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Terms of Reference (ToR)

Services/Work Description:	Conduct National Corruption Perception Survey for Ethiopia
Project/Program Title:	Governance and Democratic Participation Programme (GDPP) FEACC Sub Programme
Duty Station:	Addis Ababa
Type of the Contract:	Contract for Professional Services (only national firm is eligible to apply)
Duration of the Assignment:	6 Months
Expected Start Date:	As soon as possible

1. Background

Ethiopia is in the midst of a democratic transition in which the realization and noticeable actions to the promises made in the fight against corruption plays a profound role to make the transition successful. The transition of power within the ruling EPRDF coalition and the access to power of Prime Minister Dr. Abiy Ahmed had sparked a new wave of hope across the country and the consequent bold action to crack-down corruption and human rights violations made the public to expect more from the new leadership and an added impetus in the fighting corruption. Further, there are high expectations from the people on the new political leadership to set a vision for the country where transparency, accountability and integrity are core pillars of the country's development strategy.

Over the last few years, the issue of corruption has attracted renewed interest, both among the public and policy makers. There are a number of reasons why this topic has come under fresh scrutiny. The need to improve governance and fight corruption has recently gained prominence in Ethiopia as part of efforts to ensure effective implementation of government development policies and to improve welfare of citizens. While broader governance challenges continue to adversely impact development efforts, corruption and rent-seeking practices remain major impediments to the achievement of development goals that Ethiopia has committed nationally and globally.

Ethiopia has since 1990s implemented a number of civil service programme, including the establishment of the Ethics and Anti-Corruption Commission (FEACC) in 2001. To extend and intensify the fight against corruption throughout the country, since 2007, all regional states followed suit in passing laws and establishing their own anti-corruption bodies. Today, all nine regional administrations have Regional Ethics and Anti-Corruption Commissions (REACCs). The nine regional states represent diverse demographic, socio-economic and geographical compositions and are bound to have an impact on the level and form of corruption each region experiences.

Over the last eighteen years, the FEACC and REACCs have achieved significant results in educating, preventing, investigating and prosecuting corruption. Millions of citizens have been educated on ethics and

integrity; thousands of corrupters have been investigated and prosecuted¹; an estimated value of more than two Billion Birr has been returned to public treasury by confiscation through court orders. In prevention realms, the working procedures of hundreds of public institutions and enterprises have been studied to identify and address practices that are prone to corruption and remedial recommendations rendered to fill the observed loopholes. Additionally, more than 300,000 elected officials, political appointees and eligible civil servants have been made to declare and register their assets throughout the country to promote transparency and curb corruption in public institutions.

Despite these efforts, corruption practices seem to be on the ascendancy in Ethiopia. Ethiopia scored 34 points out of 100 on the 2018 Corruption Perceptions Index reported by Transparency International. Corruption Index in Ethiopia averaged 29.28 Points from 2000 until 2018, reaching an all-time high of 35 Points in 2002 and a record low of 22 Points in 2005. These figures tell a long way to go in terms of ensuring a transparent and accountable system of governance across all government structures and fully mainstream ethics and integrity in the education system of the country in the move to create a generation of public service and society that is accountable, responsive and transparent.

The coming to power of a new leadership within the EPRDF government brought fresh momentum to the fight against corruption and prompting and ensuring integrity in the public sectors. A number of reform programs are being implemented by the government to take the reform agenda forward. For example, FEACC placement and line of responsibility has been changed and the commission is reporting and accountable to the House of Peoples Representative (HOPR) of the FDRE². In line with the reform programme and as part of the Commission's plan to fully understand the nature and extent of corruption in Ethiopia and to develop a baseline information for the purpose of measuring progress in anti-corruption efforts in the country, the commission plans to conduct a national corruption perception survey taking into account the politico and socio-economic situation of the country. The result of the survey is expected to provide useful information on corruption dynamics, intensity and trends regarding corruption throughout the country.

The FEACC conducted the second survey in 2011 and since then, there have not been other specific surveys solely on the issue of corruption. The second survey contains diverse information on corruption and provides a rich pool of information for a greater choice of focus for further study. According to the second survey result, corruption is not considered as the topmost problems among a host of socio-economic problems. Petty corruption is the most prevalent form of corruption and regional government institutions, municipal offices, the judiciary and the police are mainly vulnerable to this form of corruption. There is also lack of transparency and instances of corruption in the dealings of public institutions with business enterprises as well as in areas such as customs clearance, taxes and revenue collection, application and interpretation of regulations, as well as government procurement procedures. The public service is also not free from abuse of authority, favouritism, ethnicity and nepotism in the recruitment and promotion of employees despite the government commitment to combating corruption through the various mechanisms and legislation that it had instituted. Those perceived assertion of the second survey results may have persisted or declined or took a new form which is yet to be verified by the third survey.

¹ FEACC investigation and prosecution power has been taken over by the act that establishes the Attorney General (2016) and the power has been given to the federal police and federal attorney general respectively.

² This is clearly stipulated in a proclamation (no. 1097/2018) issued to provide for the definition of the powers and duties of the executive organs of the FEDRE.

The third survey will enable the Government of Ethiopia to be able to come up with appropriate and effective policy/strategy and programmatic responses to corruption. The task will support the ongoing anti-corruption endeavor of the federal and regional governments by identifying and analysing the changes and new incidences revealed since the second survey in 2011 and to provide recommendations for the government to pursue in combating corruption.

It is against this background that FEACC partners with UNDP through the Governance and Democratic Participation Programme (GDPP) to conduct the national corruption perception survey and seeking a firm level consultancy that would ensure a sound end product which can drive new policy/strategy development in the area of good governance and particularly, in the field of civil service reform and anti-corruption.

2. Objectives and Scope of the Consultancy

Objective

The major objective of the perception survey is to determine the perceived level of corruption in Ethiopia and promote public debates and drive demand for change on corruption.

The specific objectives of the assignment are to:

- a) Identify the trend and status of corruption after the introduction of the second survey;
- b) Review and determine comprehensiveness and effectiveness of existing ethics, integrity and corruption prevention policies, strategies, mechanisms and systems;
- c) Identify and determine the forms and causes of corruption that are most prevalent;
- d) Identify sectors and institutions most affected by and prone to corruption and examine the extent, level, type and nature of corruption;
- e) Conduct a comparative analysis of the survey result with the previous corruption perception survey; and
- f) Propose interventions/strategies to enhance ethics, integrity and effectively combat corruption in Ethiopia, building on international best practices.

Scope of Work

The consultancy requires to work closely with the FEACC and the relevant sectors to establish and understand public perception and the cause of corruption in the country. The country is divided into nine regional states and two city administrations and the consulting firm is required to collect sample data from all. The sample size should be selected from across the country, ensuring representativeness in terms of age, county, gender, social class, geographical location and rural-urban distribution. In addition, the sample for the national corruption perception survey should be designed to provide estimates for several indicators on the perception of corruption, identification of corrupt sectors at national and regional levels for urban and rural areas, and for all nine regions and two city administrations.

In addition, the survey should assess the public perceptions and experiences with public service and public service delivery in terms of trust, responsiveness, ethics, integrity and inclusiveness. Besides, it should assess

the drivers of corruption in public institutions, identify the forms and causes of corruption that are rampant and determine sectors that are more corrupt than the others.

This would further require engaging with the FEACC and relevant government bodies to generate agreement on a final research methodology, including support to a broader user consultation event. The assignment involves also conducting small scale pre-testing survey and large-scale piloting and to finalize survey instruments and field manual in consultation with technical committee established for this purpose³.

The consultant firm is expected to undertake stakeholder mapping and analysis; use a consultative process and apply an appropriate tool to identify focus areas and develop appropriate questionnaires to be used for data collection and analysis. The consultant firm is also expected to conduct desk study of perception surveys related to corruption (example, attitude of the public towards the government/FEACC, easy of doing business, transparency international report of corruption perceptions index) for developing the methodology of the survey. The consultant firm is also expected to conduct desk study of public and private institutions in Ethiopia to produce a list of institutions to focus on this national corruption perception survey. Besides, the assignment requires to undertake institutional review of the key institutions to determine the comprehensiveness and effectiveness of existing, integrity and corruption prevention policies, strategies and mechanisms.

The assignment also involves to making a comparative analysis with the results of the 2011 national corruption perception survey as well as assess the level of community participation in combating corruption. The assignment also involves to making a comparative analysis with the results of the 2011 national corruption perception survey as well as assess the level of community participation in combating corruption.

3. Approach and Methodology

The consultant will be required to develop a clear and rigorous methodology with the aim of achieving all the set survey objectives and to deliver on the above-mentioned key tasks, and should include the determination of the data sources, sampling techniques, sample selection, instruments and procedures of data collection and process of data analysis and interpretation.

The survey instruments and procedures are expected to be prepared for different group of respondents. Besides, the questionnaires will be prepared in English and official languages of the nine regions and two-city administration consisting of highly structured response type and open-ended items for free response from interviewers. In addition to defining the methodology, the consultant firm is expected to determine the data sources, as mentioned above; select sample areas in nine regional states and two city administrations and prepare questionnaires and select and train experts for data collection. Besides, the sample areas should be both from urban and rural areas and both public and private sectors.

The survey should involve two phases; the pilot and full-scale survey. During the pilot survey, the respondents and the distribution of the questionnaires shall be representative of the nine regions and two city

³ It is anticipated that a technical committee drawn from FEACC, CSA and UNDP will be established to follow up and provide technical guidance and support at each stage of the assessment, appraise methodology and technical approaches, review draft results, and appraise the result of the survey.

administrations in conjunction with the targeted entities as respondents. The consulting firm is also expected to distribute and collect the questionnaires, analyze and produce a report. Based on the report, the firm is also expected to conduct a workshop to identify special and unique challenges encountered in conducting the survey and finally, make adjustment for the full-scale survey. In the full-scale survey, the respondents and the distribution of the questionnaires will be as per the approved proposal which will be jointly discussed and formulated.

In addition, the assignment involves desk-review and institutional review of the key institutions to determine the comprehensiveness and effectiveness of existing ethics, integrity and corruption prevention policies, strategies and mechanisms.

4. Expected Deliverables

- i. ***Inception Report***, which contains a comprehensive and time bounded work plan identifying the roles of each team member carrying out the survey and the different phases of the survey and detailed methodology (including the description of the methodologies and tools to be used in the survey including sample size and questionnaire) and annotated outline of the final report, *to be submitted within two weeks of signing contract;*
- ii. ***Draft Pilot Survey Report***, which contains the issues identified and how they should be addressed during the full-scale survey including the inputs and comments of stakeholders from the validation workshop, *to be submitted within thirteen weeks of signing contract;*
- iii. ***Draft Full-Scale Survey Report divided into two section***, the survey findings with recommendations and response strategies for action, *to be submitted within Twenty weeks of signing contract;*
- iv. ***Validation Workshop***, which would be organized by FEACC and UNDP, *within Twenty-Two weeks of signing contract;*
- v. ***Final Corruption Perception Survey Report – divided into two sections***: survey report, containing the inputs from the validation workshop and all the data and information of the survey and response strategies to the survey findings and the final report is to be submitted both in hard (colour print) and soft copies including the data set used in a separate annex and both in hard and soft copy, *within Twenty-Four weeks of signing contract.*

5. Timeframe

The survey is expected to be undertaken for a duration of 4 months over a period of 6 months from the date of signing the contract. It is envisaged that implementation of this assignment commences as soon as possible.

6. Firm experience

The consulting firm required for this assignment should have a mix of expertise in statistics, public administration, psychology, sociology, public policy and economics (related social science area), with a minimum of five years of experience in conducting research and preparation of analytical survey reports. The Consulting team should have a minimum of 3 experts comprising a **project manager, team leader and associate consultant.**

The team members are expected to fulfil the following qualification and experience:

- Master's degree in a relevant field (i.e. statistics, public administration, public policy, Economics, Psychology and related social science areas). PhD qualification is highly preferred for the manager and team leaders;
- Have at least 7 years of professional experience in the field of statistical and data management, survey research and analysis;
- Substantive experience of conducting quantitative research;
- Experience working directly with governments conducting surveys;
- Experience working with national statistics agency or similar research institutions;
- Experience in training and capacity development of government staff for surveys;
- Experience leading research project teams and/or working with local partner organizations;
- Experience in designing, conducting or overseeing good governance survey and civil service reform;
- Experience in Africa is a strong advantage,

Competencies:

- Fluency in both Amharic and English languages;
- Sound communication skills both verbal and writing;
- High cultural sensitivity needed;
- Assessment, analytical, statistical and planning skills;
- Strong presentation and facilitation skills; and
- Flexibility and adaptability to work in/with a varied team across multiple office and cultures.

7. Institutional Arrangement and Reporting Relationship

A technical committee drawn from FEACC, MoF, OAG, OFAG, FIC, CSC, FP, CSA and UNDP will be established to provide technical guidance. The technical committee will also be assisted by an international expert in conceptualizing the survey, review and provide feedbacks on inception report and research methodologies and data collection instruments. This consultancy assignment will be jointly managed by a core team drawn from the FEACC and UNDP. The contract administration, coordination, and technical follow-up will be managed by FEACC and UNDP. The technical committee will provide technical advice and support at each stage of the assessment, appraise methodology and technical approaches, review draft results, and appraise and approve the results of the survey. The survey will also be enriched by comments from FEACC and UNDP experts.

8. Payment Milestones and Authority

Payment for this consultancy service will be undertaken based on the following condition:

- i. Submission and approval of inception report with detailed methodology and work plan (10%);
- ii. Submission and approval of draft full-scale survey report: Divided into two section: Survey findings and recommendations and response strategies for action (40%);
- iii. Submission and approval of draft full-scale survey report: with the inputs and comments of stakeholders (20 %); and
- iv. Submission and approval of final corruption survey report containing all the data and information needed (30%).

Note that final payment is dependent on the completion of all the tasks as well as hand-over notes and submission of all the deliverables and subsequent approval of the core team drawn from FEACC and UNDP.

9. Confidentiality and Proprietary Interests

The information collected, and the resulting findings shall be the property of FEACC and UNDP shall not be disclosed/ revealed to any third party without express permission of the FEACC/UNDP. The Consultant shall not either during the term or after termination of the assignment, disclose any proprietary or confidential information related to the consultancy or the Government without prior written consent. Proprietary interests on all materials and documents prepared by the consultants under the assignment shall become and remain properties of the Government of Ethiopia/FEACC.

Data collected for the study is the property of the Government of Ethiopia/FEACC. Master versions of the data, coding protocols and programming code permitting replication of results of core survey reports will be kept by the FEACC.

10. Logistical Support

- FEACC will ensure that the Consultancy Firm receives access to all sectors where they need to go for data collection.
- The consulting firm will not be provided with lodging and/or meals or DSA during any field visits for the survey.
- The consulting firm will not be provided with office space. The firm should be working from their own office facility in Addis Ababa and travel whenever needed for data collection using the company's own arrangement.
- The consulting firm should provide his/her own materials, i.e. computer, required software packages, get the relevant data for the analysis, office supplies, etc.

11. Evaluation Criteria

Upon the advertisement of the Procurement Notice, qualified Consultancy Firm is expected to submit both the Technical and Financial Proposals. Accordingly, the firm will be evaluated based on Cumulative Analysis as per the following conditions:

- Responsive/compliant/acceptable as per the Instruction to Bidders (ITB) of the Standard Bid Document (SBD), and
- Having received the highest score out of a pre-determined set of weighted technical and financial criteria specific to the solicitation. In this regard, the respective weight of the proposals are:
 - A. Technical Criteria weight is 70%
 - B. Financial Criteria weight is 30%

Annex -1. Technical Proposal Evaluation Criteria

Summary of Technical Proposal Evaluation Forms		Score Weight	Points Obtainable
1	Expertise of Firm / Organization	30%	300
2	Proposed Methodology, Approach and Implementation Plan	40%	400
3	Management Structure and Key Personnel	30%	300
TOTAL		100%	1000

Technical Proposal Evaluation (FORM I)		
Expertise of the Firm / Organization		Points Obtainable
1.1	Reputation of Organization and Staff / Credibility / Reliability / Industry Standing	50
1.2	General Organizational Capability which is likely to affect implementation <ul style="list-style-type: none"> - Financial Stability - Loose consortium, Holding company or One firm - Age/size of the firm - Strength of the Project Management Support - Project Financing Capacity - Project Management Control 	90
1.3	Extent to which any work would be subcontracted (subcontracting carries additional risks which may affect project implementation, but properly done it offers a chance to access specialized skills.)	15
1.4	Quality assurance procedure, warranty	25
1.5	Relevance of: <ul style="list-style-type: none"> - Specialized Knowledge - Experience on Similar Programme / Projects - Experience on Projects in the Region - Work for UNDP/ major multilateral/ or bilateral programmes 	120
SUB TOTAL		300
Technical Proposal Evaluation (FORM II)		
Proposed Methodology, Approach and Implementation Plan		
2.1	To what degree does the Proposer understand the task?	30
2.2	Have the important aspects of the task been addressed in sufficient detail?	25
2.3	Are the different components of the project adequately weighted relative to one another?	20

2.4	Is the proposal based on a survey of the project environment and was this data input properly used in the preparation of the proposal?	55
2.5	Is the conceptual framework adopted appropriate for the task?	65
2.6	Is the scope of task well defined and does it correspond to the TOR?	120
2.7	Is the presentation clear and is the sequence of activities and the planning logical, realistic and promise efficient implementation to the project?	85
SUB TOTAL		400
Technical Proposal Evaluation (FORM III)		
Management Structure and Key Personnel		
3.1	Task/Project Manager General Qualification Suitability for the Project	
	- International experience	25
	- Training experience	20
	- Professional experience in the area of specialization	45
	- Knowledge of region	30
	- Language qualification	20
SUB TOTAL		140
3.2	Senior Expert(s) / Lead Consultant(s) /Team Leader (s) General Qualification Suitability for the project	
	- International experience	15
	- Training experience	15
	- Professional experience in the area of specialization	45
	- Knowledge of the region	25
	- Language qualification	20
SUB TOTAL		120
3.3	Project Staff/ Associate Consultants General Qualification Suitability for the project	
	- International experience	5
	- Training experience	5
	- Professional experience in the area of specialization	10
	- Knowledge of the region	10
	- Language qualification	10
SUB TOTAL		40
TOTAL (3.1+3.2+3.3)		300
Aggregate		1000