



**United Nations Development Programme  
COUNTRY: SWAZILAND**

**Project Title:** Facility for Upstream Engagement (FUE) Project  
**SDGs:** **SDG1:** No Poverty **SDG5:** Gender Equality; **SDG8:** Decent work and economic growth; **SDG9:** Industry, innovation, infrastructure; **SDG10:** Reduced inequalities; **SDG13:** Climate Action; **SDG16:** Peace, justice and strong institutions; **SDG17:** Partnership for the goals.

**National Macro-strategic Goals:** Good governance and sound economic management; Environment management and sustainable development; Agriculture Development; Strategic Infrastructure Development and Balanced Regional Growth and Urbanization; Economic acceleration, industrialization and diversification; Research for Development.

**UNDAF Outcome 1.1:** Youth, women and vulnerable groups' opportunities for employment and sustainable livelihoods increased by 2020; **Outcome 3.1:** Public institutions deliver efficient and quality services by 2020.

**UNDP SP Outcome 1:** Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and the exclude.

**Implementing Partners:** Ministry of Economic Planning and Development (MEPD).

**Responsible Parties:** Prime Minister's Office - Policy and Programme Coordination Unit (PPCU), Ministry of Finance (MOF), Deputy Prime Minister's Office (DPMO), Parliament of Swaziland.

**Strategic Partners:** Swaziland Economics Policy Analysis and Research Centre (SEPARC), Coordinating Assembly of Non-Governmental organisation (CANGO), Federation of Swaziland Employers and Chamber of Commerce (FSE&CC), University of Swaziland (UNISWA).

**Brief Description**

**Narrative:** Enabling policy services is central to the Facility Upstream Engagement Project to enable a diversified Swaziland economy and improve the government fiscal management while articulating innovative advancement of basic service delivery, and more resilient institutions and communities, through sound high-level support. Such assistance will be provided by UNDP through assisting research, creating dialogue space for development and nurturing of policy ideas leading to production advisory and technical briefs and dissemination. It will build further the necessary capacities for policy advancement, promote policy development/implementation through effective partnerships and tracking for policy impact.

Programme Period:	2016-2020	2016 AWP budget:	\$ 315,000.00
Project:	2016-2020	Total allocated resources:	
Key Result Area (Strategic Plan):	Policy Support	• Regular	\$ 100,000.00
ATLAS Award ID:	00096815	• Other:	
Project ID:	00100718	o Government	\$ 215,000.00
Start date:	01 June 2016	Unfunded budget:	_____
End Date:	31 December 2020	In-kind Contributions	_____
PAC Meeting Date:	June 2016		
Management Arrangements:	NIM		

Agreed by MEPD: 

Date: 14 June 2016

Agreed by UNDP: 

Date: 14 June 2016





## I. SITUATIONAL ANALYSIS

Swaziland aspires for sustainable development acumen working towards meeting the National Development Strategy, Vision 2022 (1997-2022) targets. In line with the ‘unfinished MDG business,’ the country articulates curbing the global and national financial and economic crisis impacts, through poverty reduction and quality service delivery guided by the National Programme of Action (2013-2018). The NAP also schemes to address high poverty<sup>1</sup> and high unemployment<sup>2</sup> triggered by the low investment in-flows and low resilience to shocks. In addition, this requires more robust institutions for better access to quality public services as well as increased national participation in development progressions.

Classified as lower Middle Income<sup>3</sup> (MICs), the country remains in the low growth category with high inequality<sup>4</sup> indicators. The Sustainable Agenda 2030, provides the country with opportunities to align the global targets with national outcomes that according to the 2015 MDG Report, indicate the need for robust policies and programmes for poverty alleviation, and attention to the agriculture and the health sectors<sup>5</sup>. This was also highlighted in the national dialogue on the Post-2015 Agenda that pointed out employment creation, poverty reduction, food and health security and institutional strengthening, key to sustainable development.

The country analysis for the United National Development Assistance Framework (UNDAF) for 2016 to 2020 noted the low income trajectories, food insecurity, structural institutional issues for effective support to quality basic service provision, and low participative advancement of the NDS development targets. Premised along the UNDAF, the UNDP Country Programme Document 2016-2030 (CPD) advocated for the need to shift emphasis to upstream advisory work that is informed by catalytic research and downstream projects for sound technical policy advice, drawing extensively on its global knowledge networks and the entire UN system.

The internal change management process building on the realignment to the UNDP Strategic Plan 2014-2017 expressed the need for increased incubation and linkages of sustained development results for national policy reform and systemic evidence generation mechanisms, suggesting the Development Advisory Team (DAT) approach for structural support to the NDS. Guided by the CPD, UNDP Swaziland has re-focused efforts to support upstream advisory work, facilitate knowledge-driven evidence-based approach in particular in sustaining increased economic growth in the MICs status. The DAT will adopt the “think-tank” approach, enabling provision of strategic, policy and programme<sup>6</sup> advisory support to the Government’s development agenda. UNDP will seek to influence the country’s strategic development for more robust and yet sustainable inclusive economic growth, reposition its strategy towards upstream policy and analytical work, including knowledge sharing facilitated through effective networks and partnership and the South-South Cooperation (SSTr). UNDP will work with multiple partners, through advocacy work and support for pro-poor policy development, leading to employment creation, enterprise development, institutional capacities that enable accountability and transparency through an engaged citizenry.

It is along these foundation that the Facility for Upstream Engagement (FUE) Project has been founded for implementation from 2016 to 2020, to support innovative research and pilots, and strengthen national policy development and operationalization as well as guide programme implementation. This is a build-up on the UNDP global role of being a ‘knowledge broker’ enriched

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<sup>1</sup> 63% - Poverty, Swaziland Household Income Expenditure Survey, 2010.

<sup>2</sup> 29% - Unemployment, MDG Report, 2015.

<sup>3</sup> Income > \$1,046.

<sup>4</sup> Gini Coefficient 0.51, Human Development Report, 2015.

<sup>5</sup> The country performed well with MDGs 2 and 7, had mixed outcomes with MDGs 3 and 8 and challenges with MDGs 1, 4, 5, and 6, 2015 MDG Report.

<sup>6</sup> The three UNDAF 2016-2020 programme pillars are: Inclusive Economic Growth; Resilience and Disaster Risk Management; and Good Governance and Accountability.



by expertise globally, regionally and at national level for policy reform for transformational development.

UNDP's support to the GOS leans towards upstream initiatives, principally targeting policy advisory, formulation and planning, budgeting and M&E, statistics and data reform, capacity strengthening and advocacy. Additionally, support is provided in addressing crucial emerging issues such as climate change, youth empowerment and governance as ingrained in the NDS. With the launch of the SDGs in 2016, the Government will continue to mainstream the prioritized targets in all national planning with a view to continue strengthening the Medium Term Expenditure Framework (MTEF). Such support has been provided through the continued assistance provided by UNDP for the development of six (6) costed strategic plans in sectors prioritised by the Government<sup>7</sup>. These strategic guidelines aim to promote inclusive and sustainable growth; trade and industrialization; tourism, culture and eco-business; increase employment and wealth creating opportunities, enhance the integration of Swazi businesses within the economy and promote innovation for better service delivery, which would be advanced through the FUE upstream support.

## **II RATIONALE**

The Poverty Reduction Strategy and Action Plan (PRSAP)<sup>8</sup> projected 5% economic growth for the country to sustain upward human development, cemented on policies that provide for options that foster inclusiveness and sustainable growth. National consultations to inform the development of the CPD 2016-2020 highlighted that the country has good policies, however implementation of these instrument does not translate to sustainable national development through economic growth. The Project will support research, create dialogue space for development and nurturing of policy ideas leading to production of advisory, technical briefs and information dissemination. This will build further the necessary capacities for policy development/implementation through effective partnerships and tracking for policy impact.

## **III STRATEGIES**

The supportive processes will be enabled through the following strategic approaches:

- Positioning the Government of Swaziland in the global, regional, national partnerships and networks, pitching for high investment in-flows.
- Conducting research, assessments, surveys for generation of data and information to enlighten policy direction and decision-making processes.
- Facilitating high-level dialogue, partnerships, including advocacy around SDGs, harnessing key messages for feeding into the policy and or decision-making processes.
- Building competencies and capacities for institutional policy advancement and impact measurability for the promotion of inclusive growth.
- Building national competencies for the uptake and utilization of knowledge-based and innovative technologies, networks and partnerships.

## **IV OBJECTIVES**

The high-end policy/technical advisory services aims at stimulating high investment and job creation, building resilience and increased participation, enabling a node for contribution to the country's development goals.

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<sup>7</sup> The strategies developed with UNDP support are for the Ministries of: Home Affairs, Foreign Affairs and International Cooperation, Tourism and Environmental Affairs, Commerce Industry and Trade, Economic Planning and Development.

<sup>8</sup> PRSAP, 2008

## V. ANNUAL WORK PLAN - YEAR: 2016

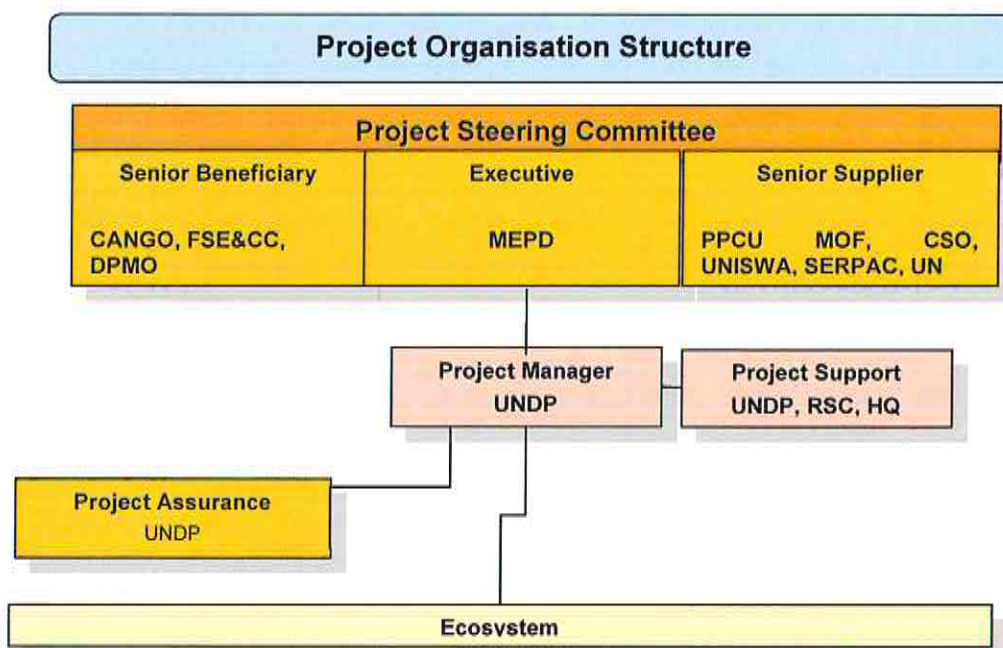
EXPECTED OUTPUTS <i>And baseline, associated indicators and annual targets</i>	PLANNED ACTIVITIES <i>List activity results and associated actions</i>	TIME FRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		Q 1	Q 2	Q 3	Q 4		Funding Source	Budget Description	Amount (SZL)
<p><b>Output 1:</b> Strengthened evidence generation for policy and programming for enhanced investment trajectory.</p> <p><b>Indicator:</b> # research/ assessments/ surveys supported.</p> <p><b>Baseline:</b> 0 <b>Target:</b> 2</p> <p><b>Indicator:</b> # of Policy Brief/Technical Notes/Proposal prepared, disseminated and adopted by the Government of Swaziland.</p> <p><b>Baseline:</b> 0 <b>Target:</b> 2</p>	<p><b>1. Activity Result 1: Decision-makers informed of policy options</b></p> <p><b>Action 1.1:</b> Conduct a technical research and capacity needs assessment (with focus on high investment) for policy promulgating, and enrichment of monitoring and evaluation systems in the country.</p> <p><b>Action 1.2:</b> Facilitate technical support through advisory services to national entities.</p> <p><b>Action 1.3:</b> Develop Policy or Technical Briefs for the various sectors.</p>		X			PPCU	UNDP 1.2	Consultant Workshop Facility Travel Printing	30,000.00
<p><b>Output 2:</b> Dialogue ecosystems for sustainable development strengthened.</p> <p><b>Indicator:</b> # of formal and informal national/regional dialogues/Indaba facilitated.</p> <p><b>Baseline:</b> 0 <b>Target:</b> 2</p>	<p><b>Activity Result 2: Deepened engagement on sustainable development for high-level advice.</b></p> <p><b>Action 2.1:</b> Support national informal and formal discussions to enrich policy uptake and or operationalisation</p> <p><b>Action 2.2:</b> Support advocacy actions on the SDGs.</p>		X	X		Line Ministry PRMED	UNDP 1.2 UNDP 1.2	Workshop facility	10,000.00 5,000.00
<p><b>Output 3:</b> Policy and programme impact tracking and monitoring capacities strengthened.</p> <p><b>Indicator:</b> # of knowledge building initiatives supported.</p> <p><b>Baseline:</b> 0 <b>Target:</b> 2</p> <p><b>Indicator:</b> National M&amp;E System</p> <p><b>Baseline:</b> 0 <b>Target:</b> 1</p> <p><b>Indicator:</b> # of macro-modelling trainings</p> <p><b>Baseline:</b> 4 <b>Target:</b> 5</p>	<p><b>Activity Result 3: National development planning and policy monitoring mechanisms improved.</b></p> <p><b>Action 3.1:</b> Facilitate advisory and mentoring services for knowledge and skills translation including through South-South Cooperation.</p> <p><b>Action 3.2:</b> Support the establishment of the web-based Integrated National M&amp;E System.</p> <p><b>Action 3.3:</b> Support capacity building for macro-economic analysis and management.</p>		X	X		Line Ministry MEPD-PRMED MEPD-Macro	UNDP 1.2 Gov-CS Gov-CS	Consultant Workshop Facility Travel Printing	20,000.00 200,000.00 15,000.00
<p><b>Output 4:</b> Knowledge product capacity developed for policy reform and programmatic adoption.</p> <p><b>Indicator:</b> # of published knowledge products</p> <p><b>Baseline:</b> 0 <b>Target:</b> 1</p>	<p><b>Activity Result 4: Increased national knowledge management capacities</b></p> <p><b>Action 4.1:</b> Support the documentation of lessons for knowledge building such as response to El Nino, climate change adaptation etc.</p>		X	X		Line Ministry	UNDP 1.2	Consultant Workshop Facility Travel Printing	5,000.00
<b>TOTAL</b>									<b>315,000.00</b>



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## VI. MANAGEMENT ARRANGEMENTS

The project will be managed by the UNDP Country Programme Document 2016-2020 M&E Outcome Committee with the Implementing Partner the Ministry of Economic Planning and Development (MEPD). The responsible partners would be the Prime Minister's Policy and Programmes Coordination Unit (PPCU) and Ministry of Finance (MOF). The Project Steering Committee (PSC) will be established chaired by MEPD Chief Economist, PPCU, MOF, Deputy Prime Minister's Office (DPMO), Central Statistics Office (CSO), University of Swaziland (UNISWA), Coordinating Assembly of Nongovernmental Organisation (CANGO), Federation of Swaziland Employers (FSE&CC) and Swaziland Economics Policy Analysis and Research Centre (SERPARC). The UN (UNDP) will also be part of the PSC to ensure that the project activities are in line with national priorities as presented in the project document as well as that these contribute to the United Nations Assistance Framework (UNDAF) and UNDP Country Programme Document (CPD) 2016-2020 outcomes. Working with the UNDP Programme and Finance Associate (PFA), the UNDP Project Specialist will have the responsibility for quality assurance as well as adherence to the project document.



### Identified Project Risk(s)

1. Political will for policy support.
2. Slow policy approval processes.
3. Inadequate capacity for policy promulgation and operationalisation

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## VII. MONITORING FRAMEWORK AND EVALUATION

In accordance with the programming policies and procedures outlined in the UNDP User Guide, the FUE will be monitored through the following: PPCU preparation of Annual Work Plan (AWP) to be tracked through the quarterly progress reports to submit to the PSC and the UNDP Programme

Specialist - Policy Services providing updates and identification of challenges. A Monitoring Plan and Issue Log shall be complementary activated in ATLAS and updated by the UNDP Programme Analyst to facilitate tracking and resolution of potential problems or requests for change, based on the initial risk analysis submitted, quarterly.

Monitoring visits will be undertaken by the UN HACT team to ascertain compliance and meeting quality disbursement of resources by the IP. The Project will be subjected to the National Implementation Modality (NIM) Audit as and when required. An Annual Project Report (APR) shall be prepared by the UNDP Programme Specialist shared with the Project Steering Committee (PSC) for the assessment of the performance of the project and appraisal of the Annual Work Plan (AWP) for the following year.

#### Quality Management for Project Activity Results

<b>Activity Result 1: Research and Evidence Generation</b>		Start Date: 01/06/2016 End Date: 31/12/2020	
<b>Purpose</b>	To support research and gathering of data and information to inform policy direction and decision-making processes.		
<b>Description</b>	This will include conducting of surveys and studies that will be analysed to inform policy options. Work would be undertaken working with strategic partnerships to build the culture of evidence-informed-policies.		
<b>Quality Criteria: Results</b>		<b>Means of verification.</b>	<b>Date of Assessment</b>
<b>Output 1:</b> Strengthened evidence generation for policy and programming for enhanced investment trajectory. <b>Indicator:</b> Capacity Needs Assessment of <b>Baselines:</b> 0 <b>Targets:</b> 10  <b>Indicator:</b> # of Policy Brief/Technical Notes/Proposal prepared, disseminated and adopted by the Government of Swaziland. <b>Baselines:</b> 0 <b>Targets:</b> 10		Quarterly Reports Annual Reports	Progress Project Annually (November)

<b>Activity Result 2: Dialogue ecosystems</b>		Start Date: 01/06/2016 End Date: 31/12/2020	
<b>Purpose</b>	Create dialogue space for development along the principles of inclusive growth and effective partnerships and nurturing policy ideas leading to production of advisory and technical briefs and dissemination.		
<b>Description</b>	Facilitating high-level dialogue, partnerships, including advocacy around national development and SDGs, harnessing key messages and ideas for feeding into the policy and or decision-making processes.		
<b>Quality Criteria: Results</b>		<b>Means of verification.</b>	<b>Date of Assessment</b>
<b>Output 2:</b> Dialogue ecosystems for sustainable development strengthened  <b>Indicator:</b> # of National Dialogues/Indaba facilitated <b>Baselines:</b> 0 <b>Target:</b> 9		Quarterly Reports Annual Reports	Progress Project Annually (November)



<b>Activity Result 3: Policy and Programme Impact Tracking</b>		Start Date: 01/06/2016 End Date: 31/12/2020	
<b>Purpose</b>	To build the necessary capacities for policy advancement, promote policy development/implementation through effective partnerships and tracking for policy impact.		
<b>Description</b>	Building competencies and capacities for institutional policy advancement and impact measurability for the promotion of inclusive growth.		
<b>Quality Criteria: Results</b>		<b>Means of verification.</b>	<b>Date of Assessment</b>
<b>Output 3:</b> Policy and programme impact tracking and monitoring strengthened.		Quarterly Reports	Annually (November)
<b>Indicator:</b> National M&E System <b>Baselines:</b> 0 <b>Target:</b> 1		Annual Reports	
<b>Indicator:</b> # of macro-modelling trainings <b>Baselines:</b> 4 <b>Target:</b> 10		Project	

<b>Activity Result 4: Knowledge Management</b>		Start Date: 01/06/2016 End Date: 31/12/2020	
<b>Purpose</b>	Building national skills for the uptake and utilization of knowledge-based and innovative technologies, networks and partnerships.		
<b>Description</b>	Documentation of lessons from the interventions supported by UNDP or UN Agencies as building blocks for production and dissemination of 'best practice' development stories.		
<b>Quality Criteria: Results</b>		<b>Means of verification.</b>	<b>Date of Assessment</b>
<b>Output 4:</b> Knowledge product capacity developed for policy reform and programmatic adoption.		Quarterly Reports	Annually (November)
<b>Indicator:</b> # of published knowledge products <b>Baselines:</b> 0 <b>Target:</b> 10		Annual Reports	
		Project	

## VIII. LEGAL CONTEXT

Under the Standard Basic Assistance Agreement (SBAA) signed between UNDP and the Government of Swaziland (GOS) in 1977 as well as contributing to the objectives of the Swaziland UNCT United Nations Development Assistance Framework (UNDAF) 2016-2020 and the UNDP Country Programme Document (CPD) 2016-2020 also signed with the GOS, this project document will serve as a guide for the implementation of the project activities. Consistent with the Article III of the SBAA, the responsibility for the safety and security of the implementing partner and its personnel and property, and of UNDP's property in the implementing partner's custody, rests with the implementing partner (IP). The IP shall:

- a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried; and

- b) assume all risks and liabilities related to the IP's security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

The implementing partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document”.

**ANNEXES:**

Terms of Reference: