

Outcome-oriented monitoring, evaluation, and learning: final report

Southern Africa Drought Resilience Initiative (SADRI)







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ABOUT SADRI

The Southern Africa Drought Resilience Initiative (SADRI) is a technical support program launched by the World Bank in 2020 with support from CIWA to build analytical and institutional foundations to catalyze national and regional investments in drought preparedness and help to lay the foundations for a more resilient region to the multi-sectoral impacts of drought for the 16 member states of the Southern Africa Development Community (SADC). SADRI's work is structured around three key pillars: (i) Cities, (ii) Energy Systems, and (iii) Livelihoods and Food Security.

Monitoring Evaluation and Learning Report

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ACKNOWLEDGEMENTS

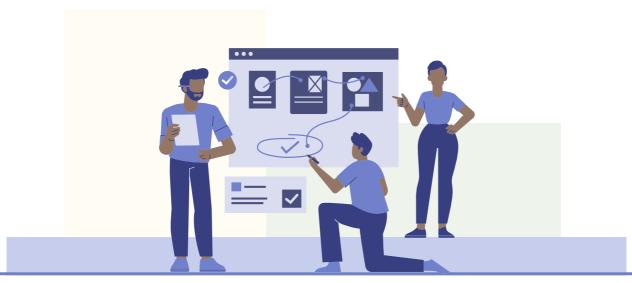
Richard Smith, SADRI MEL Advisor, led the preparation of this report. The report was drafted under the leadership of SADRI Team Leads Anna Cestari and Nathan Engle and in consultation with the SADRI team.

This work would not have been possible without financial support from the Cooperation in International Waters in Africa (CIWA) program managed by the World Bank.

The report was edited by Karen Schneider. Joseph Michael Brunton provided graphic design.

ABBREVIATIONS

CIWA	Cooperation in International Waters in Africa
СМИ	Country Management Unit
MEL	Monitoring, evaluation and learning
ОМ	Outcome Mapping
ОН	Outcome Harvesting
RWH	Rain Water Harvesting
SADRI	Southern Africa Drought Resilience Initiative
SADC	Southern Africa Development Community
TTL	Task Team Leader
WB	World Bank
WBG	World Bank Group



INTRODUCTION

In 2020, the World Bank launched the Southern Africa Drought Resilience Initiative (SADRI) with support from the Cooperation in International Waters in Africa (CIWA) program. The initiative stemmed from a recognition that the growing challenges of drought in the region called for a proactive, integrated, multi-sector and multi-level approach to promote drought resilience in 16 Member States of the Southern African Development Community (SADC). The World Bank SADRI team sought to catalyze uptake and investment in a proactive and integrated approach to drought resilience by conducting analytic and advisory work and creating a platform for dialogue and coordination for regional and international stakeholders.

The adoption of an integrated approach to drought resilience by SADC member countries is a complex development challenge involving changes by actors at multiple levels over a timeframe that includes but extends beyond the 2020-2023 life of SADRI. The change pathways that SADRI sought to catalyze could not be predicted with confidence in advance, and the contribution that SADRI could make to these changes are but one among various factors contributing to change.

With such a complex and long-term development challenge, SADRI needed a monitoring, evaluation, and learning (MEL) framework that supported innovation, a collaborative approach, trial and error, and adaptive management. The SADRI team developed a MEL framework based on Outcome Mapping (OM) and its sister approach, Outcome Harvesting (OH). Both are participatory MEL approaches that share the following characteristics:

- Actor-centered. Rather than measuring activities, outputs, or changes in human or environmental well-being that an intervention seeks, OM and OH focus on the actors an intervention can influence and through which lasting change can be realized.
- Outcomes as behavior change. An outcome is a change in an actor's behavior influenced by an intervention. Changes in behavior are understood broadly to include changes in activities, relationships, policies, or practices and may be expected or unexpected and positive or negative.
- Contribution, not sole attribution. Interventions and the actors they influence exist in a wider system, therefore attributing an outcome solely to an intervention such as SADRI is unrealistic.

How to use this report

This report describes the development, use, added value, challenges, and success factors of SADRI's outcomeoriented monitoring approach. It is intended as a resource for teams from similar initiatives both within and beyond the World Bank Group that want to understand the steps involved in using such a participatory, actor-centered and outcome-oriented MEL framework, the benefits it can bring, challenges, and factors that can make it function successfully. It complements existing resources, including the World Bank's Outcome-based learning field guide¹.

I. DESIGN OF THE SADRI MEL APPROACH

The MEL advisor engaged the team leads in designing the MEL approach. Although the leads had already decided that an outcome-oriented MEL approach would be helpful, it was important to take time at the outset to be clear on purpose, uses, definitions, roles of various actors in the participatory MEL process, and the tools and spaces to be used for documenting and reflecting on outcomes.



DEFINE THE PURPOSE OF OUTCOME-ORIENTED MONITORING

The process of creating and using an outcome-oriented MEL framework for SADRI was intended to support the following:

A. COMMON VISION AND OWNERSHIP

 A vision for integrated drought resilience in Southern Africa that is developed and owned by the SADRI team.

B. LEARNING

- An outcome-focused results framework to inform reflection on, and assessment of, progress.
- Documenting and reflecting on observed outcomes will engage teams in critical thinking that informs the management and adaptation of SADRI and subsequent country and regional investments in drought resilience.

C. COMMUNICATIONS TO CATALYZE IMPLEMENTATION DURING AND AFTER SADRI

• Internal and external communications about integrated drought resilience in SADC will be informed by documented achievements/stories/processes of change. Communications about outcomes will help catalyze project implementation among countries, help the program get support and commitment from managers, and promote interest in applying lessons from SADRI in other Bank interventions.

D. ACCOUNTABILITY

 Outcome evidence will demonstrate progress toward the achievement of CIWA indicators and any achievements beyond the expected results. Audiences include Bank management and donors.

Creation of the MEL framework

- **1. Internal users:** Change how the SADRI and wider task teams work together—develop a team vision for SADRI's contribution to drought resilience, ownership of the SADRI approach, and ambition internally.
- **2. External users:** Nurture buy-in to SADRI among key development partners and Bank clients.

Use of the MEL framework for monitoring, learning and accountability

- **3. Internal:** Use outcome harvesting to identify and document observed outcomes and sensemaking using observed outcomes to inform decisions about how to continue or adapt strategies or objectives to steer implementation of SADRI and promote links between its thematic pillars.
- **4. Internal:** Help fulfil reporting obligations to the Bank and funders and document any unexpected outcomes.
- **5. Internal:** Provide CIWA with data and stories of change for communicating with clients and development partners.
- **6. External:** Catalyze interest in building on SADRI by sharing outcome-level results with Bank management / potential partners / investors.

Table 1: Uses of the SADRI outcome-oriented MEL framework

1.2

DEFINITIONS

- SADRI used an outcome definition based on Outcome Mapping and Outcome Harvesting:

 An observable and significant change in an actor's behavior (relationships, activities, policies, or practice) that has been influenced by SADRI (and potentially also other actors), in a small or large way, directly or indirectly, intentionally or not (See Figure 1).
- This definition of an outcome is beneficial because i) it is by working with and through others that SADRI can contribute to individual, institutional, and system changes needed for the widespread use of an integrated approach to drought risk management and ii) the desired changes in institutions and systems that will represent success are beyond the control of the Bank.



Figure 1. Outcome is defined as a change of behavior²

Outcome statements: Outcomes were documented as 'outcome statements' comprising a short narrative description of the outcome itself, its significance, and how SADRI contributed to the outcome.

1.3

ROLES

Outcome monitoring and sensemaking cannot be conducted by a monitoring and evaluation specialist alone. It is only effective with the ongoing involvement of people who know first-hand about the outcomes. For SADRI, it was team members who participated in monitoring as they knew best what they were achieving, and it is they who could best determine how to adapt strategies or objectives in response to progress or challenges.

In SADRI, roles in the MEL process were as follows:

- SADRI teams: developed the content of the MEL framework, led the writing of outcome statements, and participated in sensemaking using the harvested outcomes.
- Internal stakeholders: participated in sensemaking about the implications of outcomes for future work.
- External stakeholders: participated as i) reviewers of the SADRI vision; ii) information sources for outcomes involving changes in their behavior or changes they have influenced that are connected to SADRI; and iii) contributors to sensemaking about the implications of outcomes for future work.
- Team Leads: took decisions on the MEL framework.
- The MEL advisor: led the design and use of the MEL framework, facilitated the participation of teams in harvesting outcomes, and synthesized the results of sensemaking.



SPACES AND RHYTHMS FOR DATA COLLECTION AND SENSEMAKING

To be effective, outcome monitoring and sensemaking needed to be an integral part of the spaces and rhythms of SADRI, that is, when people interact and share information and make sense of what is happening3. In SADRI, outcome monitoring complemented more frequent monitoring of deliverables. The 16 SADRI team members convened in virtual workshops with stakeholders every 6-12 months. The dozen plus SADRI team members convened in virtual workshops with stakeholders. The timing of outcome monitoring events was flexible and responsive to when stakeholder engagement was needed to inform new initiatives or future planning. Additionally, outcomes were harvested with stakeholders conversations convened by the SADRI team members who knew particular stakeholders the best. This engagement toward the end of SADRI was an opportunity to engage stakeholders in thinking about next steps for the SADRI agenda once the initiative formally closed in July 2023.

II. CREATION OF THE MEL FRAMEWORK



DEFINE A VISION FOR INTEGRATED DROUGHT RISK MANAGEMENT

Based on their knowledge of the context in which SADRI is working, including stakeholder interests, challenges, and existing solutions, in late 2020 the SADRI team defined a vision for integrated drought resilience in the SADC region. The vision was presented at the SADRI launch event in February 2021 and discussed in breakout groups. Participant feedback indicated generally strong agreement with the vision and its relevance regarding the need for more proactive and coordinated approaches to drought risk management in the region and investment strategies to support this approach. Feedback was used to create a revised version of the vision; see Figure 4.



IDENTIFY PRIORITY ACTORS AND ENGAGEMENT STRATEGIES

The SADRI team identified the priority actors whom they needed to influence to contribute to the vision. To do this, the team first listed the stakeholders who could support or hinder the realization of the vision. From this long list of actors, the team selected a group of priority actors with whom they have a relationship or could realistically develop a strong enough relationship to have influence. At different times during SADRI implementation, priority actors could be added or removed according to their relevance and the evolving context. Importantly, priority actors included not only external actors but also internal Bank staff (Country Management Units [CMUs] and Task Team Leaders [TTLs]) because of their central role in shaping investments.

Next, the team identified engagement strategies by mapping the priority actors on an alignment, interest, influence matrix, with the x-axis indicating the interest or engagement of the actor in drought resilience and the y-axis indicating the degree of alignment of the actor with the SADRI approach. The position of priority actors on the matrix implied one of four types of engagement strategy: i) work in partnership, ii) challenge or persuade, iii) develop interest or capacity, iv) ignore or monitor; see Figure 2. Teams mapped most priority actors to the top right quadrant, indicating work in partnership as the initial engagement strategy.



Tips: when identifying priority actors



1. Identify stakeholders. On whose actions does the success of SADRI depend? Whose activities, relationships, and policies are significant for the vision to be realized?



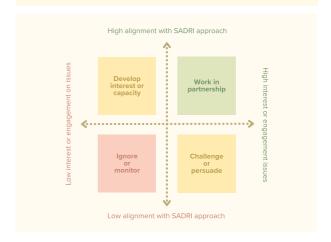
2. Identify priority actors. Which stakeholders will the SADRI team try to engage with to support or influence? Who do we have relationships with or can realistically develop a strong enough relationship with to have influence? These are your priority actors.



3. Be precise when identifying priority actors: different teams or people in an organization may have differing degrees of alignment or interest.



5. Are any priority actors missing?



 $\textbf{Figure 2.} \ A lignment, Interest, Influence matrix with implied engagement strategies 4$

SOUTHERN AFRICA DROUGHT RESILIENCE INITIATIVE (SADRI)

³ Spaces are defined as the formal and informal meetings and events that bring organizations and programs to life. Rhythms are patterns in time—the regular activities or processes that provide a structure-in-time, through which it can direct, mobilize, and regulate its efforts, e.g., the regular weekly, monthly, and annual activities that mark the tempo of organizational functioning. Source: Deprez, S. (2008). Towards monitoring that makes sense: Action research design of a planning, learning and accountability system for a sustainable agriculture programme in Eastern Indonesia. M.Ed Thesis. Rhodes University, Grahamstown, South Africa

^{*}Simon Hearn, 2014, Research and Policy in development (RAPID) program at ODI. Alignment, Interest, Influence Matrix. https://www.outcomemapping.ca/nuggets/alignment-interest-influence-matrix (Accessed 9 June 2023)

2.3

DESCRIBE PROGRESS MARKERS

With priority actors identified for each pillar (SADRI's work is structured around three key pillars: (i) cities, (ii) energy systems, and (iii) livelihoods and food security) the team then described the ideal behavior or vision for each priority actor. With this ideal behavior in mind, teams then formulated progress markers—intermediate outcomes/milestones—to provide points of reference against which to compare changes observed in each priority actor. Progress markers were clustered in three categories (Figure 3):

- "Expect to see' progress markers describe changes that are considered more likely to happen but may still be necessary before more significant changes can be made.
- 'Like to see' progress markers represent deeper changes that are more difficult to achieve.
- 'Love to see' progress markers represent transformative and often longer-term changes.



Tips: describing progress markers for each priority actor



1. For each priority actor, ask yourself: how can we know if the priority actor is moving toward an ideal behavior?



2. Reflect on each part of the priority actor vision separately. Aim to think of possible intermediate outcomes/milestones for each specific ideal behavior change in the priority actor. These are the progress markers.



3. Ensure that each progress marker is a description of an **observable behavior**.



4. Organize each progress marker according to whether you would expect to see it during the SADRI project, like to see it, or if it is almost beyond what you could dream of seeing.

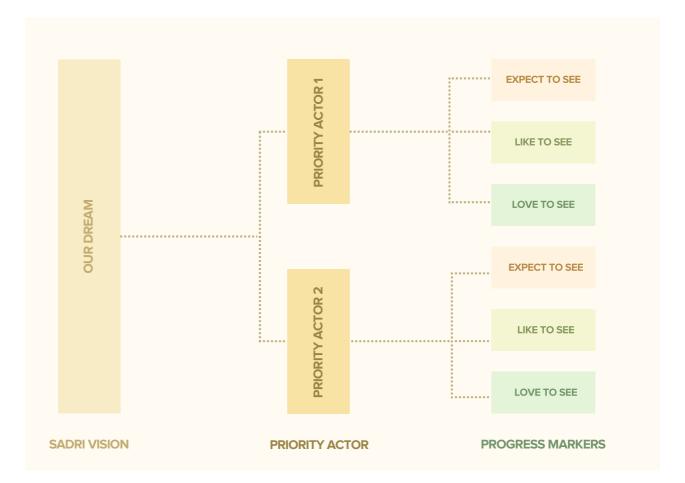


Figure 3. Progress markers for each priority actor

The SADRI team documented the engagement strategies and progress markers for each priority actor (see Table 2 for an example).



Tip: Progress markers differ from traditional SMART indicators

Progress markers do not constitute a checklist and are not rigid targets against which progress is measured.

Instead, they provide a framework for dialogue or reflection concerning any observed changes at the level of priority actors⁵. They [Progress markers] are not timed nor necessarily specified with pre-set targets in advance. Taken as a set, progress markers provide a map of the possible change process of a priority actor. [But] complex change is often unpredictable, and the expected change as set out by the progress markers can turn out differently in reality. Therefore, progress markers may be adjusted during the monitoring cycles or new progress markers may emerge.

Priority actor	Progress markers:	Progress markers:	Progress markers:
	Expect to see	Like to see	Love to see
Southern Africa Power Pool Current engagement strategy: Work in partnership	 Share the details on the preliminary drought assessment carried out in the 2017 SAPP Pool Plan with us Draft TOR on the drought assessment to be carried out and codraft the TOR for the subsequent drought strategy Regular correspondence and active participation in meetings with us on possible projects 	 Drafting of the subsequent drought resilience strategy by the SAPP-CC Facilitating/following-up on the drought resilience dialogue with utilities, obtaining national buy-in Escalate the outputs to SADC as and when they are delivered Provide the support and platform for the Bank team to convince national utilities/governments of the value of energy projects that improve drought resilience 	 Leading the drought resilience dialogue with utilities, obtaining national buy-in (so we don't have to) Develop a merit-based order of innovative investments / actions / projects that are prioritised in the same way regionally and nationally, thereby minimising contradictions between regional and national system development priorities. Championing action plan, its projects, and possible reworking of pool planning, coordination and trading Offering to seek / offering financing for new projects, inc. feasibilities etc.

Table 2. Example progress marker and engagement strategy matrix for a priority actor

When	Data collection method	Outcome sources	Results
December 2021	Virtual training workshop	SADRI team members	 Learning how to write an outcome statement First outcome statements for each thematic pillar
January 2022	Virtual workshop	SADRI team members	 12 outcome statements 5 internal outcomes (WBG actors) and 7 involving external actors A mix of local, national, regional and multi-country outcomes
November 2022	Virtual workshopInterviews	 Workshop: SADRI team members Interviews: development partner representatives 	 13 more outcome statements, making 25 in total 18 external outcomes, 7 internal Nearly half the outcomes are regional in scope

Table 3. Data collection

III. DATA COLLECTION

Harvesting outcomes - or data collection - is the process of identifying and documenting observed outcomes. The data collection method, outcome sources (the people who described outcomes) and results of each harvesting round are summarized in Table 3.

In the workshops, facilitators guided the writing of succinct yet verifiable outcome statements. The intention was to shift the focus from thinking about activities to identifying and describing changes in behavior SADRI had influenced in other WBG actors (internal outcomes) and changes in behavior by partners, clients, and other stakeholders external to the WBG (external outcomes). Both types of outcomes were potentially significant achievements for SADRI as it sought to promote adoption of an integrated approach to drought risk management through investments and operations.

Workshop facilitation was led by the MEL advisor, supported by a team member who they had trained to formulate outcome statements. In addition, another team member had prior experience formulating outcome statements. This capacity to formulate outcome statements was important for guiding other team members. The lead facilitator reviewed all the outcomes during the workshop and provided verbal or written feedback to guide participants in crafting verifiable and robust outcome statements. In some cases, follow-up after a workshop was needed to finalize the statements.

In total, 25 outcomes were documented using Outcome Harvesting during SADRI. This probably represents all the outcomes that SADRI contributed to and certainly includes the most important outcomes. Together, the outcomes demonstrate the influence of the initiative on various actors, both internally and externally (Table 4), around three themes:



1. Engagement and motivation around the SADRI agenda. Examples:

- A national government and water utility requested SADRI support on preventative drought risk management.
- New development partners joined monthly coordination meetings leading to strategic cooperation.
- The WB Tanzania team used a proactive approach to urban drought risk management.



2. Ownership of SADRI ideas, analytics, and processes. Examples:

- Zimbabwe reformed its strategic grain reserves policy.
- Southern Africa Power Pool motivated member utilities to take a leading role in drought sensitivity assessment.
- Sub-national agricultural department sought funding for solar-powered homestead rainwater harvesting.



3. SADRI's catalytic effect. Examples:

- Trans-frontier conservation authority started developing an integrated water resource management plan and strategy.
- Development partners initiated collaborations.
- Design of new WBG regional program on climate resilience informed by SADRI.



Example SADRI outcome statement

OUTCOME:

In 2021, two agribusinesses in South Africa agreed to work with the WBG to:

(i) identify locations for macadamia production based on solar powered rainwater harvesting (RWH) for homestead production; and

(ii) conceptualize investments in macadamia production based on an estate-outgrower model whereby homesteads would be the outgrowers.

SIGNIFICANCE:

Agribusinesses had not previously considered investment in homestead macadamia production which is potentially made viable through RWH and their investments had been limited to an estate model

CONTRIBUTION:

SADRI contributed to this outcome by:

(i) conducting hydrological and land use suitability assessments to identify potential sites for investment:

(ii) preparing a design for homestead solar powered RWH:

(iii) assessing the financial viability of homestead RWH as a basis for discussions and site visits with potential agribusiness investors.

Box 1. Example SADRI outcome statement

INTERNAL ACTORS	EXTERNAL ACTORS
 Country teams Regional energy teams Country Management Units Task Team Leaders Global Units Practice groups Peers 	 Local governments National governments Service providers Natural resources management agencies Private sector Development partners

Table 4. Types of internal and external actors influenced by SADRI

IV. OUTCOME SENSEMAKING

Sensemaking was at the center of the MEL process; see Figure 4. Sensemaking involved: i) looking back by comparing harvested outcomes with progress markers and ii) looking forward to identify emerging priorities and strategies for SADRI or future investments.

The first round of sensemaking in January 2022 took place in two stages:

- First, the SADRI team reflected on the extent to which the progress markers they had previously defined for each priority actor had been realized and if other actors had been influenced. They then looked to the future by identifying outcomes that would represent progress in realizing the SADRI agenda should there be further regional-level investments.
- Next, WBG staff with key country and thematic roles joined the reflection to identify opportunities for investments in integrated drought resilience and to further elaborate on the priority actors that future investments should seek to engage.

The second round of sensemaking in November 2022 involved the SADRI team working in groups to identify challenges and lessons learned on three levels, as reflected in the following guiding questions:

- **Deliverables**: what challenges did you experience in producing the deliverables? What lessons can you identify that could inform the next phase of achieving SADRI's vision and similar future actions? Do the actual deliverables differ from what was planned, and if so, what can be learned?
- Outcomes: looking at each of your pillar's outcomes, what challenges did you experience in achieving the outcome? What lessons can you identify that could inform the next phase of achieving SADRI's vision and similar future actions?
- Progress markers vs. achieved outcomes: comparing the progress markers you identified early in SADRI with the actual observed outcomes, what can you observe about how the actual process of change is similar or differs from what you imagined early in SADRI?

The conclusions from the sensemaking exercises informed plans for future investments and the final months of SADRI's implementation.

MONITORING, EVALUATION & LEARNING

OUTCOME HARVESTING & SENSEMAKING

SADRI'S VISION

OBSERVED CHANGES IN BEHAVIOR

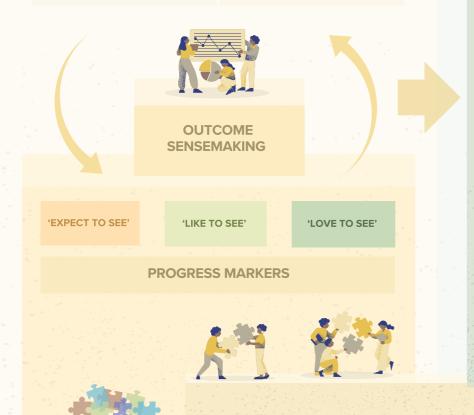
INTERNAL ACTORS

• Country teams

- Country teams
- Regional energy teams
- Task Team Leaders
- Peers
- Global Units
- Practice groups
- Country Management Units

EXTERNAL ACTORS

- Local governments
- National governments
- Service providers
- Natural resources management agencies
- Private sector
- Development partners





Our vision is a drought-resilient SADC region in which governments, institutions, communities and households are able to withstand drought and associated economic shocks, benefitting all citizens.

Inspired by others in the region and new tools and insights, countries cities and regional bodies will invest and welcome international investment and technical advice in order to realise an integrated approach to drought risk management that is proactive and coordinated.

With these new tools, countries will be able to better implement and coordinate drought resilience strategies within and across borders and sectors.

Figure 4. SADRI Monitoring and Evaluation Process

V. LESSONS LEARNED

The added value, challenges, and success factors that made it possible to develop and use a participatory, outcome-oriented MEL approach are summarized below:



ADDED VALUE

- Sustainability of changes. The outcome-oriented approach focused the team on catalyzing behavior changes in others so that they take up the SADRI approach and tools and sustain the change processes that SADRI has supported.
- Adaptive management. Comparing observed outcomes with anticipated changes (progress markers) during workshops helped the team take stock of progress and recalibrate next steps with colleagues and external partners.
- A change narrative. The documented outcomes complemented the quantitative measures of progress used in indicator reporting and supported communications.
- New skills. Team members have the knowledge and experience to bring outcome-oriented thinking and practices into other relevant work.



CHALLENGES

- Additional resources were needed. There were other monitoring requirements, so the outcome-oriented MEL was an additional task for all team members, one that had to be factored into the time team members spent on SADRI. However, in this case, the MEL process formed a major part of the team coming together to report and plan.
- No face-to-face events were possible because of COVID-19. The
 engagement of external actors in identifying and reflecting on outcomes
 could have been greater with in-person engagement opportunities.
- Initial learning investment. As the approach was new to most of the SADRI team, staff had to learn how to document anticipated and observed changes as outcomes.



SUCCESS FACTORS

- Championing of the MEL approach by the team leads. The leads articulated the rationale for using the approach and created a team culture that required all to be involved.
- Time and space for a participatory, learning-oriented process.
 Outcome harvesting and sensemaking workshops were used for the teams to come together, reflect on progress, and consider next steps.
- Expertise and support. An expert in outcome-oriented MEL was
 engaged to design, facilitate, and coach the team in using the outcomeoriented MEL process. Two team members supported the process
 using their relevant skills, one gained from previous experience and the
 other through coaching by the MEL advisor.

Monitoring Evaluation and Learning Report

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