



# Terms of Reference: Implementation of Community Based Urban Food Garden

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## Knowledge to Action Project

April 2025

CDKN Asia Program

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<b>Title</b>	Selection of an organization/ institution/ firm to conduct feasibility study, develop and maintain a pilot community based urban food garden in Kakinada Municipal Corporation area through the 'Climate Development Knowledge Network (CDKN): Accelerating Inclusive Action' programme
<b>Project</b>	Implementation of Community Based Urban Food Garden
<b>Location</b>	Kakinada
<b>Timelines</b>	Publishing of ToR on ICLEI SA website: 22 <sup>nd</sup> April 2025
	Last date for acceptance of proposals: 6 <sup>th</sup> May 2025
	Identification of winning bidder: 10 <sup>th</sup> May 2025
	Award of Work Order: 15 <sup>th</sup> May 2025
<b>Tender Inviting Authority</b>	ICLEI South Asia C-3, Lower Ground Floor Green Park Extension New Delhi - 110016, India Tel: +91 - 11 - 4974 7200 Email: <a href="mailto:iclei-southasia@iclei.org">iclei-southasia@iclei.org</a>

# Introduction

ICLEI – Local Governments for Sustainability is a global city network association of more than 2500 local and regional governments committed to sustainable urban development. ICLEI South Asia, the South Asian arm of ICLEI, is implementing the 'Climate Development Knowledge Network (CDKN): Accelerating Inclusive Action' programme in Asia. In this regard, ICLEI South Asia has partnered with Kakinada Municipal Corporation (KMC), Andhra Pradesh, India for planning and implementing climate induced disaster resilient development that has mainstreamed gender-responsive, socially inclusive, ecosystem-based approaches.

Under this initiative, ICLEI South Asia seeks proposals from organizations/ institutions/ firms to conduct feasibility study, develop and maintain slum community-based urban food garden for enhancing climate resilience of the said community in Kakinada. This Terms of Reference (ToR) outlines the requirements for selecting the successful entity, henceforth referred to as 'the selected bidder' for the 'Implementation of Community Based Urban Food Garden', henceforth referred to as 'the Project'.

## Context

Kakinada is the highest populated city in the Kakinada Urban Development Authority (KAUDA) Region and the sixth most populated city in Andhra Pradesh. The city's population in 2021 is estimated to be about 3,60,000 persons<sup>1</sup>. There are 101 slum areas in Kakinada city that cater to 38% of the city's population residing in 25,921 households<sup>2</sup>. Out of the 101 slums, only 67 are notified, while 34 are non-notified slums. The 101 slums are scattered over approx. 6.25 sq. km in and around the city. Slums are located along the canal, near railway tracks, flyovers, and industries. Yetimoga is the largest notified slum in Kakinada, with a population of 8,892 in 1,636 households. Parlopeta is the largest non-notified slum in Kakinada, with a population of 4,792 in 1,016 households. Self Help Groups (SHGs) with all women members are set up within the slums by Mission for Elimination of Poverty in Municipal Areas (MEPMA) to improve socio-economic well-being of the inhabitants. 43 out of 101 slums have active SHGs, primarily engaged in different economic activities such as construction work, daily wage labour, fishing, tailoring, working as house help etc.

Climate Resilient City Action Plan (CRCAP) for Kakinada identifies that 38.9% (46,250)<sup>3</sup> of the total slum population resides in heat hotspot areas and 9.5% (~11,200) of the total slum population are exposed to urban flooding. As a majority of the slum residents work in the informal sector, and are daily wagers, extreme climate events interrupt their source of income, leaving the residents extremely vulnerable. Food and nutrition is an added challenge that the slum residents face which could be attributed to their irregular income.

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<sup>1</sup> City Sanitation Plan of Kakinada, 2015

<sup>2</sup> Census of India, 2011

<sup>3</sup> Vulnerable population is estimated based on Census 2011 data considering the gross population density of each ward and assuming that the population is uniformly distributed across the ward. Thus, the entire estimated population may not be vulnerable to the identified issue and it may differ from ground reality. Also, notably, Census 2011 data has been used due to unavailability of further latest data.

Recognizing the relevance of urban agriculture in building locally led climate resilience, the project aims to set up an urban food garden in close proximity to slum settlements having SHGs. This will be designed such that they are ***continuously productive, incorporate traditional and culturally significant crops, utilize innovative farming technique, and are resilient to the existing and projected adverse impacts of climate change.*** The urban food gardens will also integrate ***innovative marketability component to it, to facilitate sustainability of the work beyond project period.*** The project, will instil the skills of urban gardening amongst the participants, including offering training which will allow the participants to identify several actors that they can engage with as they sustain and possibly scale up the urban food gardens in the future.

Preliminarily, parks spread over about half an acre area were identified followed by shortlisting 2 parks in close proximity i.e. 0.5 to 1km distance to slums having an active SHG. ***Feasibility study would be conducted in these two (2) shortlisted parks for finally selecting one (1) site for implementing the proposed pilot project.***

Both the shortlisted sites span over less than 0.5 acre area. The sites have provision of on-site or adjacent water supply, electricity connection and have a compound wall with iron gate. Please refer to Annexure A for site details.

## Objectives

- To build a **productive green space** within the community
- To build **sustainable and resilient food system for the community**
- To improve **food security in the community** focusing on traditionally edible local vegetables and crops
- To provide **alternative source of livelihood** for the community especially women
- To improve **adaptive capacity** of the slum dwellers especially women through economic and health improvements
- To foster **awareness and capacity building on biodiversity, ecosystem services, and cultural conservation**

## Scope of Work

Implementation of the project would be taking place in 2 phases: **Feasibility Study and Formulating Business Model**, and **Implementation**

### Feasibility Study and Formulating Business Model:

ICLEI South Asia has shortlisted 2 parks based on areal extent, proximity to slums having Self Help Groups (SHG) in discussion with KMC for setting up urban food garden. Feasibility study needs to be carried out for identifying the following components for a successful implementation.

- **Site Suitability Assessment:** The optimum site needs to be selected out of the shortlisted parks, depending on **soil quality, source and quality of water for irrigation, drainage, scope of yield vis-à-vis self-consumption.** Soil and water quality will be tested in Govt. accredited laboratory. Production potential in reference to the soil quality will be assessed and further validated in consultation with experts such as Krishi Vigyan Kendra (KVK), Rythu Sadhikara Samstha (RSS), Horticulture Department etc. Volume of community

consumption will be assessed to explore sufficiency for market linkage beyond self-consumption through surveys or focus group discussions. Simultaneously, **interest from the community residing in adjacent area, and cohesion amongst the community members** will reflect on the opportunity of effective community engagement.

- **Crop Typology:** It will consist of identification of crops especially leafy **vegetables, focusing on the local consumption pattern, local cultural practices and ritual requiring specific items and market prices.** Especially if multi-tier method is adopted, different crops need to be selected rationally for cultivating at ground level and at trellis structure in different seasons to ensure optimum production. Focus Group Discussion (FGD) with the communities and expert consultation would play a key role in this assessment.
- **Cropping Method and Technologies:** Feasibility study will also entail **exploring viable technique with reference to the soil and water availability and financial feasibility such as but not limited to multi-tier farming, step/ vertical farming using organic, hydroponic, permaculture** etc. Thus, a **horizontal and vertical layout of the garden** need to be prepared indicating seasonal positioning of identified crops. It is envisaged to **adopt zero to minimum budget organic farming** procedure without resorting to chemical fertilizer, pesticide, weedicide etc. Consultation with experts such as Krishi Vigyan Kendra (KVK), Rythu Sadhikara Samstha (RSS), Horticulture Department etc. would contribute to taking an informed decision in this regard.
- **Market Potential:** Feasibility study will assess **seasonal yield vis-à-vis community demand that** would analyse the potential of selling the produce thereby becoming a source of livelihood generation for the community. The demand determinants of the urban garden include population, sex and household income, preferences, prices etc. that can influence or affect the project as against existing supply of fresh produce and prices.
- **Marketing Plan:** Various innovative options of market linkage will be explored such as **app-based marketing, mobile vending, tying up with local vendors/ local markets, etc.** This includes a brief description of the product, market place, price, and strategies.
- **Preparation of Business Model:** Upon completion of feasibility study, key findings would be utilized to develop a sustainable business model in close coordination with KMC and community. It needs to identify the scale at which the food garden could reach break-even and operate profitably. Labour, time, and resource required to reach the scale need to be quantified as well.

Draft feasibility report and business model will be submitted to ICLEI SA and should be finalized incorporating their input and feedback.

### Implementation

- **Set Up:** Site preparation, tillage, bed/ fence preparation, manure and nutrient addition, and composting are all examples of operations that will be carried out to set up the garden as laid out through feasibility study and finalized in consultation with ICLEI SA and KMC. Irrigation system including motor, storage tank and pipes as required will be set up as identified in the feasibility study.
- **Cultivation, Harvest, Maintenance:** Sowing seeds, watering, weeding/ pest control, timely harvest of produce are crucial activities along the process. Selected bidder will be responsible for own, function and maintain the garden for one (1) year from the time of site set up. The garden should adopt zero to minimum budget organic farming procedure without resorting to chemical fertilizer, pesticide, weedicide etc., implement strategies for

water conservation, waste reduction and practice waste segregation into wet and dry fraction.

- **Formation of Community Farming Group:** On the basis of in-person discussion and FGDs with the community especially the SHG members adjacent to the selected site, **motivated members would be identified preferably from SHG(s) who are willing to formally be part of the project and thus aggregated into a Community Farming Group.** Number of members in the group would be decided basis feasibility study. **Roles and responsibilities of members** for operation and maintenance of the garden **would be** clearly defined while specifying the role of leadership, project management, supervisor and monitor following the training sessions.
- **Training and Capacity Building:** 5-6 rounds of training and capacity building sessions at different stages of garden set-up, maintenance and upkeep will be organized, in close coordination with ICLEI SA, for the selected members for giving them handholding experience on the following.
  - Training on **soil preparation, crop growing, watering, weeding, harvesting and post-harvest care etc.**
  - Training on **post-harvest quality check, packaging, marketing strategy; simple financial management and bookkeeping as well as sustainability safeguards; monitoring** as per the given indicators and updating if required
  - Awareness generation on processes such as **crop selection, developing and maintaining seed bank, home gardening etc**
  - Awareness generation on **rules and benefits of the urban garden**
  - Awareness generation on **government schemes such as Mission for Integrated Development of Horticulture (MIDH) to avail financial assistance**
- **Setting Up Market Linkage:** Establish linkage with the relevant stakeholders for the identified marketing plan, formulate agreement required, if any, thus, extend support in implementing the marketing plan as relevant.
- **Maintenance and Sustainability Factsheet:** Develop an **illustrative easy-to-comprehend cropping and maintenance factsheet in local vernacular and English** that include easy references on seasonal plant selection, care, harvesting, marketing, soil management, and site upkeep. This shall also guide the community on water conservation, waste reduction and segregation, and the use of organic gardening techniques. The factsheet will also lay out monitoring indicators for the community to evaluate performance of the garden. Modalities for potential financial assistance for maintenance of the garden and process to avail it will also be included in the factsheet. The selected bidder will carefully incorporate the suggestions of ICLEI SA in finalizing the draft factsheet.
- **Hand Over:** A ceremonial handover to the community would be undertaken in the presence of KMC and ICLEI SA officials. A consensual agreement between community and ULB will be drafted and signed upon regarding sustainability action points.

## Mode of implementation

The various stakeholders and their roles are described below in brief:

- **ICLEI South Asia:** Coordination with the selected bidder and city government; monitoring of overall activities; offering technical assistance to the selected bidder.
- **Selected Bidder:** Carry out all activities listed in Scope of Work.

- **Kakinada Municipal Corporation:** Providing electricity connection required for the implementation. The sites are already secured with compound wall and gate. KMC shall also facilitate coordination with any relevant stakeholders such as RWA for smooth access and implementation of the pilot project in any one of the identified parks.
- A triparty Memorandum of Understanding outlining roles and responsibilities of each party will be signed between KMC, selected bidder and ICLEI SA.

## Deliverables

1. Feasibility Report- a comparative site suitability analysis, identification of crop typology, cropping technique, market potential, and finalize one (1) site for setting up food garden with vertical and horizontal layout of seasonal crops
2. Business Model- outlining marketing plan, resource requirement to reach the scale of break even and profitability
3. Formation of community farming group
4. One (1) functional community based urban food garden
5. At least five (5) rounds of training across farming stages
6. Market linkage set up
7. Maintenance and Sustainability Factsheet
8. Maintenance of Garden for 1 Year
9. Agreement Signed between Community and KMC and Ceremonial Hand Over to Community

## Timeline & Payment Schedule

The proposed time frame for the implementation of the deliverables specified in this ToR is 15 months from the date of award of work order. The timelines for completing the deliverables and the corresponding payment schedules are given below.

Deliverables	Timeline
Feasibility Report	T+2 months
Business Model	T+2 months
Formation of community farming group	T+3
One (1) functional community based urban food garden	T+4 months
Five (5) rounds of training across farming stages	T+14 months
Market Linkage and Maintenance and Sustainability Factsheet	T+12 months
Maintenance of garden sustainably Agreement signed between community and KMC Ceremonial hand over to community	T+16 months

T denotes signing of work order



Milestones	Payment Schedule
Signing of work order	15%
Submission of Feasibility Report and Business Model	15%
Formation of community farming group and one (1) functional community based urban food garden	30%
Training and capacity building and market linkage provided Submission of maintenance and sustainability factsheet	20%
Completion of 1 year maintenance and hand over to community	20%

## Eligibility Criteria

### Technical requirements

- Should be well versed with the subject
- Should have led similar work for at least 5 years
- Should have experience in successfully implementing community based urban food garden development and should have undertaken the implementation of the same through atleast two projects in the region in the past three years as on date of release of the TOR.
- Should furnish self-attested copies of work orders for these works and a copy of certificates for successful establishment of community based urban food garden from the same client
- Should not be under declaration of ineligibility for corrupt or fraudulent practices or deficiencies of services or blacklisted with any Government/Non-Government agencies at the time of bidding

### Financial requirements

- Copy of valid PAN card, GST registration and TIN.
- Bidders registered in India must have an FCRA<sup>4</sup> account.
- Minimum annual turnover of INR 20 lakh for last two years.
- Audited account statements for last two years.

### Language requirement

Proficiency in English and Telugu is mandatory

## Bid Submission

Interested organizations/ institutions/ firms must submit the following documents/information to demonstrate their qualifications:

### Technical Proposal

#### Organization Overview:

- Cover letter
- Profile
- Valid registration certificate and FCRA certificate

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<sup>4</sup> Foreign Contribution (Regulation) Act, 2010 – FCRA, India

- GST/VAT registration, up-to-date TIN certificate and all relevant financial & registration documents declared by relevant authorities of Government of India for organization to operate in India.
- The bidder must not have defaulted under any of the applicable Acts like Income Tax, GST Act, PF & ESI Act or any other Act which as per the nature of contract is required (Declaration/Return Copies to be furnished).
- Audited account statement of last two years
- Experience of at least two assignments of similar nature in urban organic and sustainable food gardening, community engagement, or related projects mentioning Beneficiary, Contract Value, Date of Commencement, Date of Commissioning, Contact details (with telephone no.) of contact person for the given contract etc
- All relevant CVs signed by authorized representative

**Proposed Approach and Methodology:**

- Detailed description of the proposed approach to the project, including how to conduct site suitability study, prepare business model, engage the community, design and set up garden and impart training
- A breakdown of each stage of the project, including timelines and key milestones.
- Stages and process of expected engagement with ICLEI SA and KMC

**Team and Qualifications:**

- All relevant CVs of key project staff, their qualifications, roles, and relevant experience in urban food gardening, community outreach, education, and organic and sustainable farming practices. If the CV of a proposed staff is found incorrect, the award of the consultancy to the bidder may also be liable to cancellation in such an event.

## Financial Proposal

- Price quoted in financial bid should be fixed and firm and not subjected to any escalation or variation. The total cost should include all transportation expenses, the expenses required to complete all the tasks mentioned in this ToR. Financial bid should be inclusive of all duties, taxes and insurance.
- Item wise break up for all components including professional cost, sapling cost, manure, labour, education and any ongoing costs for maintenance and sustainability in unit rate
- Detailed BOQ needs to be provided
- Financial details of the organization(s) to confirm its eligibility
- Valid PAN card
- Valid GST registration and TIN
- Audited account statements for last 2 years

Please note:

a) The bidder shall acquaint with the work and working conditions at site and locality. No claim shall be entertained on this issue after the bid has been submitted.

b) All or any accessories/consumables/items required for satisfactory commissioning of the study/work shall be deemed to be included in the contract and shall be provided by the bidder without extra charges

All Technical and Financial proposals should be in English.

*Failure to comply with or provide the above listed items in the Technical and Financial Bids may result in disqualification. The bidder shall produce, original documents for cross verification as and when requested by ICLEI South Asia.*

## Proposal Submission

The Terms of Reference (ToR) can be downloaded free of cost from the ICLEI South Asia website.

Each page of all the documents mentioned above as well as technical and financial bid documents shall be duly signed by the contractor. The bid documents consisting of both technical and financial bids, and the supporting documentation shall be submitted by the bidder through email to the below mentioned email IDs on or before 6<sup>th</sup> May 2025.

a) Bedoshruti Sadhukhan, Associate Director, ICLEI South Asia (Email: [shruti.sadhukhan@iclei.org](mailto:shruti.sadhukhan@iclei.org))

b) Anuradha Adhikari, Assistant Manager, ICLEI South Asia (Email: [anuradha.adhikari@iclei.org](mailto:anuradha.adhikari@iclei.org))

- The bid shall be valid for a period of 60 days from the date of submission of bid document
- A bidder shall submit the bid documents that satisfies each and every condition laid down in this notice, failing which, the bid will be liable to be rejected by ICLEI South Asia
- No sub-contracting allowed

## Bid Evaluation Process

Bidders submitting their bids in response to this ToR will be evaluated on the basis of their technical and financial proposals, where the maximum scores that can be obtained 80 and 20 marks respectively.

### A. Technical Weightage

#### 1. Project Understanding and Approach (20 marks):

- Demonstrate a comprehensive understanding of project objectives and local context

#### 2. Methodology (20 marks):

- Outline a clear methodology for conducting feasibility study, assess scope of community engagement and preparing a sustainable business model
- Describe the approach and process for setting up food garden, impactful community engagement and ensuring future sustainability

#### 3. Work Plan and Timelines (20 marks):

- Provide a detailed work plan with specific timelines, highlighting key milestones for planned activities

- Ensure the plan aligns with project objectives

#### 4. Team Composition and Expertise (20 marks):

- Present a team with strong expertise in organic and sustainable farming, community engagement, training and capacity building.
- Clearly define the roles and responsibilities of team members, emphasizing their sectoral experience.

#### B. Financial Weightage

The financial weightage is 20 marks. Bidders are expected to provide a financial proposal which will be a competitive pricing model that demonstrates cost-effectiveness while maximising the use of data and technology. The Bidders must provide a detailed budget with clear justifications for each cost component.

## Contract Terms

### Specific Conditions of Contract

#### Contractor to study conditions:

- The bidder shall be deemed to have carefully examined the work and site conditions'. In this regard, he/she will be given necessary information to the best of knowledge of ICLEI South Asia but without any guarantee to it.
- If he/she shall have any doubt as to the meaning of any portions of these general contract terms, or the scope of the work, or any other matter concerning the contract, he/she shall in good time, before submitting his tender, set forth the particulars thereof and submit them to the point of contact, as given in this TOR, by email in order that such doubts may be clarified authoritatively before tendering. Once a tender is submitted, the matter will be decided according to the tender conditions in the absence of such authentic pre clarification.
- Bidder must adhere to the following pre-conditions laid out by KMC:
  - Existing plantations must not be disturbed.
  - Any waste generated on-site must be segregated into wet and dry fraction.
  - No on-ground activity should damage any existing infrastructure such as water supply network or the Overhead Tank (OHT). If any such damage occurs, the bidder will bear full responsibility for its restoration.
  - Failure to comply with these instructions may result in cancellation of permission to utilize the sites for pilot without prior notice.

### General Conditions of Contract

- The contractor/ consultant shall address all aspects of the proposed deliverables mentioned in this TOR
- The comments and suggestions provided by the bidder on the TOR are not binding and shall not affect the financial proposal
- It should be noted that the programme is being implemented by ICLEI South Asia and hence instructions to bidders will be given by ICLEI South Asia. ICLEI South Asia will be overall in-charge for all the works that would be executed under the present scope of work

- The bidder shall also obtain necessary permission, from concerned government departments related to the work/data collection if deemed necessary, in coordination with ICLEI South Asia.
- The selected bidder must adhere to the CDKN safeguarding and ethics protocol as reflected in the Annexure B.

## Tender Evaluation & Bid Assessment

- The bids received will be scrutinized and evaluated by ICLEI South Asia. The decision shall be informed to the winning bidder.

## Award of Contract

- Detailed Work Order will be issued to winning bidder within 7 days of announcing the winning bidder
- The winning bidder is to forward the signed and sealed work order to ICLEI at the earliest or not more than 7 (seven) days of issue of work order
- In case the winning bidder fails to indicate his intent to undertake the said work within the stipulated time of 7 (seven) days and observe the formalities as above, the Letter of Intent will be cancelled and the next bidder will be finalised by ICLEI South Asia.

## Compensation for Delay

- Time is the essence of the contract and as such all works shall be completed within the time stipulated in the contract/ work order
- If the bidder, without reasonable cause or valid reasons, commits default in commencing the work within the aforesaid time limit, ICLEI South Asia shall without prejudice to any other right or remedy, be at liberty, by giving 15 days' notice in writing to the contractor to commence the work, to forfeit the balance payment depending on the status of work, and to cancel the Work Order.

## Extension of Date of Completion

### Force Majeure

- On occurrences of any events causing delay as stated hereunder, the bidder shall intimate immediately in writing to ICLEI South Asia-
- Natural phenomena, including but not limited to abnormally bad weather, unprecedented flood and draught, earthquakes & epidemics.
- Political upheaval, strikes, lockouts, acts of any Government (domestic/foreign) including but not limited to war, properties, and quarantine embargoes.

## Materials/Appliance at Site

- ICLEI South Asia does not undertake any responsibility for supply of any materials/ equipment/ appliance/ tool for site analysis to the bidder
- All materials/ equipment/ tools brought to site by the bidder shall be the responsibility of the bidder. ICLEI South Asia shall extend help as and when approached by the bidder to keep any materials/ equipment/ appliance/ tool, however not liable for any loss, theft or damage due to fire or other cause, the responsibility for which shall lie entirely on the bidder.

## Final Inspection of Work

- ICLEI South Asia team shall make final inspection of all work included in the contract/work order, or any portion thereof, or any completed structure forming part of the work of the contract, as soon as practicable after notification by the bidder that the work is completed and ready for acceptance.



- At the time of such inspection ICLEI South Asia shall the bidder in writing as to the particular concerns to be remedied before final acceptance can be made.

## Annexure A



Figure -1 Site Condition-1



Figure-2 Site Condition-2

## Annexure B

### CDKN safeguarding protocol checklist

This safeguarding protocol checklist has been put in place to assist CDKN team members and grantees in implementing CDKN's safeguarding protocol. It provides a synopsis of safeguarding procedures that should be done at various points during the programme's implementation cycle.

## Procurement to kick-off stage

### At proposal selection/procurement stage (ethics focus):

Have you done an ethics risk review prior to procurement, for instance, at the proposal selection phase?

Have you ascertained if ethics clearance is necessary? This will usually be in instances where a high ethical risk triggers a further investigation by an ethics committee. If yes:

Has ethics clearance been granted?

### At contract stage (safeguarding and due diligence focus):

Have you included the relevant safeguarding clauses in any contract or grant?

Have you included the relevant safeguarding clauses in any MOU, where applicable?

**Did due diligence include (applicable according to proportionality principles):**

Reasonable investigation into a third party's background, reputation, operational and financial capabilities?

Identification of potential risks?

Specific thought into any unique risks for marginalised communities?

Submission of relevant documents?

Please note that while the due diligence procedures of the partner organisation can be followed, this may require additional checks during contracting.

### At grant/ project/ activity kick-off stage:

**Is awareness-raising for grantees and those affected by CDKN activities planned?**

**Does this awareness-raising training include the following:**

Information on sexual harassment, harassment and bullying?

Health and safety advice?

Information on workplace hazards?

Information on safeguarding travel procedures?

Information on health insurance where applicable?

Procedures and safety assurances regarding whistleblowing?

Who are the relevant contact persons for each of the safeguarding principles?

### **Annual/Bi-annual checkpoints**

Has the risk register been reviewed and updated with any potential safeguarding risks? Have mitigation actions been designed and implemented for any safeguarding risks? Have safeguarding considerations been included in your report submissions?

### **Ad-Hoc**

#### **When travelling:**

Has travel insurance been purchased should the travel be international? Do the travellers have the contact and relevant policy numbers for the travel insurance? Is the travel accommodation in a safe area?

Is it possible for travellers to travel in a group of more than one?

Have travellers reviewed any security briefings and consulted with in-country colleagues?

### **CDKN ethics protocol checklist**

The CDKN ethics procedure will be instigated at the proposal stage to allow for early screening, and it will apply to all grants that receive CDKN funding or in-kind support. Ethics criteria should be included in the Call for Concepts application by grantees. Should a medium to high risk be found, the proposal must pass through ethics committee approval. Final ethics clearance will only be provided after project participants have consented to their involvement and medium to high risks have an appropriate mitigation strategy.

### **At the proposal stage:**

#### **Ethical risk review**

Project proposals which reach the second round of the review process will undergo an ethics risk review. Potential risks and potential harm will be identified in the application process. If, at this stage, there is found to be a low-risk level, there will be no further ethics approval requirement.

### **Additional considerations at this point:**

All those involved in reviewing proposals should be given adequate training to ensure all ethical considerations have been clearly outlined before the review begins. Reviewers are requested to contribute to the next iteration of the ethics review process by providing critical feedback.

### **An evaluation by an ethics committee (if required)**



Should a medium to severe risk level be identified, a CDKN ethics review committee will need to assess the proposal. The ethics review committee should assess harm and risk from the perspective of those participating in the grant and not from the perspective of the donor, CDKN team member or grantee managers, as the perspectives of the participants on risk and harm may vary from those aforementioned.

**Additional considerations at this point:**

Ensure all CDKN ethics review committee members have access to relevant training, guidance and resources to carry out all applicable duties and responsibilities fully.

**At the contract stage:**

**Obtaining consent to participate in activities**

At this stage, practical guidance will be provided, outlining what informed consent looks like and how to obtain consent from project participants. A guidance document will be provided to internal CDKN staff, including a consent form template.

**Has relevant ethics-related information been included in the awareness-raising presentation to those affected by CDKN activities?**

**Additional considerations at this point:**

Will consent be gained verbally, face-to-face or online? What considerations need to be kept in mind for those instances?

Are there any language barriers that must be navigated at this stage?

Is the language used in all documentation at this stage accessible and easy to comprehend?

**Annually**

Learnings will be shared collaboratively and the ethical considerations of a project should be reviewed together with the safeguarding protocol checkpoints annually until project closure.

**Ad-Hoc**

Internal capacity building and/or ethics training sessions should be provided ad hoc in line with the team's needs.