

IEG Evaluation of World Bank Support for Client Training

Approach Paper

I. OVERVIEW

1. **The quality of institutions is critical for sustainable development.** The difference in quality of institutions is the most significant determinant of differences in sustained economic growth, according to cross-country research and case studies.¹ Addressing capacity constraints, particularly in the public sectors of developing countries, is thus crucial to achieving goals of poverty reduction and sustainable economic growth. Capacity development has three interrelated dimensions—the institutional framework, organizational structure and processes, and human capacity—and consideration of all three levels is necessary for effective capacity development but there is no blueprint for every country.² This evaluation will focus on the Bank’s efforts to address the human capacity dimension, which addresses individual skills and client training³ and interacts with the other capacity development dimensions that are intrinsic to effectiveness. This will be the first comprehensive look at the extent and nature of the Bank’s client training support covering both project-financed and World Bank Institute (WBI) training.

2. **Training is an important and diversified instrument for addressing human capacity constraints in developing countries.** Both previous IEG⁴ evaluation work and CODE⁵ have identified the need to examine the impact and results of training. Training is defined as organized and systematic activities in which people take part in order to obtain knowledge and/or learn new skills for a current or future job, to increase earnings, to improve job and/or career opportunities in a current or another field and generally to improve their opportunities for advancement and promotion.⁶ Training can take diverse

1. The Bank’s 1997 *World Development Report: The State in a Changing World* emphasizes that in addition to getting the right economic and technical inputs, development hinges on the role of the institutional environment. See also OED’s 2004 *Annual Review of Development Effectiveness* for a discussion of the importance of institutions in the Bank’s poverty reduction efforts.

2. See *Capacity Building in Africa: An OED Evaluation of World Bank Support* (2005) for further discussion of these three dimensions of capacity building. It recommends the Bank reassess the role training should play in its capacity development support and examine how training should be provided. The current evaluation of client training will address this recommendation.

3 “Client training” distinguishes World Bank support for training national stakeholders of developing countries from training of World Bank staff. The planned evaluation will not cover staff training nor training to enable borrower officials to implement Bank operations.

4. IEG, Independent Evaluation Group (Bank), is the new name for OED after the Board’s recent approval of the proposed name changes for the independent evaluation entities.

5. OED Statement to CODE, CODE 2005-0098, and CODE discussion on WBI Review of Progress FY03-05, both October 19, 2005.

6. See the glossary in OECD’s *Education at a Glance 2005*. OECD DAC’s “Challenge of Capacity Development: Working Towards Good Practices” draft document September 2005 now goes further in setting training in the context of capacity development.

forms. It can be: i) provided by public, private or external trainers/facilitators; ii) delivered in-country or externally-based; iii) targeted to the unemployed or employed, with the latter either “on the job” or external; and iv) of various durations, ranging from single-day events to courses running several weeks to professional degree programs that require months of study.

3. **Bank support for training is extensive.** IEG estimates that nearly one half of Bank-supported investment projects approved between FY95-05 included significant training activities. The Bank also provides training to clients in activities undertaken by the WBI and financed by the Bank’s administrative budget and donors. In FY05, WBI reports to have trained nearly 110,000 individuals in 925 learning activities in its program of “client learning and capacity enhancement”. Bank project-financed training and WBI training have different financing arrangements and accountability frameworks but have a common goal to address human capacity constraints and foster local knowledge. They both use a range of techniques and may substitute for each other, overlap or synergize. Comprehensive treatment of both modalities of the Bank’s training support allows analysis of possible coordination and complementarities, and can better inform the institution on effective resource use.

4. Since the Bank does not have an operational policy statement or strategy for training, the objectives of individual project, program and country programs will provide the framework for the evaluation. Further guidance is available from a variety of other Bank documents. Examples include the Social Protection Discussion Paper Series “Impacts of active labor market programs,” the Education Sector Strategy Update, WBI thematic Program Briefs, the Bank’s Handbook on Technical Assistance, and the Bank’s Operational Manual (guidance on technical assistance, OP 8.40/GP 8.40, which was operational until it was archived August 2004).

5. **Results monitoring by the Bank is limited.** There is an established methodology for monitoring and evaluating the results of training activities (see Box 1) but it is unevenly applied to Bank-supported training. Indeed, the literature on training evaluation reveals that the lack of attention to measuring the impact of training is a general phenomenon in the development context.⁷ Few project evaluations include an assessment of project-financed training activities except where they comprise the majority of project activities. Available analysis tends to focus on the immediate outputs of training—for example, the number of people trained—with little information on its outcome or impact. Since training is an input to support capacity development, it needs to be evaluated by how it contributes to measurable results for organizational performance. WBI training, by contrast, receives more systematic monitoring and evaluation. WBI set up a self-evaluation unit in 1997 which conducts formative evaluations (levels 1 and 2 surveys of participants) for its individual learning activities. In the past few years, it has conducted an increasing number of impact evaluations. This IEG evaluation will seek to validate a sample of WBI self-evaluations and build on current evaluation approaches by broadening the scope of those interviewed and surveyed.

7. “Landscape analysis of donor trends in international development”, Human and Institutional Capacity Building Rockefeller Foundation series, by Anne Whyte (2004).

Box 1: Evaluating Training Activities

The established literature on measuring the results of training uses four steps to comprehensively evaluate training programs:

Level 1: reaction (did participants like the training?)

Level 2: learning (did they learn?)

Level 3: behavior change (did they act/think differently?)

Level 4: impact results (did that change make a difference?)

The first two levels, referred to as formative evaluations, focus mainly on the inputs and outputs of training activities and are often used to inform changes to the design of the training program. Less common in the development context are the summative evaluations that comprise level three and four evaluations, which focus on measuring outcomes and impacts of training. Relatively fewer summative evaluations may largely reflect information constraints and the fact that the ultimate impacts of training can be far-reaching and difficult to trace.

See *Evaluating Training Programs: The Four Levels* by Donald Kirkpatrick (1998).

6. The magnitude of the Bank's support for training, combined with the current weakness in monitoring the results and contribution to higher development objectives, underscores the potential for learning from an independent evaluation. This paper sets out an approach for an IEG evaluation of World Bank support of client training over the period 1995-2005⁸, with particular emphasis on more recent activities. The study is expected to generate insights on if, when, and how the Bank should offer its training support to client countries, based on assessments of the relevance, efficacy, efficiency, and Bank performance. The following section provides current estimates of the extent of Bank support for client training and sections III and IV provide a detailed description of the evaluation questions, criteria, design methodology, and logistics.

II. CURRENT WORLD BANK SUPPORT FOR CLIENT TRAINING

7. **The World Bank supports a wide spectrum of training interventions in its client countries.** Projects can include many different kinds of training including face-to-face, distance learning, study tours, fellowships, workshops, and the evaluation will review training activities that are defined as such in project descriptions. One can characterize this spectrum as ranging from "wholesale" to "retail". Although these are not well established terms, reference is also used in the Report of the Bank Task Force on Capacity Development in Africa⁹. "Wholesale" training activities are those that help create/upgrade local training institutions or support ongoing country training programs.

8. The Director-General, Evaluation, Mr. Vinod Thomas, has recused himself from all review and supervisory functions related to this evaluation because of his responsibilities for WBI during part of the period under evaluation.

9. The Report of the World Bank Task Force on Capacity Development in Africa urged that when retail interventions are appropriate, they should focus on leadership and sustained organizational and institutional changes. See Annex 5 of this Report "WBI's evolving role to meet the challenge of capacity development in Africa".

“Retail” training efforts, on the other hand, are those that focus on developing individual skills through single events. In Box 2, the case of Kazakhstan illustrates the wide range of Bank-supported-training in a medium-size borrowing country. By examining all the training supported in a particular country one can appreciate the wide scope and diversity in training objectives, methods and subject areas.

Box 2: An Illustration of the Bank’s Training Activities in a Medium-size Borrowing Country

In Kazakhstan, nine of the 21 Bank operations approved between FY95-05 contained significant training activities (listed below). In addition WBI conducted 41 training activities from FY00-05 involving 17 subject areas and 1858 participants.

The training activities span a broad range. At one end of the spectrum, training activities in the Legal Reform project comprised over 20% of total project costs, with multiple training activities that were integral to larger reform goals. The project supported a judicial training center and training for lawyers, court administrators, judges and journalists, the latter on legal issues and the use of electronic systems for access to legal information. In four rural sector projects, training targeted private sector representatives, public sector officials, farmers, rural advisory workers, and farm and enterprise managers. These initiatives were essentially “wholesale”, requiring more than one level of training intervention supporting training centers and long term institutional frameworks.

At the other end of the spectrum, the Bank also supported training of targeted participant groups in direct face to face or electronic and distance training. Examples include WBI’s core course on corporate governance and strategy with 14 participants, and the activities in the Treasury Modernization project involving training in computerization for selected officials.

This country view also reveals an example of complementarity between project-financed and WBI training. The Financial & Enterprise Development project included pre and post study tour training services conducted by the Economic Development Institute (WBI’s predecessor).

Project Name	Training Cost \$m	Project Cost \$m	Summary of Training Activities
Legal Reform	4	19	Training in both regulatory and judicial areas including government lawyers, judges, court administrators; support judicial training center; promote public awareness of reform.
Health Restructuring	4	50	Training to support integrated health reform targeted at health professionals, establishment of clinical training centers and training for M&E.
Financial & Enterprise Dev.	3	73	Training tours to familiarize managers with modern management practices and training of national bank staff to strengthen on-site bank supervision.
Social Protection	1	55	Training to increase capacity of the Employment Service to address the rise in unemployment including through the use of external training providers.
Treasury Modernization	<1	22	Training to support computerization of the treasury system.
Irrigation & Drainage	<1	118	Training to farmers, farmer organizations and government officials to assist with promoting agricultural development of privatized farms.
Agriculture Post Privatization 1	Not specified	24	Training of farmers and microfinance bank staff supporting an institutional framework for rural finance/rural commercialization effort.
Agriculture Post Privatization 2	Not specified	96	Training of consultants and trainers in rural advisory programs, sharing of best practices, and training of private sector including microfinance banks.
Agricultural Competitiveness	Not specified	83	Training of public officials and private sector representatives; strengthening applied training research.

8. Project-financed training is by far the larger of the two main channels supporting training activities in terms of total resources involved, while WBI training is a direct responsibility of the Bank and thus has higher visibility.¹⁰ Table 1 characterizes some of the features of these two modalities.

Table 1: Two Main Modalities of Bank Support for Training

Modality	Where?	How much? (annual basis) /1	What?	How?
WBI training: WBI responsible	WBI has announced 36 "focus" countries, but was previously involved across most member countries	\$75.4 million (WB administrative budget and donors)	Highly varied, with large shares to poverty reduction and economic management, human development, governance and PSD.	Face to face, distance learning, web casts and e-learning. WBI also considers training to include knowledge sharing, dialogues among practitioners, awareness raising, action learning.
Project-financed training: Borrower responsible with oversight by country teams	Bank-wide, across all regions	\$937 million (total project costs)	Highly varied, with large shares to the Education, Rural, Transport, and Health sectors	Various approaches, support to intermediaries including training institutions and training of trainers.

/1 The figure for WBI is its FY05 budget for client learning and capacity enhancement, and thus an upper bound for its training support. WBI reports that most of the client learning and capacity enhancement budget goes to thematic programs. Client learning and capacity enhancement is budgeted at \$ 75.4m of which the Bank's administrative budget provided \$ 59.8 million and donors \$15.6m. The figure for project-financed training is an annual average of the FY95-05 estimate presented in Table 2.

9. **The World Bank lacks a complete picture of its financial support for training.** Since training activities are a component of so many Bank projects, and WBI has such a broad range of course offerings, the aggregate financial and human resources is considerable, but it is difficult to provide a definitive total cost estimate. WBI's client learning and capacity enhancement budget is directed mostly to training or client learning in its thematic programs. In FY05 \$75.4 million out of its total budget of \$96.5 million went to client learning and capacity enhancement, and this evaluation will focus on training activities in this three-quarters of the budget.¹¹ For project-financed training, the Bank does not comprehensively track project costs or the amount of Bank support. To determine the extent of project-financed training, IEG analyzed a large sample of projects

10. There are other smaller types of training for clients, such as workshops where both Bank staff and clients train together e.g. Workshop on Assuring the Quality of Bank-Assisted Operations in Africa.

11. The remaining quarter of the WBI annual budget is mostly directed to the Joint Japan/World Bank graduate scholarship fund of \$18 million and World Bank staff training of \$3.1 million, which are excluded from this evaluation. Graduate scholarships will be included whenever pertinent in the country context, but the graduate scholarship fund itself will not be evaluated.

to identify the share involving significant training activities.¹² Though not all projects break out cost data for training activities, an estimate of projects with clearly defined training costs indicates that resource use for training may be as high as \$10 billion in the Bank-supported investment projects approved between FY95-05, or nearly a billion dollars annually (see Table 2).

Table 2: Estimated Training Support in Bank-Supported Investment Projects

Rating of extent of training support	Number of Operations FY 95-05	Project Costs (US\$ billion)	Project Costs Devoted to Training (US\$ billion)	Share of Project Costs Devoted to Training
High	277	27.1	3.9	14.3%
Substantial	386	72.7	5.5	7.6%
Modest	297	30.6	0.9	3.0%
Negligible	30	2.2	--	--
Total	990	132.6	10.3	7.8%

The distribution of projects in the group of 990 by extent of training support is estimated from a random sample of 100 projects. This sample size allows estimation with a confidence level of 0.95 and a margin of error of 0.093. Project costs for each rating category and shares devoted to training are based on available cost data for the sample of 54 projects. Aggregate project costs were derived from the Business Warehouse. The sample of 54 projects allows estimation with a confidence level of 0.9 and a margin of error of 0.109.

10. Training activities supported by the World Bank are in all regions and sectors. Training activities are significant in all six regions as well as all networks and sector boards. WBI currently focuses on 36 countries across all regions and a dozen thematic areas in which it has operated over the past decade¹³ IEG's evaluation will take account of the wide representation of countries and sectors with significant training content.

III. THE EVALUATION DESIGN

Objectives

11. The specific objectives are to:

12. To estimate the extent of support for training in Bank lending, a text search of key words associated with the 2,328 approved investment projects between FY95-05 yielded a group of 990 projects that appeared to have significant training activities. A random sample of 100 of these 990 project documents was reviewed to validate the extent of training, revealing that training was actually significant in two-thirds of this group. To check the training activities in projects outside the initial group of 990, a second sample of 60 documents was reviewed. One-third of these projects turned out to contain significant training. Adding the estimates from the two groups suggests that roughly half of all investment projects contain significant training. A consistent methodology was applied for all projects reviewed using component level assessments based on a four-point rating scale - high, substantial, modest and negligible. "Significant" training reflects training rated "high" or "substantial" on the above scale.

13. A review of the 160 project sample found that there is substantial training in all regions, networks and sectors. The Africa region and the education sector had greater than average numbers of projects with high and substantial training content. Three major pillars for WBI program offerings by volume are: poverty reduction and economic management, including pension and labor programs; governance, regulation and finance, including PSD and corporate governance; and human development including health and education.

- Provide a comprehensive picture of the extent and nature of the Bank’s support for client training
- Identify the extent to which the Bank’s training support is relevant to project, program, and country goals
- Assess the extent to which selected Bank-funded training activities have been effective and identify factors of success/failure
- Review the coordination between and relative performance of project-financed and WBI-provided training, and also compare to the extent possible the performance of these Bank-supported activities to that of other external partners that provide training support
- Based on these findings, make recommendations to help inform future decisions about when and how the Bank should support training of national stakeholders

Evaluation Criteria and Questions

12. **Standard IEG evaluation criteria** of relevance, efficacy, efficiency, and Bank performance will be used to assess the development effectiveness of the training activities reviewed. In applying these criteria, the evaluation will examine the specific areas indicated in the evaluation questions that follow.

13. *The key evaluative questions* are:

- **Relevance.** To what extent is the Bank’s training support relevant to project, program, and country goals?
 - Was a training needs assessment undertaken to determine whether training can help address a development capacity constraint? Were the objectives of training activities clearly identified and results-based, expressed in terms of the expected changes in organizational/institutional performance change?¹⁴
 - To what extent does training content, design, delivery methods and pedagogical approaches meet training objectives and how were participants selected?
 - How have country client partners been involved in shaping the training activities to meet their reform needs and how does that process fit into their country plans for development and the Bank’s CAS?
- **Efficacy.** To what extent have Bank training activities achieved their objectives?
 - To what extent were training objectives achieved and how well were they monitored?

14. WBI’s “Capacity for Development” September 2005 issue provides a concise description of such a results oriented model. “Support has often focused on inputs to support capacity development...training...and ad-hoc benefits to key staff. The record of delivering these inputs is at best mixed...outputs are tangible results of performance...Instead of specifying number of trainees being trained” better to support the “measurable effect of these efforts on organizational performance”, article by Nils Boesen, p. 26.

- What is the impact of Bank-supported training in terms of participants applying new skills, particularly as it relates to higher level development objectives?
- How much consideration is given to sustainability and risk, and securing human resource gains (e.g., the performance and incentives framework)?
- **Efficiency.** Has the Bank used resources efficiently to support training?
 - How have financial and transaction costs of training activities been assessed in relation to benefits, and in relation to costs of training activities provided by other donors, international institutions, etc?
 - Have training activities used the least cost methods, for example, through use of local capacity or other alternatives when available?
- **Bank Performance.** How has Bank performance contributed to or impeded the success of training programs?
 - To what extent has the World Bank assessed local conditions in the design of its training support?
 - Has the Bank coordinated with other donors to avoid gaps, reduce overlaps, and harmonize efforts?
 - To what extent are project-financed training and WBI training activities within a country context complementary and coordinated with activities of other Bank units such as PREM and DEC?
 - To what extent have training programs been monitored and evaluated and is there evidence of learning from experience?

Evaluation Methodology

14. The evaluation will focus on the Bank's training support at the country level. Use of a country perspective will permit the assessment of training's relevance and effectiveness in contributing to countries' goals and the Bank's country assistance strategies. Key evaluative material will be drawn from investigating the full spectrum of training activities in a sample of countries. The sample of countries will ensure thorough coverage of both WBI training and project-financed training. The evaluation will look at the effectiveness of both individual training activities and the overall training effort within the country program. In addition, the evaluation will look at policy and guidance within the Bank related to training as input to an internal benchmark of training effectiveness, as well as relying on external input to benchmark Bank-supported training against international good practice.

15. This evaluation will be conducted using consultation with knowledgeable Bank management, staff not directly attached to programs being evaluated and, outside training experts. This will be done throughout the process to help ensure recommendations resonate for implementation and to share preliminary findings.

16. **Five sets of analysis** will comprise the main sources of evidence for the evaluation.

- 1) A **review of the conceptual and empirical literature** both within and outside the Bank will be conducted. This review will document the Bank's own thinking on training strategies and lessons learned. It will also document current thinking in the development community about training needs assessments, linkages between training and the achievement of higher development objectives, effective training design, pedagogical approaches and cognitive aspects of how people learn. This is important because the global knowledge economy requires changes in the way knowledge and training is pursued.
- 2) A **benchmarking exercise** on training techniques by an expert outside the Bank will document international good practice in training techniques and adult training. A random sample of Bank activities will be reviewed and pedagogical techniques benchmarked against these standards to provide insights to the overall quality of the Bank's training support.
- 3) Analysis of **basic financial and descriptive data on training activities** undertaken by the Bank in order to provide a summary picture of trends in Bank-supported training activities. This will include a detailed analysis of the costs of WBI's client training activities.
- 4) A **cross-country desk review** for a sample of 12 countries¹⁵ will be undertaken primarily to measure the extent and nature of the Bank's training support and to assess how well training objectives are articulated and aligned with country and Bank development goals. The country view will also allow measurement of the complementarity between WBI and project-financed training. Given current weaknesses in results monitoring, this review will likely only have limited assessments on the achievement of objectives and the contribution of training activities to higher objectives. The purposive sample of 12 countries will be selected using the following criteria: a) presence of both WBI training and project-financed training; b) balanced coverage of large, medium, and small borrowers; c) balanced coverage of initial institutional conditions, as proxied by the Bank's Country Policy and Institutional Assessment ratings; d) balanced geographic and sectoral coverage; and e) coordination with previous evaluation work, omitting countries that have been reviewed by IEG's recent Capacity Building in Africa evaluation to avoid unnecessary duplication while permitting at least some countries with WBI conducted impact evaluations to provide independent validation of results.¹⁶
- 5) **Field case studies** will be conducted in at least four of the above 12 country sample. Given the large number of training activities at the country level, a random sample of activities will be used to validate implementation issues – were funds disbursed and people trained as planned and reported. Assessments of

15. The majority of countries reviewed will be WBI focus countries, with several of them focus countries having been the subject of impact self-evaluations by WBI.

16. WBI's recent 12 country impact evaluation covers – Russia, Brazil, Egypt, Kenya, Indonesia, Nigeria, Sri Lanka, Burkina Faso, Guatemala, Tajikistan, Yemen and Thailand.

effectiveness at the activity level will focus on larger scale activities that represent higher resource use for the Bank and covering the range of pedagogical approaches (e.g., face to face, distance learning). Assessments of effectiveness will aim to investigate level 3 impact (see Box 1) by interviewing/surveying both participants and supervisors and supplementing with information derived from interviews with training suppliers, national government officials and Bank and WBI staff.

A number of techniques will be used to collect evaluative material. IEG will conduct **informant interviews** to address all evaluation questions but particularly relevance and effectiveness questions. Interviews with senior government planners and research leaders on the country's human resource challenges will update and deepen knowledge on the country capacity development context in which training activities operate.

In cases where large groups of informants are identified (e.g., participants in larger training programs), **focus groups** and/or **survey techniques** will be used. Multiple surveys within each country are envisioned. A local consultant or firm will be selected for each country to facilitate this input. Consideration will be given to working with a national think tank, university or training institution to provide consultant services provided there is no conflict of interest with Bank-funded projects and they have the survey skills required.

Table 3: Timetable for Evaluation

Phase	Dates	Tasks
I	August – November 2005	Approach Paper to CODE Literature review contracted Desk and field case study countries identified Case study methodology drafted
II	December 2005– June 2006	Literature review completed Desk reviews initiated Initial field case study conducted Case study methodology finalized Additional field study missions, case study drafting and consultation on findings Benchmarking exercise completed
III	July 2006 – November 2006	Field studies and desk reviews finalized Main report drafting and processing Workshop to discuss preliminary findings
IV	December 2006 -February 2007	IEG management review meeting Draft shared with World Bank management Submission of report to CODE

18. The evaluation team will be led by a senior staff member of IEG. The team will include external experts with various skill sets that relate to training's contribution to capacity development. An advisory panel of three external expert advisers will be commissioned to comment on the completeness and accuracy of the literature review, review the desk and field study methodologies prior to finalization, and also review the draft of the main evaluation report.