transparency in management and utilisation of funds, audit and reporting on the smallest unit of costs incurred to the programme.

Issues related to quality of programme reports by partners	I (M), O (L)	The consortium will set quality parameters for programme reporting and accordingly provide some resources to build partners' capacities.
Internal Risks		
Issues with absorption of funds	I (M), O (L)	ICIMOD and consortium have vast experience in dealing with large international funding and have a mechanism in place for timely and effective utilization of funds
Indus Basin Initiative		
External Risks		
Limited or no participation of Afghan partner organization in information sharing	I (M), O (M)	Encourage them for active participation, data and information sharing.
Varied interests of partners in developing research framework and full proposal	I (M), O (L)	The proposed UIB field visit and workshop will mainstream the research framework and proposal.
Limited coordination among UIB partners	I (M), O (M)	UIB field visit and workshop will strengthen coordination and collaboration among partners.

10.4. Cryosphere and Atmosphere Programme: Risk Assessment and Mitigation Measures

Risks	Assessment Impact/ Occurrence (L, M,H)	Mitigation Measures
Regional Programme Cryosphere and Atmosphere Basin		
External Risks		
Major delays are due to long processes within governments for clearances/permissions	I (M), O (M)	Sufficient time allocation for planning Involvement of partners from governmental agencies from the beginning of the process Facilitation through Country Focal Points
National partners' facilities and programme staff retention	I (H), O (M)	Capacity development Incentive to partners and staff Bonding arrangement with the staff
Limited professional staff with partners	I (M), O (H)	Capacity development Involvement of other partners/institutions Incentive to partners and staff
Our projects might have less priority for partners	I (H), O (M)	Involvement of partners from the beginning of the process (design of the programme)
Internal Risks		
In adequate staff to accomplish tasks	I (M), O (M)	Staff are being recruited on priority basis
Cryosphere Initiative		
External Risks		
Extreme physical environment and weather condition in the field	I (H), O (H)	Alternative plans Health checkup of field team members Insurance and rescue plan

Coordination between multiple partners	I (H), O (M)	Planning with involvement of all the partners from the very beginning
Partner institutions not developing the necessary ownership	I (H), O (M)	Involve the partners in the preparatory and planning process as well as in future planning and budgeting process
Internal Risks		
Timely hiring of necessary experts in the programme	I (H), O (M)	Improving remuneration and facilities for the experts Seconding staff from collaborative partners Consideration of post-doctoral candidates
Atmosphere Initiative		
External Risks		
Failure to obtain new funds beyond current Sida grant in 2015.	I (M), O (L)	Already have significant Norwegian funds. Been increasing involvement in CCAC initiatives, which have funds to disburse.
Delays in completion of observatories due to regulatory hurdles and problems with transport to and from the site (strikes, landslides)	I (M), O (H)	Frequent follow-up with government offices to clear hurdles. Flexible planning to minimize impacts of road closures. Plan for most work to take place during dry season.
Failure to motivate scientific partners to share data with and through the upcoming data centre	I (H), O (M)	Set example with SusKat data. Set example with data from ICIMOD observatories. Provide additional incentives to partners who share data.
Lose out credit for key work or key findings to competing institutions	I (M), O (M)	Keep track of what competing institutions are doing, while being careful not to share results before they are published or disseminated with ICIMOD credit.
Policy makers ignore our results and recommendations	I (M), O (H)	Early engagement with policy makers. Build a knowledge dissemination strategy including direct communication with policy makers, media and the public.
Internal Risks		

Failure to obtain necessary time, at time needed, from thematic staff to succeed with annual plan targets	I (H), O (L)	Detailed calculation of staff needs for each activity; detailed coordination with RPM and TL during September planning; re-adjustment of annual plan in January based on available staff time.
Failure to capitalize on external interest and funding opportunities related to SLCPs in the HKH region (such as CCAC initiatives)	I (M), O (L)	Monitor opportunities; inform senior management about possible opportunities in advance so that quick decisions can be made.
Failure to become a major player in atmospheric science in the HKH region.	I (M), O (L)	Have spent 2013 hiring a team of scientists; laying the groundwork for observation sites; building a modeling centre.
Failure to become a major player in mitigation in the HKH region	I (H), O (M)	Build on CCAC initiatives; hire additional staff specializing in mitigation.
Failure to extend initiative activities beyond Bhutan and Nepal	I (M), O (M)	Make exploratory visits to partners in other RMCs. Grab opportunities for work outside Bhutan and Nepal such as the CCAC brick initiative. Ensure that modeling domains cover a larger region.
Poor or slow performance by partners	I (M), O (M)	Design LoAs to give partners incentive to deliver good quality work in time.
Failure to become a major player in atmospheric science in the HKH region	I (M), O (L)	Have spent 2013 hiring a team of scientists.
Failure to become a major player in mitigation in the HKH region	I (H), O (M)	Build on CCAC initiatives' activities; hire additional staff specializing in mitigation.

10.5. MENRIS Programme: Risk Assessment and Mitigation Measures

Risk	Assessment Impact/ Occurrence (L, M,H)	Mitigation Plan strongly recommended for H/H, H/M and M/H recommended for M/M
Regional Programme MENRIS		
External Risks		
Available technology does not match demand/ expectations at local levels	I (M), O (M)	Clarify/ communicate limitations
Limited information/ communication infrastructure in remote mountain areas may affect collection/ dissemination of information	I (M), O (M)	Strengthen local/ government institutions through capacity building
Institutional structure not favorable/supportive for operationalizing information systems	I (H), O (M)	Policy advocacy and capacity building
Influence of other players in partners may lead to duplication and confusion about partnership activities	I (M), O (M)	Identify other players and try to build synergy
Internal Risks		
Selection of appropriate and capable research and implementation partners	I (H), O (M)	Follow partnership strategy and guidelines
Difficulty in finding highly skilled staff	I (M), O (M)	Attractive HR policy and package
Inadequate synergies with other RPs	I (M), O (M)	Institutional mechanism for cooperation across RPs
SERVIR Initiative		
External Risks		
Transfer of skilled professionals in government system; losing the right professionals	I (M), O (M)	More capacity building efforts
Constraints in fields for functioning of information systems in responding to specific conditions	I (H), O (M)	Communication with concerned agencies; linkages with relevant initiatives
Leadership change in partner organizations	I (M), O (H)	Involve more key people during project inception and implementation
Internal Risks		

Ambitious plans for the given time and human resources	I (M), O (M)	Careful planning of activities and human resources
Delays in placement of staff and procurement of equipment	I (M), O (M)	Careful planning of recruitment and procurement processes
Other initiatives are not keen on adopting SERVIR methods/ tools	I (M), O (M)	Involvement of other programmes/ initiatives during the development of applications
RDI Initiative		
External Risks		
National policies are not conducive for open data sharing	I (M), O (H)	Link up with international open data initiatives
Conflict of interest among researchers for data release	I (M), O (H)	Follow ICIMOD data policy and operational guidelines
Intellectual property rights prevent open data sharing	I (H), O (H)	Agreements with data providers for sharing arrangements
Internal Risks		
RDI is not given sufficient priority within the institution	I (H), O (M)	Internal advocacy
Regional programmes and themes do not upload data in RDI	I (H), O (M)	Institutional policy to make it mandatory for RPs and themes
Hardware/ software infrastructure not updated	I (M), O (M)	Cost sharing mechanisms between programmes for regular updating of infrastructure