



# Technical Assistance Report

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Project Number: 48482-001  
Policy and Advisory Technical Assistance (PATA)  
December 2015

## Federated States of Micronesia: State-Level Public Administration Review (Phase 1)

This document is being disclosed to the public in accordance with ADB's Public Communications Policy 2011.

**Asian Development Bank**

## CURRENCY EQUIVALENTS

(as of 26 November 2015)

The currency of the Federated States of Micronesia is the United States dollar.

## ABBREVIATIONS

ADB	–	Asian Development Bank
CTF	–	Compact Trust Fund
FSM	–	Federated States of Micronesia
PSS	–	Public Service System
SSC	–	Special Service Contract
TA	–	technical assistance
US	–	United States

## NOTES

- (i) The fiscal year (FY) of the Government of the Federated States of Micronesia and its agencies ends on 30 September. "FY" before a calendar year denotes the year in which the fiscal year ends, e.g., FY2016 ends on 30 September 2016.
- (ii) In this report, "\$" refers to US dollars

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## POLICY AND ADVISORY TECHNICAL ASSISTANCE AT A GLANCE

<b>1. Basic Data</b>		<b>Project Number: 48482-001</b>	
<b>Project Name</b>	State-Level Public Administration Review (Phase 1)	<b>Department /Division</b>	PARD/PAUS
<b>Country</b>	Micronesia, Federated States of	<b>Executing Agency</b>	Department of Finance and Administration
<b>2. Sector</b>		<b>ADB Financing (\$ million)</b>	
✓ Public sector management	Public administration		0.50
		<b>Total</b>	<b>0.50</b>
<b>3. Strategic Agenda</b>		<b>Climate Change Information</b>	
Inclusive economic growth (IEG)	Pillar 1: Economic opportunities, including jobs, created and expanded	Climate Change impact on the Project	Low
<b>4. Drivers of Change</b>		<b>Gender Equity and Mainstreaming</b>	
Governance and capacity development (GCD)	Institutional development Institutional systems and political economy Organizational development Public financial governance	No gender elements (NGE)	✓
Knowledge solutions (KNS)	Application and use of new knowledge solutions in key operational areas Knowledge sharing activities		
<b>5. Poverty Targeting</b>		<b>Location Impact</b>	
Project directly targets poverty	No	Nation-wide	High
<b>6. TA Category:</b>	B		
<b>7. Safeguard Categorization</b>	Not Applicable		
<b>8. Financing</b>			
<b>Modality and Sources</b>		<b>Amount (\$ million)</b>	
<b>ADB</b>		<b>0.50</b>	
Policy and advisory technical assistance: Technical Assistance Special Fund		0.50	
<b>Cofinancing</b>		<b>0.00</b>	
None		0.00	
<b>Counterpart</b>		<b>0.00</b>	
None		0.00	
<b>Total</b>		<b>0.50</b>	
<b>9. Effective Development Cooperation</b>			
Use of country procurement systems			No
Use of country public financial management systems			No

## I. INTRODUCTION

1. The Federated States of Micronesia (FSM) is heavily reliant on external assistance, especially financial support by the United States (US). Despite a recent surge in fishing fee revenues, the country still relies on the US for more than 50% of its fiscal revenues. However, the US support under the Compact agreement will cease at the end of fiscal year (FY) 2023. The 2023 Action Plan, approved in January 2015, is a road map for tackling the fiscal and economic challenges up to and beyond FY2023.<sup>1</sup> The action plan reaffirms the critical importance of fiscal consolidation and economic growth. For fiscal consolidation, the action plan reiterates the need for tax and tax administration reforms to mobilize revenue and continue efforts toward expenditure control through better public administration and financial management.

2. The Asian Development Bank (ADB) has supported public administration reforms at the national government level since 2013.<sup>2</sup> The government has requested additional technical assistance (TA) from ADB to support public administration reforms at the state level.<sup>3</sup> The TA is included in the FSM country operations business plan, 2016–2018.<sup>4</sup> A fact-finding mission on 10–13 November 2015 reached an understanding with the government on the impact, outcome, outputs, implementation arrangements, cost, financial arrangements, and consulting services for the TA. The design and monitoring framework is in Appendix 1.<sup>5</sup>

## II. ISSUES

3. As a former Trust Territory of the Pacific Islands, the FSM entered into the Compact with the US in 1986.<sup>6</sup> The amended Compact took effect in May 2004, providing US financial support for a 20-year period. The FSM receives two streams of funds: Compact sector grants and Compact Trust Fund (CTF) contributions. The grants finance both recurrent and capital spending in education, health, and infrastructure, and the annual CTF contributions help generate alternative revenue flows once US assistance terminates after FY2023.

4. Total US assistance makes up about 60% of total consolidated government revenues for FY2010–FY2014. After FY2023, the FSM needs to replace the Compact sector grants with the proceeds (investment returns) of the CTF. As of 30 June 2015, the value of the CTF is estimated at around \$422 million, which is about \$100 million below the estimated target. Fiscal consolidation remains a core reform agenda for the country.

5. A recent surge in fishing fee revenue under the Vessel Day Scheme and a one-off increase of corporate tax revenues from captive insurance companies boosted the national government's revenues. In FY2014, the national government ran a record fiscal surplus of \$48 million, or 14% of gross domestic product. However, the states continued to operate tight budgets and recorded a deficit of \$7.6 million, or -2.4% of gross domestic product. Fiscal

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<sup>1</sup> Government of the Federated States of Micronesia. 2015. *The 2023 Action Plan*. Palikir.

<sup>2</sup> ADB. 2012. *Technical Assistance to the Federated States of Micronesia for Public Administration Review of the National Government*. Manila (TA 8290-FSM), and ADB. 2008. *Technical Assistance to the Federated States of Micronesia for Strengthening Public Sector Performance*. Manila (TA 7213-FSM).

<sup>3</sup> FSM consists of four states: Chuuk, Kosrae, Pohnpei, and Yap. Each state is administered by a governor and has its own Congress.

<sup>4</sup> ADB. 2015. *Country Operations Business Plan: Federated States of Micronesia, 2016–2018*. Manila.

<sup>5</sup> The TA first appeared in the business opportunities section of ADB's website on 2 December, 2015.

<sup>6</sup> The Compact of Free Association between the FSM and the US provide for US economic assistance (including eligibility for certain US federal programs), defense of the FSM, and other benefits in exchange for US defense and certain other operating rights in the FSM, denial of access to FSM territory by other nations, and other agreements.

adjustments at the state level are painful since states are highly dependent on the compact for financing even recurrent expenses, including compensation of employees.

6. Fiscal consolidation through both revenue and spending measures remains the key development challenge for the FSM. On the revenue side, revenue mobilization with better tax administration and tax reforms remains a key challenge, since the long-planned reform initiatives have not yet been implemented because of the opposition of two states (highlighting the important lesson of gaining state ownership of any planned reforms if they are to be successful). It is also critical to establish an effective revenue-sharing system between the national government and the states, based on a careful review of fiscal need and fiscal capacity. On the expenditure side, public administration reforms are required to rationalize the general government including the states to enhance the efficiency and effectiveness for its expenditure control.

7. ADB has supported the public administration review of the national government with TA (footnote 2), helped the national government define the major challenges of administration reforms, and proposed medium-term measures to overcome administration hurdles. Major reform areas covered under the TA projects were (i) rationalization of organizational structures based on core functions of each government unit; (ii) simplification of job grade and compensation structures; (iii) integration of jobs under Special Service Contracts (SSCs) and of exempt positions into the Public Service System (PSS); and (iv) strengthening of the performance evaluation system. State governments are faced with problems found at the national government.

8. The structure of the national government is fairly complicated and fragmented, with departments, offices and agencies, that either directly report to the Office of the President or operate under boards that are appointed by the President, and whereby heads of departments have no direct link to (or oversight of) the boards and agencies that operate in their respective sectors. Some of the agencies are reflected in the national budget, others are not. The President appoints heads of the agencies and they make up the Cabinet, but officially, this composition of the government is not clearly defined. The TA projects proposed a rationalized organizational structure based on core functions of each government unit and simplified its reporting system.

9. The total number of staff positions to perform the national government functions equates to 630 full-time employees. This includes 482 positions (76.5% of the total) filled by persons recruited under the PSS. Some 46 positions (7.3%) are labeled “exempt”, while 91 positions (14.4%) are filled by staff employed under SSCs. Most of the latter positions, although not all, are funded under the US federal grant programs and, to a lesser extent, Compact funding. The exempted positions do not fall under the PSS regulations. It means that in the executive branch, less than 80% of the employed people are governed by the PSS regulations, and that over 20% have preferential arrangements (higher salaries). The group of those in the SSC and exempt positions accounts for about 60% of the total wage bill. The national government has frozen the nominal wage as an expenditure control policy in the past years, which made it difficult to recruit skilled officials. The increase in the SSC and exempt positions was a measure to mobilize skilled workers without violating the nominal wage freeze for the staff under the PSS. The TA projects prepared a reform option to integrate the SSC and exempt positions into the PSS.

10. Another critical issue in civil service management is an overly overlapping job grading and payment structure—33 grades and pay levels for a small public service with 630 staff. The overly duplicated compensation system implicitly emphasizes length of service and seniority

rather than hierarchy of responsibility and supervision, and gives minimal scope for pay differentials that would compensate for differences in job content, responsibilities, and skill. The TA projects proposed to reduce the number of pay levels and/or job grades, and reduce the amount of overlap between pay levels to increase pay differentials that would allow to honor differences in skills and responsibilities.

11. Under the freeze of the nominal wage, most heads of government units have stopped performance evaluation of their staff even through it is mandatory since there is no way to reward good performers. The TA proposes to revitalize the performance evaluation system to measure staff performance and provide appropriate feedback to the employees.

12. The 2023 action plan is a road map for tackling the country's fiscal and economic challenges up to and beyond FY2023. The action plan confirms the critical importance of fiscal consolidation and economic growth. For fiscal consolidation, the action plan emphasizes the need for effective expenditure control through better administration with the tax and tax administration reforms. Based on the previous engagements in the public administration reforms at the national government, this TA focuses on public administration reforms at the state level. The proposed TA intends to support the reform initiative by helping participating state authorities to develop a medium-term public administration reform plan that covers a reorganization of government structures, rationalization and simplification of the job grading and pay structure, integration of SSC and exempt positions into the PSS, and reinvigoration of the performance review system. The TA will also help the state governments to introduce a corporate planning approach based on international experience to establish clear links between resource needs and resource allocations in the budgeting process.

### III. THE POLICY AND ADVISORY TECHNICAL ASSISTANCE

#### A. Impact and Outcome

13. The impact will be efficient public service provisions at the state level and a contribution to long-term fiscal consolidation. The outcome will be an endorsement of the medium-term public administration reform plan by the Office of the Governor of each participating state and its submission to the State Congress.

#### B. Methodology and Key Activities

14. The TA will develop a medium-term public sector reform plan (for each participating state), which covers the output areas described below, as appropriate. Throughout the TA implementation, consideration will be given to an assessment of capacity development and training needs and, to the extent possible, this will be supported through training and workshops.

15. **Output 1: Reorganization of government structures based on a functional review of government units.** The TA will help simplify state government structures to better reflect key functions and responsibilities of each government unit, and the reporting system will be streamlined with clear supervising responsibilities for a respective head of department. The reorganization of government structures will create an opportunity for state governments to consider staff relocation across government units based on staff's needs for fulfilling their core functions.

16. **Output 2: Development of a corporate planning method linking core activities and resource requirements.** Corporate planning activities, which link resource needs to fulfil core

functions of government units with resource and staff allocation is an indispensable requisite for effective fiscal consolidation. The TA will review international experience of corporate planning activities in several countries to find suitable options for consideration by the government.

17. **Output 3: Rationalization and simplification of the job grading and pay structure.** Significantly overlapping job grading and pay structures have persistently undermined staff incentives for good performance. A more balanced distribution of jobholders across the pay scales, and a reduction in the amount of overlap between pay levels, will allow state governments to increase pay differentials to compensate for differences in skills and responsibilities. Some support will also be given to the national government to finalize the civil service reform bills based on the key recommendations of the previous TA projects. Under the leadership of the vice-president, the national government has a strong commitment to civil service reforms.

18. **Output 4: Integration of Special Service Contract and exempt positions into the Public Service System.** As a result of the nominal pay stagnation, the public service found it difficult to attract, retain, and motivate personnel with requisite skills. This led to a significant increase of staff under SSC and exempt conditions, which in turn hurt staff morale and incentives among staff under the PSS. Core staff under the SSCs and exempt position should be integrated in the PSS because they were not given the same preferential treatment. Noncore positions should be contracted for a limited duration. Salaries for staff under SSCs and exempt conditions should be graded in line with PSS terms based on the results of an objective and systematic job audit and evaluation process.

19. **Output 5: Reinvigoration of the system for strengthening merit-based human resource management.** Under the long nominal pay freeze, most heads of government units stopped performance evaluations even though these are mandatory. Updated job descriptions and an evaluation instrument or form will be developed to measure staff performance and provide appropriate feedback to the employees. This will enable a merit-based salary increase even if the total wage bill will be controlled for fiscal sustainability.

### **C. Cost and Financing**

20. The TA is estimated to cost \$550,000, of which \$500,000 will be financed on a grant basis by ADB's Technical Assistance Special Fund (TASF-V). The offices of governor in participating states will provide counterpart support in the form of counterpart staff, office space, and other in-kind contributions (Appendix 2).

### **D. Implementation Arrangements**

21. The TA will be implemented in two states, selected on the basis of their commitment to public administration reform. The national Ministry of Finance and Administration will be the executing agency and the office of the governor in each participating state will act as an implementing agency. The offices of the governor will provide quality assurance and coordination with other departments, state agencies, and stakeholders. The TA will be implemented from January 2016 to November 2017.

22. International consultants (14 persons-months, intermittent) will be recruited using individual consultant selection in accordance with ADB's Guidelines on the Use of Consultants (2013, as amended from time to time). The consulting services under the TA will be engaged



under an output-based (lump–sum) contract wherever possible. The consultants will report to ADB and the offices of the governors on the substance and timing of deliverables. Key recommendations of the TA will be discussed in final workshops in the target states, and a national workshop on public administration reform will be organized to share reform options with the national government and other states. Resource persons from the Philippines and Bhutan who have long experience of establishing corporate planning systems will be invited to the national forum to share their experience in civil service reforms and corporate planning activities. The engagement of the resource persons will comply with ADB rules. The terms of reference for the consulting services are in Appendix 3. All disbursements under the TA will be in accordance with *ADB's Technical Assistance Disbursement Handbook* (2010, as amended from time to time).

#### **IV. THE PRESIDENT'S DECISION**

23. The President, acting under the authority delegated by the Board, has approved the provision of technical assistance not exceeding the equivalent of \$500,000 on a grant basis to the Government of the Federated States of Micronesia for the State-Level Public Administration Review (Phase 1), and hereby reports this action to the Board.

## DESIGN AND MONITORING FRAMEWORK

<b>Impact the Technical Assistance is Aligned with</b>			
The TA will enhance the performance and efficiency of public service at the state level through public administration reforms and contribute to the long-term fiscal consolidation. It will also allow the state governments to adopt an incentive-compatible wage policy with the overall goal of effective expenditure control for the fiscal consolidation (FSM's 2013 Action Plan). <sup>a</sup>			
<b>Results Chain</b>	<b>Performance Indicators with Targets and Baselines</b>	<b>Data Sources and Reporting</b>	<b>Risks</b>
<p><b>Outcome</b></p> <p>In each participating state, the Office of the Governor endorses the medium-term public sector reform plan for submission to the state</p>	<p>By 2018:</p> <p>Governor's endorsement</p>	<p>Letter to State Congress</p>	<p>Failure of a state government to act on policy advice</p>
<p><b>Outputs</b></p> <p>1. Reorganization of state government structures based on a functional review of government units</p> <p>2. Development of a corporate planning method linking core activities and resource requirements</p> <p>3. Rationalization and simplification of the job grading and pay structures</p> <p>4. Integration of SSC and exempt positions into the PSS</p> <p>5. Reinvigoration of the system for strengthening merit based human resource management.</p>	<p>A rationalized organizational structure based on core functions prepared by 2017</p> <p>A corporate planning method developed by 2017</p> <p>Simplified job grading and pay structures prepared by 2017 (Baseline: 33 job grades and pay levels in 2015)</p> <p>New job descriptions developed by 2017</p> <p>A unified public service management prepared by 2017 (Baseline: not unified in 2015)</p> <p>Performance appraisals in place for FY2017 (Baseline: None in 2015)</p>	<p>Consultant's report, transmittal memo</p> <p>Consultant's report, transmittal memo</p> <p>Consultant's report, transmittal memo</p> <p>Consultant's report, transmittal memo</p> <p>Consultant's report, transmittal memo</p>	<p>Weak consensus building capacity at the state level</p> <p>Resistance against the proposed reform options not well managed</p> <p>Lack of public support.</p>

<p><b>Key Activities with Milestones</b></p> <ol style="list-style-type: none"> <li>1.1 Consultation meetings with state governments (January to February 2016)</li> <li>1.2 Kick-off meetings with target state governments (March 2016)</li> <li>1.3 Final workshops with the state governments (May 2017)</li> <li>1.4 Submission of the medium term-reform plan to governors (June 2017)</li> <li>1.5 National forum on Public Administration Reforms (July 2017)</li> <li>2. Reorganization of government structure based on functional review of government units (April to June 2016) <ol style="list-style-type: none"> <li>2.1 Assessment of public administration setup based on core functions of each unit (April to May 2016)</li> <li>2.2 Preparation of alternative organization structures (reform options) (June 2016)</li> </ol> </li> <li>3. Development of an adequate corporate planning method to link core activities and resource requirements (June to July 2016) <ol style="list-style-type: none"> <li>3.1 Review of international experience of corporate planning activities in several countries (June 2016)</li> <li>3.2 Preparation of suitable options for the government consideration (July 2016)</li> </ol> </li> <li>4. Rationalization and simplification of the job grading and pay structures (July to September 2016) <ol style="list-style-type: none"> <li>4.1 Assessment of the current job grading and pay structures (July 2016)</li> <li>4.2 Preparation of simplified job grading and pay structures (July to August 2016)</li> <li>4.3 Estimation of cost implications of the alternative job grading and pay structures (September 2016)</li> </ol> </li> <li>5. Integration of SSC and exempt positions into the PSS (October to December 2016) <ol style="list-style-type: none"> <li>5.1 Assessment of jobs under SSC and exempt conditions by government unit (October 2016)</li> <li>5.2 Preparation of reform options to incorporate the SSC and exempt positions into the PSS (November to December 2016).</li> <li>5.3 Review of representative job descriptions of each unit and proposal for a methodology to redevelop the job description format (January 2017)</li> </ol> </li> <li>6. Reinvigoration of merit-based human resource management system (January to March 2017) <ol style="list-style-type: none"> <li>6.1 Assessment of the current performance evaluation system (January 2017)</li> <li>6.2 Preparation of reform options to establish a more merit-based management system (February to March 2017)</li> <li>6.3 Training in performance evaluation system (April to June 2017)</li> </ol> </li> </ol>
<p><b>Inputs</b></p> <p>ADB: \$500,000 (grant)</p> <p>The government will provide counterpart support in the form of counterpart staff, office space, and other in-kind contributions.</p>
<p><b>Assumptions for Partner Financing</b></p> <p>Not applicable.</p>

ADB = Asian Development Bank, FSM = Federated States of Micronesia, FY = fiscal year, PSS = Public Service System, SSC = Special Service Contract, TA = technical assistance.

<sup>a</sup> Government of the Federated States of Micronesia. 2015. *The 2023 Action Plan*. Palikir.

Source: Asian Development Bank.

**COST ESTIMATES AND FINANCING PLAN**

(\$'000)

Item	Amount
<b>Asian Development Bank<sup>a</sup></b>	
1. Consultants	
a. Remuneration and per diem	
i. International consultants	300.0
b. International and local travel	70.0
c. Reports and communications	5.0
2. Training, seminars, and conferences <sup>b</sup>	
a. Resource persons <sup>c</sup>	25.0
b. Training program	45.0
3. Miscellaneous administration and support costs <sup>d</sup>	5.0
4. Contingencies	50.0
<b>Total</b>	<b>500.0</b>

Note: The technical assistance (TA) is estimated to cost \$550,000, of which contributions from the Asian Development Bank are presented in the table above. The government will provide counterpart support in the form of counterpart staff, office space, and other in-kind contributions. The value of government contribution is estimated to account for 9% of the total TA cost.

<sup>a</sup> Financed by the Asian Development Bank's Technical Assistance Special Fund (TASF-V).

<sup>b</sup> Training, seminars, and conferences under the TA include:

Purpose	Number of Participants	Venue	Duration (in days)
Training in performance evaluation (in two target states)	30 each	TBD	1
Final workshops with state governments (in two target states)	30 each	TBD	1
National forum on public administration reforms (with the national and all state governments)	50	TBD	1

TBD = to be determined.

<sup>c</sup> Resource persons from the Philippines and Bhutan will be mobilized for the national forum on public administration reforms to share their reform experience. The engagement of the resource persons will comply with ADB rules.

<sup>d</sup> Includes report editing, printing, and dissemination.

Source: Asian Development Bank estimates

## OUTLINE TERMS OF REFERENCE FOR CONSULTANTS

1. International consultants comprising a public administration and compensation expert (10 person-months) and a performance evaluation expert (4 person-months) will be mobilized to prepare the medium-term public administration reform plans for the target state governments. The consultants will be recruited as an individual consultant on an intermittent basis. The consultants will be selected and engaged in line with the Guidelines on the Use of Consultants (2013, as amended from time to time) of the Asian Development Bank (ADB) and with arrangements satisfactory to ADB. The consulting services under the TA will be engaged under an output-based (lump-sum) contract wherever possible. The consultants will work closely with the Office of the Governor in each target state and with the ADB project officer. It is expected that the consultants' work will include three missions to each state.

2. **Public administration and compensation expert and team leader** (10 person-months, intermittent). The consultant will

- (i) assess the current public administration setup based on core functions of each unit;
- (ii) prepare alternative organization structures (reform options);
- (iii) review international experience with corporate planning approaches and find an appropriate method for the country;
- (iv) assess the current job grading and pay structure;
- (v) prepare simplified job grading and pay structures;
- (vi) estimate cost implications of the alternative job grading and pay structures;
- (vii) assess jobs under Special Service Contracts (SSCs) and the so-called "exempt" positions by government unit;
- (viii) prepare reform options to incorporate the SSC and exempt positions into the Public Service System (PSS);
- (ix) manage the consultation, kick-off, and final workshops with the state governments and presentations in the workshops;
- (x) prepare the medium-term public administration reform plans, and finalize them by incorporating comments from the government and ADB's project officer.
- (xi) brief the State Congress, if required; and
- (xii) prepare all reports as a team leader.

3. **Performance evaluation expert** (4 person-months, intermittent). The consultant will

- (i) review representative job descriptions of each unit;
- (ii) develop a new format of job description for practical uses based on consultation of unit heads;
- (iii) support the updating of job descriptions by unit heads;
- (iv) review current performance evaluation system;
- (v) develop new performance evaluation form;
- (vi) help develop the capacity for introducing the new performance evaluation method; and
- (vii) submit all inputs required by the team leader.

4. Over the implementation period of the assignments, the following reports will be prepared by the team leader and submitted to ADB and the Office of the Governor in the participating states for endorsement:

- (i) inception report (detailing the work plan, approach and methodology, and any matters relevant to the proposed implementation arrangements) by March 2016;
- (ii) progress report (detailing progress on the implementation of the work plan, with assessment reports annexed) by September 2016; and
- (iii) draft medium-term public administration reform plans (detailing the delivery on the work plan, and enclosing the final technical outputs) by May 2017.

5. The consultants will be internationally renowned experts on public administration reform and performance evaluation, in particular in relation to functional reviews and human resource development. They should be appropriately qualified (minimum master's degree, or equivalent, in related fields) and experienced (at least 10 years of relevant professional experience in related fields) with exceptional communication skills and negotiation skills, including the ability to operate in politically charged terrain. Extensive international experience, including experience in the Pacific countries, preferably on similar assignments, is an advantage. The consultants will have extensive experience with leading assignments in a complex and multidisciplinary context.