



## Evaluation Study

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# Performance of the Asian Development Bank Institute: Research, Capacity Building and Training, and Outreach and Knowledge Management

Independent Evaluation Department

Asian Development Bank

## ABBREVIATIONS

ADB	–	Asian Development Bank
ADB I	–	Asian Development Bank Institute
AfDB	–	African Development Bank
APEC	–	Asia-Pacific Economic Cooperation
APF	–	Asian Policy Forum
ASEAN	–	Association of Southeast Asian Nations
CBT	–	capacity building and training
CGE	–	computable general equilibrium
DER	–	Department of External Relations
DMC	–	developing member country
ERD	–	Economics and Research Department
ERP	–	external review panel
ESW	–	economic and sector work
GDLN	–	Global Development Learning Network
GDN	–	Global Development Network
IDB	–	Inter-American Development Bank
IED	–	Independent Evaluation Department
IEG	–	Independent Evaluation Group
IMF	–	International Monetary Fund
JAI	–	Joint Africa Institute
JICA	–	Japan International Cooperation Agency
MOF	–	Ministry of Finance
NGO	–	nongovernment organization
OECD	–	Organisation for Economic Co-operation and Development
OED	–	Operations Evaluation Department
OREI	–	Office of Regional Economic Integration
PRC	–	People's Republic of China
RCI	–	regional cooperation and integration
RSDD	–	Regional and Sustainable Development Department
SES	–	special evaluation study
TA	–	technical assistance
TDLC	–	Tokyo Development Learning Center
TNA	–	training needs assessment
US	–	United States
WBI	–	World Bank Institute

**NOTE**

In this report, “\$” refers to US dollars.

**Key Words**

adb, adbi, asian development bank, asian development bank institute, capacity building and training, knowledge management, knowledge partners, outreach, research

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## CONTENTS

	Page
EXECUTIVE SUMMARY	i
I. INTRODUCTION	1
A. Background and Context	1
B. Objective, Scope, and Limitations	1
II. EVALUATION METHODOLOGY	2
A. Evaluation Approach	2
B. Evaluation Criteria and Questions	2
C. Evaluation Instruments	3
III. RESEARCH: ORGANIZATION, PROCESS, AND PRODUCTS	5
A. Research Organization and Production Process	5
B. Research Products	11
C. Research Events and Knowledge Partners	16
D. Assessment of Research	18
IV. CAPACITY BUILDING AND TRAINING	18
A. Capacity Building and Training Course Profiles	18
B. Capacity Building and Training Design and Identification of Inputs	20
C. Capacity Building and Training Outputs and Outcomes: Learning and Workplace Changes	24
D. Survey of Capacity Building and Training Course Participants	26
E. Assessment of Capacity Building and Training	31
V. OUTREACH AND KNOWLEDGE MANAGEMENT	31
A. Review of Delivery System	31
B. Relationships with Research and Capacity Building and Training Functions	36
C. Assessment of Outreach and Knowledge Management	37
VI. CONCLUSIONS, LESSONS, AND RECOMMENDATIONS	37
A. Conclusions	37
B. Lessons	41
C. Key Recommendations	42

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## APPENDIXES

1.	Basic Profile of the Asian Development Bank Institute	46
2.	Examples of Equivalent Knowledge and Learning Institutes	49
3.	Highlights of Selected Knowledge Evaluation and Bibliography	55
4.	Evaluation Methodology	65
5.	Similar Activities: ADBI and ADB Headquarters' Knowledge Departments, 2007–2009	74
6.	Summary of Asian Development Bank Institute's Research Products, 1998–2009	76
7.	Survey of Research Events and Knowledge Partners	77
8.	Survey of Capacity Building and Training Courses: Face-to-Face and Distance Learning Courses	85

## SUPPLEMENTARY APPENDIXES (available upon request)

A.	ADBI Research Products
B.	Report of the External Review Panel
C.	Citation Analysis of ADBI's Research Products
D.	Research Events, Survey Questionnaires, and Results
E.	Capacity Building and Training Courses, Survey Questionnaires, and Results
F.	Evaluating the Outreach and Knowledge Management Program

## EXECUTIVE SUMMARY

### Introduction

In response to the request made by the Asian Development Bank's (ADB's) Board of Directors through its Development Effectiveness Committee, the Independent Evaluation Department (IED) undertook a special evaluation study (SES) of the performance of the Asian Development Bank Institute (ADBI) relating to its knowledge products and services. ADBI was established in Tokyo, Japan, following an inaugural meeting on 10 December 1997, as a subsidiary body of ADB to contribute to the development of the Asia and Pacific region (Article 1, ADBI Statute) within the purview of ADB's functions and directions.

The purpose of this SES is to examine the performance of ADBI thus far and draw strategic lessons for the future. The SES covers the following three key knowledge products and activities: (i) research products, (ii) capacity building and training (CBT) activities, and (iii) outreach and knowledge management program. The evaluation scope covers the period from ADBI's inauguration in December 1997 to December 2009 but does not include governance and management of ADBI.

This is IED's first knowledge evaluation study and is also the first study in the evaluation literature to attempt an assessment of the performance of knowledge institutions and products covering all three functions of research production, CBT, and outreach and knowledge management simultaneously. It is therefore difficult to establish benchmarks for the evaluation, except for some good practices as reference points available from the literature. The methodology of evaluation is drawn and synthesized from existing knowledge evaluations conducted separately for research production, CBT, and outreach and knowledge management programs. Furthermore, no results framework or design and monitoring framework are available to assess the performance of ADBI. Due to the absence of such frameworks with benchmark information and data, the SES was not able to assess ADBI's impact with respect to its objectives.

### Overall Assessment, Key Findings, and Issues

ADBI performance has been evolving since its establishment in December 1997. ADBI has been able to move forward under the aegis of its four deans, with each dean building on past accomplishments to gradually increase its contributions in numerous ways. Except for the period under the first dean, who served from ADBI's foundation until January 1999, the subsequent periods under the succeeding deans saw numerous activities. These activities included preparation of research products under the guidance of a high caliber advisory council, collaboration with a broad range of professionals in the Asia and Pacific region, and reacting to the responses of high quality participants in these activities. The composition of those who have been involved in ADBI's research activities has remained diverse in both geographic spread and organizational affiliations. The composition of its advisory council has also continued to include several prominent personalities steeped in research experience. There is no doubt that a research culture has permeated ADBI. Since 2007 when the current dean was appointed, ADBI has jointly conducted some innovative research projects with ADB headquarters such as *Infrastructure for a Seamless Asia* and *Global Financial Crisis*. Especially, links between ADBI and ADB through ADB headquarters knowledge departments have been greatly strengthened, and information flows from both sides have been active, and are becoming systematic and organization based. Taking into account its performance in terms of relevance, effectiveness and usefulness, in the three activities (research, CBT and outreach and knowledge management program) the overall performance of ADBI is rated *successful*.

Past visions of ADBI were determined slightly different under the four deans. In December 2008 under the present dean, ADBI deliberately made its vision consistent with ADB's Strategy 2020. Initial thoughts on ADBI's vision and mission have been derived from internal discussions within ADBI, and have been influenced by contemporary issues facing the region through research and training needs surveys. The advisory council has been proactive in setting ADBI's vision, mission, and priorities. ADBI has been conducting retreats before the advisory council meeting every autumn, to prepare its Three-Year Rolling Work Program and Budget document to be reviewed by the Budgetary Review Committee and approved by the ADB Board of Directors, or whenever considered necessary. The deliberations of ADBI, its advisory council, the Budgetary Review Committee, and ADB's Board of Directors have shaped the framework of ADBI activities. However, ADBI's vision, mission, and priorities have not been developed into a results framework or design and monitoring framework, by considering the intended outputs, outcomes, and impacts, with performance targets and indicators.

In early years, there was no clear distinction of research focus between ADBI and ADB headquarters. When ADBI was established, ADB had limited research and training functions in the then Economics and Development Research Center. Given the more prominent and larger coverage of research and training being carried out by ADB's knowledge departments (the Economics and Research Department, the Office of Regional Economic Integration, and the Regional and Sustainable Development Department) in the recent past, the rationale for ADBI to conduct research and CBT became somewhat different than at the time of its establishment. Discerning a clear distinction between ADBI and ADB knowledge departments is a difficult issue. In 2006, ADBI and ADB knowledge departments introduced a formal process to coordinate their activities, including engaging in joint undertakings. Against this context, ADBI has decided to conduct research and CBT activities that contribute to ADB's overarching goal of poverty reduction by applying cutting edge research knowledge to the Asia-specific context and focusing on the region's medium- and long-term development issues of strategic importance. ADBI needs to sharpen its focus by identifying its comparative advantage in line with its strategic vision to become a leading center for the creation and sharing of knowledge on economic development in the Asia and Pacific region.

An evaluation of the research products by an eminent external review panel found that "they are generally useful, informative, and appropriate to the mandate or mission of ADBI. ADBI is not an academic research institution but is tasked to provide knowledge support to ADB's developing member countries (DMCs)". As per the external review panel, "ADBI fulfills the functions prescribed in its Statute". Citation analysis using the Google Scholar database showed that about half of all ADBI's research products between 1998 and 2009 have been cited by other journals and researchers. Although this does not undermine the usefulness of ADBI's research for its mission of serving the DMCs, there is scope for improvement in the academic utilization of its research products. The evaluation of the research function showed that overall, ADBI's research function is *relevant* to the topics it researches, *effective* in providing quality information to the DMCs, and *moderately useful* in terms of utilization.

The performance of the CBT program has been successful. This is based on the results of the e-surveys, field interviews with ADBI partners and CBT course participants, and the review of relevant ADBI documents. A mix of mid-level and senior government officials from DMCs participated in CBT courses. However, ADBI should focus more on senior-level and top-end of middle-level policy makers who are being groomed to take on higher level responsibilities. There has also been a good balance of participants coming from DMCs with different income levels. The overall ratings for CBT courses for both face-to-face and distance



learning courses are *relevant, effective, and moderately useful*. The CBT program was also found to be valuable in disseminating quality theoretical knowledge from well-qualified international speakers.

ADBI has had success in using the internet platform to deliver its products and services through its outreach and knowledge management program. The ADBI website is seen as an effective communication tool for disseminating its knowledge products. The use of the web technology is now widespread among DMCs and knowledge partners. ADBI also keeps abreast of developments in web technology and selectively applies them to reach out to stakeholders including those in DMCs. However, there is room for improvement. ADBI may not be fully exploiting its potential and can do more in outreach and knowledge management. The website can effectively target the research community, policy makers, operational staff of development agencies, and larger development practitioners. The e-surveys of CBT course participants reveal a need for web-based course follow-ups, refresher modules, post-training networking, and other activities to enhance the CBT outputs. Outreach and knowledge management can be strengthened by increased interaction between the ADBI research and CBT functions. Overall, the outreach and knowledge management function is assessed *highly relevant, effective, and useful*.

## Lessons

The deanship has been a crucial factor in the performance of ADBI and has also influenced ADBI's relationships with its advisory council, ADB headquarters, and external knowledge partners. The qualifications and experience of the current dean have been effective for ADBI to perform its functions as defined in the ADBI Statute. Learning from this experience, factors that should go into the selection of the dean can be carefully noted. In addition, the new and effective approaches developed in recent years can be institutionalized such that they can continue irrespective of who is at the helm.

Periodic self-assessment is imperative. An important lesson from this SES is that, many midcourse corrections could have been made to sharpen ADBI's knowledge products and services through self-assessment. In addition to the annual staff retreat, advice and recommendations given by the advisory council, and ADB Board discussions on ADBI's Three-Year Rolling Work Program and Budget taking place every December, this self-examination could be carried out every 3–4 years, particularly before a new dean is appointed.

A well-formulated vision and mission statement is an important foundation for defining the direction of ADBI. The vision and mission set the parameters for defining its functions of research, CBT, and knowledge dissemination over a planned period such as the current 3-year rolling plan. Even more important, the vision and mission need to take into account the strategies and operations of ADB, the region's social and economic structure and institutions, the overall global environment, and the views of regional constituencies that eventually map out their policies and programs. In this connection, ADBI rightly indicates its 2008 alignment with ADB's Strategy 2020 in key documents such as ADBI's Year in Review and Three-Year Rolling Work Program and Budget.

Because of its location and geographic advantages, institutional partnering with Japan-based partners is stronger than with DMC-based partners. Most Japan-based organizations that are ADBI partners have clear and deep roots in relation to ADBI, and their collaboration with ADBI has been on a regular basis. ADBI also regularly co-organizes research events with think tanks in the United States and Europe. For the most part, ADBI's partners in the DMCs are

based more on individual relationships with representatives of their organizations. While there are both advantages and disadvantages to person-based partnerships, ADBI's network could be strengthened by having more formal institutional links and networks based on a partnership framework.

A clear, long-term, strategic approach of selecting training themes would increase the likelihood that CBT courses will contribute in a sustainable manner to the capacity of DMC institutions. Similar to ADBI's research, CBT has been strategically programmed since 2008 according to the three priority themes of (i) inclusive and sustainable growth, (ii) regional cooperation and integration, and (iii) governance for policies and institutions. Those three priority themes are still too broad to provide much guidance for training topic selection. Given its limited resources, ADBI could consider a more programmatic approach of long-term strategic partnerships with a small number of selected DMC institutions, ADB headquarters, and international organizations, involving a series of interconnected events over the course of a multiyear period.

The current system of conducting training needs assessment surveys does not fully deliver the data ADBI needs for good course planning and discourages further direct consultations between ADBI and focal-point organizations. This system depends largely on ADB resident missions to distribute training needs assessment survey forms, and whether the forms are returned to ADBI depends mostly on these missions. Although dialogue takes place between ADBI and DMC organizations on a sporadic basis, a more structured consultative process with top-level DMC officials could produce a CBT plan that is more responsive and tailored to specific DMC development needs.

ADBI is constrained by the existing selection process and limited choices concerning the identity or seniority of the individuals that DMC governments and organizations choose to attend CBT programs. More control would enable ADBI to better direct and match course content and modality, such as the policy dialogue format, to the kind of participants it intends to reach, which would ensure that CBT would be more successful in the long run. If selection nonetheless remains as the prerogative of DMC governments, ADBI should continue setting minimum standards for course participation and exercise its right not to accept a candidate who does not meet them when appropriate. As ADBI puts more importance on the policy dialogue seminar under the CBT program, CBT courses should be meant for senior-level and top-end of mid-level policy makers.

### **Recommendations for Consideration**

Key recommendations and specific options for research, CBT, and the outreach and knowledge management program for consideration by ADBI and ADB management during 2012 work program preparation are given below. Some options on how to implement the recommendations are elaborated in paras. 120–123.

<b>Recommendations</b>
<p>1. Facilitate institutional changes with the involvement of ADB headquarters' knowledge and regional departments to improve the effectiveness of ADBI's knowledge products, further strengthen its links with ADB, and increase its impact on the development directions of the DMCs (para. 120). Some options include developing a results framework for ADBI's core activities; making effective use of ADBI by taking greater advantage of its strategic location in Tokyo, Japan; monitoring utilization of research and CBT programs; and increasing coordination between ADBI and ADB at both the strategic and operational levels.</p>

**Recommendations**

2. Strengthen the quality of research products, including theoretical and conceptual underpinnings and rigorous evidence of research, to an extent that can guide DMC policy makers to formulate appropriate policies (para. 121). Some options include strengthening quality control mechanisms more systematic at every stage of research production, further strengthening the links between ADBI and ADB in research, examining the organizational implications in ADBI for innovations such as flagship products and to improve synergies between research and CBT activities, and exploring formal institutional links and networks with selected DMC-based knowledge partners.

3. Align the CBT program with ADBI's strategic vision of knowledge dissemination to senior-level and top-end of middle-level policy makers, with particular focus on strategic regional issues, and consider a more programmatic approach of long-term strategic partnerships with a small number of selected DMC-based institutions (para. 122). Options for improvements include developing better mechanisms for needs assessment; establishing better control over the selection of participants; distinguishing between short policy dialogue seminars and long-term, strategically selected priority themes; using a greater range of instructional design methodologies and a variety of instructional tools; and developing postcourse participants' networking and knowledge exchange.

4. Take strategic steps to increase ADBI's visibility in the Asia and Pacific region, considering multidimensional improvements to reach a wider audience (para. 123). Options include working with other departments within ADBI and ADB departments on ways to increase outreach, reassessing the distribution incidence of research publications to encompass more relevant constituents, and instituting further improvements and changes in the electronic communications system.

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## I. INTRODUCTION

### A. Background and Context

1. In response to the request made by the Asian Development Bank's (ADB's) Board of Directors through its Development Effectiveness Committee, the Independent Evaluation Department (IED) undertook a special evaluation study (SES) of the performance of the Asian Development Bank Institute (ADBI).

2. ADBI commenced operations in Tokyo, Japan, following an inaugural meeting on 10 December 1997, as a subsidiary body of ADB to contribute to the development of Asia and the Pacific (Article 1, ADBI Statute) within the purview of ADB's functions and directions.<sup>1</sup> ADBI's strategic vision is to become a "leader in creating and sharing knowledge on economic development in the Asia and Pacific region."<sup>2</sup> The objectives of ADBI are to (i) identify effective development strategies, and (ii) improve the capacity for sound development of the agencies and organizations in ADB's developing member countries (DMCs). ADBI has been conducting research and capacity building and training (CBT) activities that "contribute to ADB's overarching objective of poverty reduction by looking ahead to the next 10–20 years and focusing on the region's medium- to long-term development issues of strategic importance."<sup>3</sup>

3. ADBI is headed by a dean appointed by the ADB President. It has an advisory council, which provides advice and recommendations on strategic directions, and also reviews and comments on its strategy and work programs. ADBI's 3-year rolling work programs and budgets are approved by ADB's Board of Directors. Since 1997, four deans have headed ADBI. While the focus areas under each dean may have differed, ADBI's objectives and functions have remained the same. A brief profile of ADBI is in Appendix 1.

4. In 2008, ADB adopted its long-term strategic framework 2008–2020 (Strategy 2020), which has given the organization a more relevant and innovative role in shaping the future of Asia and the Pacific.<sup>4</sup> In December 2008, ADBI promptly aligned its own institutional strategic focus with Strategy 2020 by adopting ADB's three strategic priority themes under the overarching goal of poverty reduction: (i) inclusive and sustainable growth, (ii) regional cooperation and integration (RCI), and (iii) governance for policies and institutions. Private sector issues cut across these strategic themes due to the sector's important role as a driver of change. While ADBI's research production may be along these themes, there are products that cut across them (crosscutting themes).

### B. Objective, Scope, and Limitations

5. The purpose of this SES is to examine the performance of ADBI thus far and draw strategic lessons for the future. The SES covers the following three key knowledge product areas and activities: (i) research products, (ii) CBT (comprising both face-to-face and distance learning courses), and (iii) outreach and knowledge management. The period of coverage is

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<sup>1</sup> ADB. 1996. *Establishment of the Asian Development Bank Institute. Appendix 1: Statute of the Asian Development Bank Institute*. Manila; and ADBI. 2004. *Statute of the ADB Institute (revision)*. Tokyo.

<sup>2</sup> ADBI. 2010. *Year in Review 2009*. Tokyo. p. 4.

<sup>3</sup> ADB. 2009. *Asian Development Bank Institute Three-Year Rolling Work Program 2010–2012 and Budget for 2010*. Manila. p. 1.

<sup>4</sup> ADB. 2008. *Strategy 2020: The Long-Term Strategic Framework of the Asian Development Bank, 2008–2020*. Manila.

from ADBI's inauguration in December 1997 to December 2009.<sup>5</sup> The SES is intended to evaluate the performance of ADBI, focusing on its knowledge products and services. The SES has the following limitations: (i) the SES is not intended to evaluate the governance and management of ADBI;<sup>6</sup> (ii) the SES was not able to assess ADBI's impact in relation to its objectives due to the absence of a results framework or a design and monitoring framework (para. 7); and (iii) the SES used 50 participants who attended from 2007 to 2009 to collect information on CBT courses, and considered individual CBT course participants as the units of analysis under e-surveys of CBT courses rather than the relevant organizations in the DMCs (paras. 11 and 12). Nevertheless, the SES uses triangulation of quantitative and qualitative information from various evaluation instruments (paras. 9 to 13) to verify its findings.

## II. EVALUATION METHODOLOGY

### A. Evaluation Approach

6. This is IED's first knowledge evaluation study and is also the first study in the evaluation literature to attempt an assessment of the performance of knowledge institutions and products covering all three functions of research production, CBT, and outreach and knowledge management, simultaneously. It is therefore difficult to establish benchmarks for the overall evaluation, except for some good practices as reference points available from the literature.<sup>7</sup> The methodology of evaluation is drawn and synthesized from existing knowledge evaluations conducted separately for research production, CBT, and outreach and knowledge management programs.<sup>8</sup> Highlights of selected knowledge evaluation with bibliography are in Appendix 3. Evaluation methodology note is given in Appendix 4.

### B. Evaluation Criteria and Questions

#### 1. Evaluation Criteria

7. ADBI's vision statement seeks to emphasize "the quality, rather than the quantity, of its research and CBT programs by pursuing excellence and originality in the areas where it has a strategic advantage."<sup>9</sup> However, no results framework or design and monitoring framework are available to assess the performance of ADBI. Due to the absence of such frameworks with benchmark information and data, the SES was not able to assess ADBI's impact in light of its objectives, which are to (i) identify effective development strategies, and (ii) improve the capacity for sound development of the agencies and organizations in ADB's DMCs. The SES proposed a set of criteria that guided the course of evaluating the performance of ADBI's products

<sup>5</sup> For CBT activities, emphasis was given to the period from 2007 to 2009 due to the information and data constraints in earlier years. For outreach and knowledge management program, focus was given to the period since 2004, when the outreach and knowledge management program was intensified and website usage reports became available.

<sup>6</sup> Memo dated 10 May 2010, from Y. Hirosato through H. Hettige, to H.S. Rao, on Evaluation Study of Asian Development Bank Institute—Request for Approval of the Proposed Evaluation Approach Paper.

<sup>7</sup> In fact, ADBI is a unique institute that covers all three functions of research production, CBT, and outreach and knowledge management as a subsidiary of a multilateral development bank such as ADB. As shown in Appendix 2, other multilateral development banks fall short of this combination.

<sup>8</sup> The SES also compares the missions, objectives, activities, and key programs of Japan-based knowledge institutes and multilateral development banks/organizations such as the World Bank, Inter-American Development Bank, African Development Bank, International Monetary Fund, Economic Research Institute for ASEAN and East Asia, and knowledge institutions of other bilateral organizations such as the International Development Research Centre/Canada and the Overseas Development Institute/United Kingdom. Examples of equivalent knowledge and learning institutes are in Appendix 2.

<sup>9</sup> ADBI. 2010. *Year in Review 2009*. Tokyo. p .4.

and services. Accordingly, ADBI's performance has been assessed primarily based on three main evaluation criteria: (i) relevance, (ii) effectiveness, and (iii) usefulness. These evaluation criteria were modified to meet the specific purpose of evaluating the research, CBT, and outreach and knowledge management functions of ADBI. Furthermore, these evaluation criteria were supported by conceptual frameworks for evaluating the organization and process of research production, CBT activities, and the outreach and knowledge management program (Appendix 4), as well as by evaluation questions (para. 8). In the context of this evaluation, relevance means that research and CBT courses provide information and innovative knowledge relevant to a DMC organization's and/or country's context. Effectiveness (outcomes), on the other hand, means the overall quality of research products/events and CBT courses, and the degree to which they impart information and knowledge of development challenges faced by DMCs. Finally, usefulness means the degree to which information and knowledge lead to changes in design and implementation of policies and/or regulations. The relevance, effectiveness, and usefulness of outreach and knowledge management, however, are assessed according to its function to support the research and CBT functions, which can be delivered in various ways. These three criteria are discussed for each of the three ADBI knowledge products, namely research, CBT, and outreach activities (paras. 44, 77, and 96–97). The assessment is based on four-category rating criteria for relevance (*highly relevant, relevant, moderately relevant, not relevant*); effectiveness (*highly effective, effective, moderately effective, ineffective*); and usefulness (*highly useful, useful, moderately useful, not useful*).

## 2. Evaluation Questions

8. The key questions to be assessed by the evaluation are:
- (i) How relevant, effective, and useful have ADBI's research products, CBT activities and outreach and knowledge management been (paras. 44, 77, and 96–97)?
  - (ii) What is the quality of ADBI's research products (paras. 30–33)? What are the quality control mechanisms it has deployed, and how have they functioned in ensuring the quality of its knowledge products (paras. 26–27)?
  - (iii) How successful have ADBI's activities been in networking and partnering with knowledge partners (regional and international research and training institutions, and think tanks) (paras. 19–21 and 59)?
  - (iv) How has ADBI synergized with ADB operations in knowledge generation and knowledge-sharing activities? Has ADBI added value to what ADB headquarters, especially knowledge departments, are doing (paras. 23–25)?
  - (v) How has ADBI responded to the changing development landscape in the region including the rapid development of some economies, and incidences of regional and global economic crises that have had implications for research and CBT activities (paras. 14–17)?
  - (vi) What are the strategic lessons for the future (paras. 112–118)?

## C. Evaluation Instruments

9. The SES was carried out through a combination of literature and document review, interviews, and surveys. Key informant interviews were conducted at ADBI, at ADB headquarters, and in selected DMCs in order to assess the relevance, effectiveness, and usefulness of ADBI's knowledge products and services. At ADBI, key informants were past and current ADBI management and staff, past and current ADBI advisory council members, and visiting researchers and fellows. Key informants included concerned staff of the Ministry of Finance (MOF) in Japan. At ADB headquarters, key informants were ADB management and key staff concerned including staff who were seconded to ADBI or recruited from ADB. At selected

DMCs, key informants were the concerned staff of the coordinating agencies (the MOF authorities of selected DMCs) and ADBI's knowledge partners. Four DMCs identified for focus groups and key informant interviews were the People's Republic of China, India, Indonesia, and Thailand, which are ADBI's research focus or primary beneficiaries of CBT activities. To a lesser extent, interviews with knowledge partners and CBT course participants were conducted in the Philippines. E-surveys of research events, knowledge partners, and CBT course participants were conducted to assess the extent of their relevance, effectiveness, and usefulness. More details on evaluation instruments for evaluating research products, CBT activities, and outreach and knowledge management program are discussed below.

## 1. Evaluation of Research Products

10. The organization and process of ADBI's research were first evaluated based on the conceptual framework of research production (Appendix 4, Figure A4.1). Extensive interviews were conducted at ADBI in Tokyo, at ADB headquarters, and in selected DMCs. Then, the SES combined a review by a credible external review panel (ERP) assessing the quality of ADBI's research products (which is a micro analysis) and the results of citation analysis (which is a macro analysis). The ERP provided an independent assessment of the quality of selected ADBI research products, giving due consideration to ADBI's research mandate, which is to draw policy implications of development issues. However, the ERP did not review all the research products of ADBI, which limits the scope of the microanalysis of the quality of research products (see para. 29 for the selection method of ADBI's research products reviewed by the ERP). In addition, e-surveys of ADBI's research events, and interviews and e-surveys of knowledge partners were conducted to (i) supplement the findings of the ERP and the citation analysis; and (ii) elicit knowledge partners' perceptions of the relevance, effectiveness, and usefulness of research event-obtained knowledge.<sup>10</sup>

## 2. Evaluation of Capacity Building and Training

11. Evaluation of CBT activities comprised (i) a review of the literature including key ADBI documents;<sup>11</sup> (ii) a review of the results of ADBI's end-of-course and postcourse evaluations from 2007 to 2009;<sup>12</sup> (iii) a review of ADBI's CBT impact evaluation study in 2005, covering 2002–2004;<sup>13</sup> (iv) a review of the impact evaluation of the microfinance training of trainers course;<sup>14</sup> (v) interviews with CBT course participants and focal points in selected DMCs;<sup>15</sup> and (vi) interviews with ADBI management and staff, and ADB headquarters staff involved in CBT activities at ADBI. The SES also used the three-tier training evaluation model as a conceptual framework for evaluating the organization and process of CBT activities (Appendix 4, Figure A4.2).

<sup>10</sup> Based on the surveys of the research events, the mean ratings for relevance, effectiveness, and usefulness are classified using a scale of 1 to 5, where 1 is the lowest and 5 is the highest score: 0.0 to 1.9 (*not relevant, not effective, and not useful*); 2.0 to 3.4 (*moderately relevant, moderately effective, and moderately useful*); 3.5 to 4.4 (*relevant, effective, and useful*); and 4.5 to 5.0 (*highly relevant, highly effective, and highly useful*), where 1 is the lowest and 5 is the highest score using a scale of 1 to 5.

<sup>11</sup> Key ADBI documents comprise *ADB Year in Review* (various years), *ADB (Three-Year Rolling) Work Program and Budget* (various years), and *Minutes of the Advisory Council Meetings* (various years).

<sup>12</sup> Forty-three end-of course evaluations and 16 postcourse evaluations from 66 courses were reviewed.

<sup>13</sup> ADBI. 2005. *Training Impact Evaluation and Training Needs Assessment Studies*. Tokyo.

<sup>14</sup> G. Miron, J. Zhang, and S. Setboonsarng. 2008. *Impact Evaluation of the Microfinance Training of Trainer Courses*. Tokyo: World Bank.

<sup>15</sup> Fifty participants who had attended CBT courses in 2007–2009 were interviewed. Interviewed participants were randomly selected by IED from course lists provided by ADBI.



12. In addition, e-surveys were conducted for participants of face-to-face and distance learning courses from 2007 to 2009 to assess the degree of their relevance, effectiveness, and usefulness.<sup>16</sup> In many evaluation studies including this one, there are some inherent limitations. These limitations include the use of individuals (CBT course participants) as the unit of analysis. For CBT activities to have an impact, the performance should be assessed at the organizational level of concerned DMCs as the target of CBT programs.<sup>17</sup> The assumption of this SES is that the effectiveness and usefulness of the CBT courses at the individual level are prerequisite to improving organizational capacities. It is therefore assumed that the application of information, knowledge, skills, and learning from the CBT courses in the respective jobs of the course participants contributes to broader organizational and institutional capacity development.<sup>18</sup> The impact of CBT courses was assessed in relation to the application of knowledge gained by CBT participants.<sup>19</sup> The survey of CBT courses under this SES targeted courses conducted during 2007–2009.

### 3. Evaluation of Outreach and Knowledge Management Program

13. ADBI's outreach and knowledge management program was evaluated focusing on its function to support the other two main functions of ADBI, which are research and CBT (see Appendix 4, Figure A4.3 for a conceptual framework for the process of the outreach and knowledge management function). ADBI's outreach and knowledge management program can be classified into the following categories: website, publications, media coverage, newsletter, conferences/seminars/workshops, and e-newsletter and e-notification.<sup>20</sup> Evaluation of the outreach and knowledge management program focused on (i) a review of the delivery system in place, (ii) an analysis of webpage and downloading based on ADBI's website and website usage reports, and (iii) a review of relationships with research and CBT functions.

## III. RESEARCH: ORGANIZATION, PROCESS, AND PRODUCTS

### A. Research Organization and Production Process

#### 1. Vision and Mission

14. ADBI's vision and strategic direction enunciated by the current dean continues to emphasize ADBI as "a leading knowledge center in Asia and the Pacific" (footnote 3). Its current direction and work program have been aligned with ADB's long-term strategic framework (Strategy 2020) since December 2008 and are harmonized with the knowledge departments at ADB headquarters. Accordingly, the mission and mandate of ADBI and ADB headquarters knowledge departments have been convergent and complementary to each other, especially

<sup>16</sup> Based on the surveys of CBT courses, the mean ratings for relevance, effectiveness, and usefulness are classified using a scale of 1 to 5, where 1 is the lowest and 5 is the highest score: 0.0 to 1.9 (*not relevant, not effective, and not useful*); 2.0 to 3.4 (*moderately relevant, moderately effective, and moderately useful*); 3.5 to 4.4 (*relevant, effective, and useful*); and 4.5 to 5.0 (*highly relevant, highly effective, and highly useful*), where 1 is the lowest and 5 is the highest score using a scale of 1 to 5.

<sup>17</sup> C.M. Ling, H.S. Zia, B. Dasgupta, and I. Yenice. 2007. *The Effectiveness and Impact of WBI FY01–05 Activities: Results from 25 Focus Countries*. Washington, DC: World Bank Institute.

<sup>18</sup> N. Khatrri. 2007. *Effectiveness, Outcomes, and Quality of WBI's Learning Programs: What Does Evaluation Evidence Show?* Washington, DC: World Bank Institute.

<sup>19</sup> Given the absence of institutional baseline information, the SES did not assess the extent that CBT courses had contributed to improve the capacity of sound development of the agencies and organizations in the DMCs, which is one of two main objectives of ADBI as given in ADBI's Statute (Article 2).

<sup>20</sup> These conferences/seminars/workshops are events that are organized by other partners or even occasional forums where ADBI is invited.

since 2008. ADBI shares a similar mission and mandate with (i) the Economics and Research Department (ERD), strengthening and expanding ADBI's research agenda to support Strategy 2020's vision of a region free of poverty; (ii) the Office of Regional Economic Integration (OREI), facilitating RCI in Asia and the Pacific; and (iii) the Regional and Sustainable Development Department (RSDD), promoting sustainability and inclusiveness of ADB investment.<sup>21</sup>

15. ADBI has maintained its strategic focus on medium- and long-term scenarios since its inauguration in 1997. Prior to the 2008 alignment with the ADB's Strategy 2020, the ADB President had articulated poverty reduction as an overarching goal in the advisory council meeting of 1999 at ADB headquarters.<sup>22</sup> ADBI retained its strategy and work program by recognizing the need to increase the research program to include poverty reduction issues. In 2003, ADBI, using ADB's Long-Term Strategic Framework paper released in 2001 as a reference point, organized ADBI's research (and CBT) activities under four broad areas or themes: (i) poverty reduction, (ii) regional cooperation, (iii) private sector development, and (iv) governance.<sup>23</sup> While ADBI's overall mission and mandate have remained the same since its establishment, the macroeconomic environment and context have changed due to global financial crises that have occurred in or involved the region, and climate change, which has been affecting global conditions including the region, which in turn has influenced the choice of research agenda (and also CBT topics).

16. The agenda and priorities of the deans have greatly influenced the overall performance of the relatively small ADBI, as have relationships with its advisory council, ADB headquarters, and external knowledge partners.<sup>24</sup> The current Dean Masahiro Kawai describes his distinction from his predecessors in that he brings into ADBI both research capacity and links with ADB headquarters, where he was previously Head of OREI. There is no doubt that the leadership of ADBI has been instrumental in increasing its visibility, defining its own "brand" among regional and global research organizations, producing research that blends academic quality with policy relevance, and expanding and deepening its network across the global research community. This distinction does not diminish the vision and mission of ADBI's previous deans. Dean Yoshitomi's contribution can be gauged by an important publication on "Post-Crisis Development Paradigms."<sup>25</sup> Dean McCawley, on the other hand, ventured with a vision of a more visible CBT and activated the outreach and knowledge management program by developing its website into an international standard and using various e-techniques. However, ADBI's vision, mission, and priorities have not been developed into a results framework or a design and monitoring framework, by considering the intended outputs, outcomes, and impacts, with performance targets and indicators.

## 2. Organization and Process: An Innovation

17. The organization and process of research in ADBI are well organized. The emerging research culture that includes "policy dialogue" with policy makers at different stages in its

<sup>21</sup> These missions and mandates repeatedly appear in work plan documents of ERD, OREI, and RSDD. See, for example, ERD. 2009. *Priorities for 2010–2012*. Manila; OREI. 2008. *OREI's Top Priorities and Work Program for 2008*. Manila; and RSDD. *About the Regional and Sustainable Development Department*. <http://www.adb.org/rsdd/about.asp>.

<sup>22</sup> Summary of the Discussions, Advisory Council Meeting, ADBI (18 October 1999).

<sup>23</sup> ADBI. 2004. *Research Directions, 2004, 2005, 2006*. Tokyo: ADBI.

<sup>24</sup> At the same time, the SES recognizes that the deliberations of the advisory council, the Budgetary Review Committee, and the ADB Board of Directors, through their review and approval of the Three-Year Rolling Work Program and Budget, help shape the framework of ADBI's activities.

<sup>25</sup> M. Yoshitomi and ADBI Staff. 2003. *Post-crisis Development Paradigms*. Tokyo: ADBI.

research production cycle would be useful to systematize.<sup>26</sup> Recent flagship projects of ADBI reflect this new innovation of research process by involving high-level policy makers at critical stages of the research process rather than at its completion. This guides the research process and seeks to ensure its eventual utilization. Among such innovative research projects are two flagship studies with crosscutting themes: *Infrastructure for Seamless Asia* and *Global Financial Crisis*, which have the following process features in common: brainstorming for policy recommendations; panel discussions; roundtables; fora for specific issues; a number of background papers; and strong external and internal advice through advisory boards, steering committees that includes ADB Management, and working groups that include ADB staff. These policy dialogue components in varying forms are in addition to the regular dissemination conferences, seminars, or policy fora that normally take place after research has been completed and outputs published (Box 1).<sup>27</sup>

### Box 1: Illustrative Major Research Projects

#### A. Infrastructure for Seamless Asia (Flagship Project)

The flagship project of ADBI on infrastructure and regional cooperation in collaboration with ADB headquarters, initiated in August 2007, was completed in 2009 with the publication of the book, *Infrastructure for a Seamless Asia*. In view of Asia's enormous untapped economic potential and the ongoing global economic and financial crisis, the challenge is to build efficient and seamless connections across Asia and thus to the rest of the world for a more competitive, prosperous, and integrated region. This study analyzes the major challenges in developing regional infrastructure, particularly in transport and energy—both hard and soft infrastructure—through fostering regional cooperation toward a seamless Asia. It evaluates existing regional infrastructure programs, policies, and institutions, makes recommendations on what the region needs to address to meet these challenges and provides a framework for pan-Asian infrastructure cooperation. It projects an annual infrastructure investment in the region of \$750 billion during 2010–2020, and urges Association of Southeast Asian Nations (ASEAN) policy makers to develop an ASEAN Connectivity Plan and all Asian economies to set up an Asian Infrastructure Fund. Initial impacts of the book, among others, have been as follows:

- (i) The Asia–Pacific Economic Cooperation Finance Ministers' Statement for the summit in Singapore quoted the book's estimates on infrastructure needs of Asia.
- (ii) The book was downloaded more than 51,000 times from when it was first published on 15 September 2009 until 31 December 2009.
- (iii) Following the study's suggestion on creation of an Asian Infrastructure Fund, ASEAN has decided to create an ASEAN infrastructure fund that will be managed by ADB.
- (iv) Japan and ASEAN prepared a report targeting around 400 projects amounting to \$170 billion to jump start the development of infrastructure in East Asia and spur regional economic integration.
- (v) The book has been translated into Chinese and Japanese due to strong demand.

#### B. Global Financial Crisis Project (crosscutting themes)

The global financial crisis project is aimed at providing policy makers, academics, and opinion makers with a comprehensive overview of the topic, including expected economic, financial, social, and environmental impacts. The project provides policy analyses and recommendations both for short-term

<sup>26</sup> The usual cycle of research includes (i) research lead/prospectus; (ii) research proposal; (iii) research implementation including interim presentations and incorporation of comments from peers or reviewers; (iv) research results (output completion); and (v) research dissemination through seminars for peers, presentations to policy makers, and/or seminars for the general public.

<sup>27</sup> Ongoing major research projects led by ADBI are *Climate Change and Green Asia*, and *Role of Key Emerging Economies: ASEAN, the People's Republic of China and India*. It is also noteworthy that several DMC policy makers have asked ADBI to conduct specific studies (e.g., the *Managing Capital Flows* project) and to hold special conferences and workshops in specific areas.

stabilization and for achievement of sustainable and inclusive long-term growth. The project has five broad thematic areas: macroeconomic impacts and policy, real economy (sector) impacts, social and environmental impacts, finance sector reform and regulation, and regional cooperation and regional and global architecture. ADBI organized 22 events under the project. The research results in general indicated a need for Asia to rebalance growth between production and spending (current account rebalancing); growth and environmental and climate change challenges (green growth); and growth and social inclusion (inclusive growth). The project was completed in 2010 and is expected to be published as “Rebalancing for Sustainable Growth: Asia’s Post-Crisis Challenge.”

Source: Asian Development Bank Institute.

### 3. Research Staffing

18. ADBI’s research staff comprises research fellows, visiting research fellows, visiting researchers, research assistants (called associates), occasional interns, and long- and short-term consultants. As of end-December 2009, there was a total of 10 professional research staff (1 director, 4 research fellows, 4 visiting research fellows/visiting researchers, and 1 long-term consultant).<sup>28</sup> ADBI’s research fellows and long-term consultants have several roles: They conduct their own research, act as task managers in research projects, are responsible for the research activities performed by external collaborators, at times contribute a paper to the research project, and sometimes become editor (or joint editor) of a book. Research fellows and the long-term research staff understand their roles as task managers quite well along the lines of expertise under which they have been recruited into ADBI. They, as task managers, take the lead in developing the research project, often working with external researchers who are closer to policy makers in their respective countries. This is to ensure that the research can provide global, regional, and national perspectives on an emerging development issue. However, research fellows and long-term consultants are handling many projects as task managers that constrain them from conducting their own research projects. This poses the question of whether the research department should reexamine its research agenda and workload for each task manager. Meanwhile, visiting research fellows or visiting researchers usually bring their own research topics/projects, in consultation with ADBI, for 4–6 months of stay on the ADBI premises. The visiting research fellows and visiting researchers indicated that their experiences have been professionally rewarding through wider exposure to the network ADBI has. Such experiences differ from the inward-looking academic setting from which they usually come, and they often move in other research directions following their stint with ADBI.

### 4. Networks and Partnering

19. ADBI works with Japan-based knowledge partners and those based in DMCs and developed countries. The role of Japan-based partners in ADBI activities is to engage wider Japanese constituencies in global economic issues in general and in Asia–Pacific development in particular. To this end, a number of institutions have collaborated with ADBI in the conduct of research, research events, and CBT activities. ADBI has given Japan-based institutions a wider network and access to a larger community of research scholars and practitioners. These institutions include the Policy Research Institute at the MOF; the Financial Services Agency; the Research Institute of Economy, Trade and Industry at the Ministry of the Economy, Trade and Industry;<sup>29</sup> and the Japan International Cooperation Agency (JICA) Research Institute. Because of its location and

<sup>28</sup> The number of primarily student research associates and interns fluctuates throughout the year, and they are not included as professional staff.

<sup>29</sup> The Director of the Research Institute of Economy, Trade, and Industry has been appointed as a new advisory council member (2011–2013) of ADBI.

geographic advantages, institutional partnering with Japan-based partners is stronger than with DMC-based partners. Most Japan-based institutions that are ADBI partners have clear and deep roots in relation with ADBI, and the collaboration has been on a regular basis. Even with changes at the helm of these institutions, their new leadership seeks out ADBI to explore collaboration through such activities as joint publication, joint training, and joint research events. ADBI also regularly co-organizes research events with think tanks in the United States (US) (e.g., the Brookings Institution) and Europe (e.g., Bruegel in Brussels, Belgium).

20. International organizations with offices in Japan have facilitated connections with researchers and scholars elsewhere. For example, the Inter-American Development Bank (IDB) connects ADBI with counterparts in Latin America and the Caribbean through a formal institutional memorandum of cooperation signed by ADB. Also, the Asia–Pacific Economic Cooperation (APEC) Business Advisory Council, as well as other APEC-related organizations, actively worked with ADBI on a number of preparatory activities in relation to Japan’s hosting of the 2010 APEC Leaders’ Meeting. The Organisation of Co-operation and Development (OECD) is also a frequent co-organizer of events with ADBI, though most of them are classified as CBT.

21. Meanwhile, although many DMC institutions co-organize research events, ADBI’s relationships with knowledge partners in the DMCs are more based on individual persons as representatives of their organizations. Since networks and partnerships are more individualized, changes in leadership of their organizational affiliations do not disturb the relationship with ADBI. However, it is not adequate to rely solely on informal arrangements at the individual level. ADBI should have more formal institutional links and networks based on a partnership framework. Selection of institutions should meet a set of criteria and should promote healthy competition to be part of the network. In general, there is no clear institutionalized DMC-based partner organization. Some notable exceptions are the Chinese Academy of Social Science, the Central Institute for Economic Management in Viet Nam, the Malaysian Institute of Economic Research, the Thai Development Research Institute, and the Philippine Institute for Development Studies, which have stronger relationships with ADBI and could be DMC-based institutional partners. Many of the original institutions participating in the Asian Policy Forum (APF) continue to be involved today, even though their leaderships have changed.<sup>30</sup>

## **5. Synergy between Research and Capacity Building and Training**

22. As ADBI’s research function encompasses policy dialogue, it goes beyond the production of knowledge and concerns utilization of knowledge. ADBI’s research function contains a research capacity-building element similar to the CBT function, by targeting senior policy makers in DMCs. This strengthens ADBI’s research, but there are organizational implications. Research and CBT staff are already sharing information and collaborating on common issues. There is also a regular weekly staff meeting for all professional staff that is chaired by the current dean. Current arrangements between research and CBT make sense if joint activities between research and CBT are conducted only on a need basis. However, should CBT elements become regular and integral functions of research, there must be additional arrangements within ADBI, for example turning research outputs into research capacity-building or CBT materials with the help of CBT staff, which can be utilized in policy dialogue seminars (see para. 60 for the synergy between research and CBT from the perspective of the CBT program).

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<sup>30</sup> The APF was established in December 1999 as a region-wide mechanism for supporting intellectual and analytical leadership among a network of Asian policy communities, with ADBI serving as its secretariat. See Box 3 for details.

## 6. Links with ADB Headquarters

23. Since 2007, links between ADBI and ADB through ADB headquarters knowledge departments are becoming systematic and organization-based. Under the current dean, links between ADBI and ADB headquarters have been strengthened with active information flows from both sides (para. 16). ADB's chief economist, who heads ERD, has always been a member of ADBI's advisory council to ensure departmental coordination and avoid duplicative work programs. However, regularly scheduled discussions are not held to foster more systematic, programmatic, and organization-based links between ADBI and ADB headquarters. The conduct of flagship projects with ADB headquarters can be considered as the exception. While informal meetings are useful, these are not effective substitutes for regular scheduled meetings (e.g., once a quarter) with both knowledge departments and regional departments, with a set agenda tracking progress since previous meetings.<sup>31</sup>

24. Mainly due to the converging mission and mandate between ADBI and ADB headquarters knowledge departments (para. 14), and given the more prominent and larger research and training being carried out at ADB headquarters in the recent past, there are similar topics in research (and also in CBT) between ADBI and ADB headquarters knowledge departments. The frequency of similar topics was limited in the early years, given the limited research and related activities at ADB headquarters knowledge departments. Some similar topics can be observed in areas such as climate change, free trade agreements, capital market development, regional integration, regional economic monitoring and surveillance, regional economic and financial architecture,<sup>32</sup> and balanced growth (Appendix 5). These topics may eventually result in joint activities or productive collaboration if concrete steps are identified at the planning stage.<sup>33</sup> ADBI's Three-Year Rolling Work Program and Budget documents identify some specific staff involved in joint activities so that the plan can be translated into actual tasks. In research, there were four joint activities in 2007, three in 2008, and three in 2009, including the flagship project and the major research project—*Infrastructure for a Seamless Asia* in 2008 and 2009 and the *Global Financial Crisis* project (book and conference) in 2009.<sup>34</sup>

25. These similar topics may be reflected in a broad focus within ADBI's priority themes. The priority themes changed in 1998, 1999, 2003, and 2008. The priority themes for 1998 were (i) Asian development paradigm, (ii) strategic perspectives for development management, (iii) education and social development in Asia, and (iv) reform and strengthening of financial systems. In 1999, these were (i) development paradigms for Asia, (ii) strengthening financial and exchange rate systems, (iii) sustaining Asian competitiveness: product and labor markets, and (iv) new challenges for the public sector. In 2003, these were (i) poverty reduction, (ii) regional cooperation, (iii) private sector development, and (iv) governance. In 2008, these

<sup>31</sup> In this context, ADBI and ADB knowledge departments and regional departments at the director general-level meeting held in November 2010 decided to inform both sides of planned research projects. This kind of transparent information sharing can be conducted on a regular basis.

<sup>32</sup> OREI is launching a research program on Asia 2050, which is a long-term assessment of the region on a similar horizon as ADBI's vision. ADB. 2010. *Technical Assistance Report, Research and Development Technical Assistance, Asia 2050*. Manila.

<sup>33</sup> From 2010 onward, most of these themes have actually become joint projects, including Kawai M. and Wignaraja. G. eds. 2011. *Asia's Free Trade Agreement: How is Business Responding?* ADB and ADBI with Edward Elger Publishing; and ADB. 2011. *Institutions for Regional Integration: Toward an Asian Economic Community*. Manila: ADB.

<sup>34</sup> ADB. 2007. *Asian Development Bank Institute Three-Year Rolling Work Program 2008–2010 and Budget for 2008*; ADB. 2008. *Asian Development Bank Institute Three-Year Rolling Work Program 2009–2011 and Budget for 2009*. Manila.

were (i) inclusive and sustainable growth, (ii) RCI, and (iii) governance for policies and institutions. ADBI's "specialization" was chosen when it declared "infrastructure for regional cooperation" as its "specialization" for 2006.<sup>35</sup> As such, clarification of the research focus of each institution becomes an issue.

## 7. Quality Control Mechanism

26. The quality control mechanism (before 2007, termed "quality matrix") that is part of ADBI's Three-Year Rolling Work Program and Budget documents describes the type of knowledge products (books, journal articles, working papers, policy briefs, etc.), the quality control mechanism in place, and outputs in a matrix form. The current quality control mechanism in ADBI is adequate and functioning but there is room for improvement. Quality control at ADBI is done in several stages. First, it is done upfront during the selection of the researchers and research agenda and topics. The selection processes for topics include the research needs survey with key DMC agencies, think tanks, and knowledge departments of ADB as respondents (as a formal process), and the interaction of research staff with policymakers and peers who are knowledgeable about emerging development issues in Asia (as an informal process). For the selection of topics on practical issues, ADBI assigns the topic to those who are experts in the field or to those who have operational experience by often encouraging them to be seconded from ADB or other institutions. In the selection of researchers, appropriate persons are selected based on their qualifications and availability. Second, quality control is done during the process of research through peer review, and finally once the research product has been completed (in draft) quality control is done through external reviewers when appropriate. All books are subject to review and approval by ADBI's publication committee. Manuscripts submitted by ADBI to commercial publishers are subject to the latter's review process. Journal articles have their own review process carried out by relevant international experts.

27. There are *ad hoc* internal procedures within ADBI to maintain standards and quality in the determination of inputs and organization for research products (e.g., various committees to evaluate research applications and to decide on alternative research investigators). Research events organized by the research department are part of the quality control mechanism, since these research events discuss preliminary findings of paper writers and solicit comments from peers and, in some instances, DMC policy makers. There is a team of external peer reviewers to review drafts of flagship and major research projects, and some working papers are also reviewed by external peer reviewers. It is essential to apply the same standards across all research prospectuses at the early stages of research production. These should then be made an integral part of ADBI's quality control mechanism. ADBI may consider including its complete procedures for quality control in its Three-Year Rolling Work Program and Budget documents.<sup>36</sup>

## B. Research Products

### 1. Numbers and Categories of Research Products

28. ADBI's research products from 1998 to 2009 totaled 404 and can be classified into the following categories: books, book chapters, articles in refereed journals, working papers, research papers, and research policy briefs (Table 1). The pace of research production at ADBI has been uneven, with most of the research products coming in after 2003 and a sharp increase

<sup>35</sup> ADB. 2006. *Asian Development Bank Institute Three-Year Rolling Work Program 2007–2009 and Budget for 2007*.

<sup>36</sup> See, for instance, ADB. 2010. *Asian Development Bank Institute Three-Year Rolling Work Program 201–2013 and Budget for 2011*. Manila, in which Appendix 1 concentrates on research outputs or drafts.

between 2007 and 2009, particularly in terms of journal articles and book chapters. ADBI's research products are not intended for academia but rather for ADB itself, policy makers in DMCs, and development practitioners. A summary of ADBI's research products is in Appendix 6. The complete list of ADBI's research products is in Supplementary Appendix A.

**Table 1: ADBI Publications, 1998–2009: Categories and Number**

Item	'98	'99	'00	'01	'02	'03	'04	'05	'06	'07	'08	'09	Total
Books	1	0	2	2	0	1	3	8	7	10	7	2	43
Book chapters	0	0	0	0	0	0	0	0	0	5	9	5	19
Journal articles	0	0	0	0	0	1	3	5	5	10	11	19	54
Working papers <sup>a</sup>	0	0	0	0	0	3	17	21	16	27	45	53	182
Research papers	0	6	5	19	20	3	8	9	2	0	1	1	74
Policy briefs	0	0	0	1	3	3	3	7	6	1	5	3	32
<b>Total publications</b>	<b>1</b>	<b>6</b>	<b>7</b>	<b>22</b>	<b>23</b>	<b>11</b>	<b>34</b>	<b>50</b>	<b>36</b>	<b>53</b>	<b>78</b>	<b>83</b>	<b>404</b>

ADBI = Asian Development Bank Institute.

<sup>a</sup> The Working Paper series is a continuation of the formerly named Discussion Paper series (1 to 116).

Source: Asian Development Bank Institute.

## 2. External Review Panel

29. The ERP was appointed by IED as part of its SES to conduct an independent assessment of the quality of selected ADBI research products produced during 1998–2009.<sup>37</sup> Because of the limited time available for review, the ERP excluded the review of policy briefs (32 in all) and research papers (74 in all), because the former are not research products but essentially summaries of other research, and the latter are no longer produced. The remaining types of products were books, book chapters, journal articles, and working papers. From the books category, 9 books that were considered by ADBI to be the best of its 43 books were chosen, this allowed the ERP to assess ADBI's key publications/flagship projects such as *Post-Crisis Development Paradigm* and *Infrastructure for a Seamless Asia*. From the other three types of products, 60 of 255 were chosen to reflect a mix of the various types, giving more weight to recent products.<sup>38</sup> These were chosen from the respective categories in the population of products other than books using a stratified sampling method. Paras. 30–33 draw on the ERP report. The ERP report is in Supplementary Appendix B.

30. The ERP's overall evaluation of ADBI's research products is that "they are generally useful, informative and appropriate to the mandate or mission of ADBI."<sup>39</sup> ADBI is not an academic research institution but is tasked to provide knowledge support to ADB's DMCs." As per the ERP, "ADBI fulfills functions prescribed in its Statute." Views of the panel members include—"(i) the strength of the collection of ADBI documents is in informing practitioners (i.e., policy makers) about how the world around them works and its implications for what they can do about it; (ii) ADBI's output would not rate high on purely academic criteria but looks better

<sup>37</sup> The ERP was given information on ADBI's Statute and mandate (para. 10).

<sup>38</sup> The mix was done by the chair of the ERP, giving more weight to recently completed published products as follows: Of the 54 journal articles 13 were selected, 10 of which were published in or after 2007 and 3 before 2007; from the 19 book chapters, 7 chapters were selected, and from the 182 unpublished working papers, 30 produced in or after 2007 and 10 before 2007 were chosen.

<sup>39</sup> While the ERP noted that ADBI's research products are generally useful, there was no direct question asked of the ERP to assess and rate the usefulness of research products, and therefore it cannot be considered an assessment of usefulness. ERP's mandate was to assess the quality of the research products as it did not have access to data on how the research products would be used. See Table A4.1 in Appendix 4 for criteria for assessing the quality of research products by the ERP.



according to alternative criteria, particularly policy relevance, effective dissemination, and attempts to engage regional scholars and capacity building; and (iii) the best work of ADBI built bridges between research and policy with special relevance to ADB's DMCs." This shows that ADBI research work has been relevant to ADBI's mission, of good quality, and therefore effective.

31. The ERP found that almost all of the books chosen by ADBI for review are of good quality and relevant to ADBI's mission. The books reviewed by the ERP were chosen by ADBI to be the nine best ones it had published. Quality variation across books also seems less (Box 2). Similarly, the ERP assessed that the papers published as chapters in published books and/or in journals are of better quality. Journal articles, particularly refereed international ones, would apply criteria of quality, originality and policy relevance in choosing among the submissions what to accept for publication. The overall higher quality of books does not necessarily imply that the various chapters of each book (often authored by different people) are of uniformly high quality.

**Box 2: Illustrations of Product Reviews by the External Review Panel**

Most of the products reviewed by the external review panel (ERP) were rated good, useful, and relevant to ADBI's mission. Almost all books reviewed were seen as contributing to the analysis and information needed for policy making among the developing member countries in the region (though not all chapters in the books), as were most of the journal articles and book chapters. One of the books reviewed by the ERP (*Post-Crisis Development Paradigm*, ADBI, 2003) illustrates this kind of assessment. It was judged

"...really a very good product (although not without shortcomings)...[that seeks] to understand the main features of the economic environment that will face ADB's members over the medium term, say the somewhat confidently foreseeable future, and what its member governments should do...[The topics] are key for the ADB and the report provides not just lessons learned but also clear guidance on how to apply these lessons...[This product] is of top relevance to the ADB's mandates and one of which the Bank can be proud...And the important thing is, these conclusions come from the authors' reading of the economics literature and their knowledge of the Asian experience, plus some hard thinking, just what one hopes for from a think tank..."

ADB = Asian Development Bank, ADBI = Asian Development Bank Institute, DMC = developing member country, ERP = External Review Panel.  
Source: ERP.

32. According to the ERP, the 30 unpublished working papers that were produced in or after 2007 were of lower quality from a research perspective, on average, than the books and journal articles. The ERP noted that this does not necessarily mean that these products are less relevant or useful from the perspective of ADBI's mission. As the ERP emphasized, an effort by ADBI to bring them up to publishable quality is essential. Such efforts appear to have increased during 2007–2009, when the number of working papers surged. However, many of them have been published as book chapters and hence were not submitted to refereed journals for possible publication.

33. Each panelist mentioned the strengths and weaknesses of the methodology of analysis in research products wherever appropriate. One analytical tool employed in several books and papers was computable general equilibrium (CGE) modeling. In the research products reviewed, CGE modeling was used to analyze the likely effects of international trade agreements and the impact of climate change, energy policies, and other shocks. A panelist noted that few of CGE modeling were empirically based and econometrically estimated consistently using a stochastic general equilibrium set up for estimation and very few models

using CGE tried to evaluate the robustness of their findings with respect to the use of alternative data sets and parameter values.

### 3. Citation Analysis

34. Citation analysis using Scopus and Google Scholar was applied to ADBI's research products so that their impact on the larger research community could be monitored by these databases.<sup>40</sup> All 116 of ADBI's research products that were published—comprising books, book chapters, and journal articles—were included in the citation analysis.<sup>41</sup> One can use either the ISI Thomson or Scopus, and the expected results would be comparable.<sup>42</sup> The search followed here used Scopus. A separate search using Google Scholar was also applied to ADBI's research products in order to gauge if there are significant differences when using the two databases. A detailed report on citation analysis, including the top 10 most cited books, book chapters, and journal articles, is in Supplementary Appendix C.

35. The citation analysis shows that about half of all ADBI's research products between 1998 and 2009 have been cited by related journals (Table 2). This holds true across all types of research products. The number of citations using Google Scholar is greater than that found in Scopus across all research products.

**Table 2: Publications Cited in Scopus and Google Scholar**

<b>Research Products (Number) (A)</b>	<b>Scopus Number Cited (B)</b>	<b>Google Scholar Number Cited (C)</b>	<b>Citation Percentage Google Scholar (C/A)</b>
Books (43)	17	22	51.2
Journal articles (54)	9	29	53.7
Book chapters (19)	4	10	52.6
<b>Total (116)</b>	<b>30</b>	<b>61</b>	<b>52.6</b>

Source: Scopus and Google Scholar Databases.

36. Table 3 compares the number of books published between 1998 and 2009 with the number of books that were cited during the same period. It reports the results from Google Scholar. Increases in the number of research products do not necessarily lead to increases in citations. Between 1998 and 2004, when not too many books were published by ADBI, almost all of them were immediately cited during their publication year. Books published between 1998 and 2004 (nine books) were cited with the exception of one (89%). In the succeeding period of 2005–2009, wherein 34 books were published, 12 were cited or a 35% citation rate for book publications. Citations increased during the period up to 2007, and this may mean that the

<sup>40</sup> Reviews of the two major databases (aside from Google Scholar) point to Scopus having a greater social sciences and humanities coverage relative to ISI Thompson Reuters Web of Knowledge, with 70% of its content from international sources. However, to the extent that these are more appropriate to different constituents (e.g., operational staff of development organizations, policy analysts and policy makers, development practitioners), the results of the citation analysis may be incomplete. S. Fingerman. 2006. "Web of Science and Scopus: Current Features and Capabilities" *Electronic Resources Review*, in <http://www.istl.org/06-fall/electronic2.html> and 2009. "Scopus" *Gale Cengage Learning Reference Reviews*, in <http://www.gale.cengage.com/reference/peter/200906/scopus.html>. See also E.S. Viera and J.A.N.F. Gomes. 2008. "A Comparison of Scopus and Web of Science for a Typical University."

<sup>41</sup> (i) Citations do not include data-intensive publications; (ii) some research products have reflected a higher number of citations immediately after publication, while others take time; (iii) citations also reflect efforts made by the outreach and knowledge management program to disseminate the research products.

<sup>42</sup> In comparisons among the citation databases, the magnitude of overlap between ISI Thomson and Scopus is quite high at around 58% whereas the overlap between Google Scholar and either of the two other databases is around 30%. Anne-Wil Harzing. 2008. *Google Scholar—A New Data Source for Citation Analysis*. [http://www.harzing.com/pop\\_gs.htm](http://www.harzing.com/pop_gs.htm). p. 2.

number of citations may increase in future years as well, as the publications become more known. Of the more recent publications, 1 book of 10 published in 2007 and none of the 7 books published in 2008 were cited.

**Table 3: Comparison between Number of Books Published and Number of Books Cited in Google Scholar**

Item	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	Total
Number of books	1	0	2	2	0	1	3	8	7	10	7	2	43
Number of books cited	1	1	1	2	1	1	3	4	4	1	0	3	22

Sources: Asian Development Bank Institute and Google Scholar databases.

37. Of the 54 journal articles published by staff and researchers while working at ADBI, 29 were cited by Scopus/Google Scholar and 9 were cited by Scopus alone. Their distribution between the 2004–2006 and 2007–2009 periods shows that 21 of the 29 journal articles cited were in the latter period. The citation distribution of journal articles for 2007–2009 shows better results than that of the books published in the same period. For the 10 most cited journal articles, their distribution was even between the two periods (Table 4).

**Table 4: Citations of ADBI Published Journal Articles: Total and Top 10 Journal Articles**

Database	1998–2003	2004–2006	2007–2009	Total
<b>Cited Journal Articles</b>				
Scopus/Google Scholar	1	7	21	29
Scopus	0	4	5	9
<b>Top 10 Cited Journal Articles</b>				
Scopus/Google Scholar	0	5	5	10
Scopus	0	4	5	9

ADBI = Asian Development Bank Institute.

Source: Scopus and Google Scholar Databases.

38. Table 5 looks at the average citation rates in Scopus and Google Scholar of ADBI publications as books, journal articles, and book chapters. It shows the average citation rate of 5.33 for all ADBI publications in Google Scholar, and 0.94 citations in Scopus. Table 5 also shows the average citation rate of 9 for the journal articles, which can be considered to be high average.<sup>43</sup> ADBI journal articles are more cited in Google Scholar than in Scopus. Journal article citations are 10 times more cited in Google Scholar than Scopus.

**Table 5: Average Citation Rate of ADBI Publications: 1998–2010**

Item	Scopus	Google Scholar
All	0.94	5.33
Books	1.51	2.88
Journal articles	0.90	9.02
Book chapters	0.58	2.05

ADBI = Asian Development Bank Institute.

Source: Scopus and Google Scholar Databases.

<sup>43</sup> The IDB conducted the citation analysis, providing the average citations per publication over the period of the analysis of about 12 years from 1990 to 2001 for most of the organizations. The average citation rate of 9 for ADBI's journal articles (Table 5) is similar to that of the World Bank at 10.2, and higher than that of the IDB at 4.3. See, IDB. 2006. *Evaluation of the IDB's Studies*. Washington, DC: Office of Evaluation and Oversight, Appendix I.

## C. Research Events and Knowledge Partners

### 1. Survey of Research Events and Knowledge Partners

39. An electronic survey was conducted during September and October 2010 among two groups that are directly involved with ADBI—its knowledge partners (institutions and individuals) in the DMCs excluding Japan-based knowledge partners, and participants in its research events. A total of 1,448 e-mail survey questionnaires were sent to events participants, with 349 replies or a 24% response rate. Seven respondents (or 28%) answered the questionnaires from the e-survey of 25 knowledge partners identified (Table 6). The survey of research events and knowledge partners is given in Appendix 7. The list of research events, survey questionnaires, and results are in Supplementary Appendix D.

**Table 6: Summary of Respondents for the E-Surveys**

Item	Research Events	Knowledge Partner Institutions
Total available e-mail addresses	1,448	25
Number of respondents	353	11
Number of completed responses <sup>a</sup>	212	7
Response rate for completed responses	14.6%	28%
Response rate for total responses	24%	44%

<sup>a</sup> Some respondents who initially participated in the e-survey failed to answer all the questions, and their responses were, therefore, classified as incomplete.

40. The nature of the participation as described by participants from knowledge partner institutions was mostly in the form of being paper presenters or discussants in a research event (according to four out of the seven respondents). Organizationally, ADBI has dealt with DMC knowledge partner institutions through individuals in their personal capacities and affiliation with the DMC research organization. Six of the seven agreed that partnership with ADBI is based on personal affiliation with the DMC research organization.

41. The respondents were asked to rate their experience in the research events in terms of relevance, effectiveness, and usefulness. The overall results show that the respondents found the events relevant and effective but moderately useful (Appendix 4, Table A4.2 and Appendix 7, Tables A7.2, A7.5, and A7.7). By relevance is meant that the respondents acquired new knowledge from the events that was relevant to their jobs. By effective is meant participants' overall score on the quality of the events, and that the events provided new insights and understanding of development challenges faced by their countries. Usefulness means that the respondents did one or more of the following: (i) conducted a seminar or briefing to echo the research events; (ii) gave a briefing to policy makers on the research events; (iii) conducted research and performed other forms of knowledge production; or (iv) designed and implemented relevant policies and/or regulations. The mean ratings for relevance, effectiveness, and usefulness are 3.60, 3.83, and 2.75, where 1 is lowest and 5 is the highest score (Appendix 7, Table A7.2, A7.5 and A7.7). These ratings suggest that there is further scope for improvement in the usefulness of the research events relative to the relevance and effectiveness of research events.

42. When asked whether the research events provided new knowledge relevant to their current jobs, 85% responded "yes" and only 12% indicated "no" (Appendix 7, Table A7.1). Research events participants and knowledge partners rated the quality of ADBI activities above average to excellent. Of the 212 research events with participants who answered the rating question on quality, 123 participants (more than half) gave short replies, and the majority

complimented ADBI for the high quality of its work by giving comments such as good and timely selection of topics, well-prepared participants and interesting interactions, world class presenters and discussants, well-managed discussions by the dean and moderators, relevant and professionally delivered research papers, etc. Only five rated the events of poor quality and below average by showing their disappointment at the limited time given for discussion and the tight schedule of the event. Among seven partners, three rated the quality above average and another three rated it excellent, and 84% of research events participants rated the quality above average to excellent—51% above average and 33% excellent. Four of the five respondents who elaborated on their overall quality rating of the ADBI partnership shared the view that ADBI has developed excellent networking with knowledge partners and offered a forum of reflecting “Asian voices” on key development issues through research projects and events.<sup>44</sup> The share of those agreeing with the effectiveness of ADBI research events ranged from 76% (149 of all 196 respondents) for “the activity provided useful contacts, links, or networks with professionals and specialists who are in the same line or work” to 57% (111 of all 196 respondents) for “the activity provided new insights and understanding of the development challenges faced by my country” (Appendix 7, Table A7.4). The ratings for the usefulness of the research events ranged from a high of 88% (137 of all 156 respondents after excluding those who are “not applicable”) for “research and other forms of knowledge production (website and course design)” to a low of 64% (75 of all 117 respondents after excluding those who are “not applicable”) for “gave briefing to policy makers in my country on the research event” (Appendix 7, Table A7.6).

## 2. Other Research Events

43. Other research events include the Distinguished Speaker Seminar series and APF, which were, however, not reviewed under this SES (Box 3).

### Box 3: Other Research Events

#### A. Distinguished Speaker Seminar Series

The Distinguished Speaker Seminar series, launched in 2007, comprise a series of seminars that aim to bring eminent persons to Asian Development Bank Institute (ADBI) to encourage debate among policy makers, researchers, academics, think tanks, and other audiences interested in economic development challenges in Asia and the Pacific. ADBI delivered 10 such seminars in 2007, 13 in 2008, and 9 in 2009. ADBI has made efforts to identify and invite internationally known scholars from various regions to discuss development issues of interest to developing member countries, and most of seminars have been well attended.

#### B. Asian Policy Forum

The Asian Policy Forum (APF) was established in December 1999 at the Second Anniversary Symposium of ADBI. It is a regionwide mechanism for enhancing intellectual and analytical leadership among Asian policy communities, with ADBI serving as its secretariat. The APF brings leading members of Asian research communities to work together through collaborative research activities and open-minded discussions to produce policy recommendations on the most challenging development issues confronting Asian policymakers. The APF focuses on specific policy issues that reflect current problems with long-term development implications and that pose the opportunity to search for a common Asian voice and reflect Asian realities on each economy’s institutions, history and stage of development. The first two forums delivered reports on how to prevent another capital account crisis, and how to develop the corporate bond market in Asia. In March 2009, a press conference was held at the Foreign Correspondents’ Club of Japan to present the APF’s recommendations ahead of the G20 meeting: (i) Recommendations of Policy Responses to the Global Financial Crisis for East Asian Leaders; and (ii) Recommendations for East Asian Leaders for G20 Meeting.

Source: ADBI.

<sup>44</sup> Narrative or short comments from the research event participants on the quality of research events, and from knowledge partners on the quality of ADBI partnership are largely consistent with the views expressed by both Japan and DMC-based knowledge partners at the interviews conducted under the SES.

#### D. Assessment of Research

44. Overall, ADBI's research function is found to be *relevant, effective, and moderately useful*. ADBI research products and events have provided relevant information and knowledge to DMCs' organizations and/or their countries' contexts. The organization and process for research in ADBI are well organized. Especially, recent flagship projects of ADBI reflect the innovation of the research process by involving high-level policy makers at critical stages of the process rather than at its completion. This has enhanced ADBI's effectiveness in providing information and knowledge about the development challenges faced by DMCs, and the usefulness of research products as exemplified by a flagship project—*Infrastructure for a Seamless Asia*. The ERP assessed ADBI's research products as “generally useful, informative, and appropriate to the mandate or mission of ADBI”, but commented that “they do not meet the more exacting standards of adding to the stock of knowledge in development theory”. The ERP emphasized that ADBI's research products should not detract from the usefulness of ADBI's research for its mission of serving to inform DMCs. The citation analysis revealed that about half of all ADBI's research products between 1998 and 2009 have been cited by related journals, indicating that there is scope for improvement in the utilization of its research products. The results from the e-surveys of research events and knowledge partners also showed that the usefulness of research events in terms of utilizing event-obtained knowledge remains to be improved relative to the relevance and effectiveness of research events (see Appendix 4, Table A4.2 for the summary of evaluation criteria and questions, and Appendix 7, Table A7.7).<sup>45</sup>

### IV. CAPACITY BUILDING AND TRAINING

#### A. Capacity Building and Training Course Profiles

45. There has been a significant expansion in ADBI's CBT activities. From the initial 15 courses that were offered in 2002, the number swelled to 30 in 2009 (Table 7). Consequently, the number of participants who were trained increased from 588 in 2002 to 1,582 in 2009. Overall, courses under the broad theme of poverty reduction/inclusive and sustainable development were the most frequently offered, representing about 52% of the total courses for the years mentioned. During ADBI's initial years, CBT courses under the governance theme were most frequently offered. Given the increasing focus on senior policy makers and on the sharing of good practices and country experiences, most CBT activities have evolved from traditional training courses in the early years to a policy dialogue format on key emerging issues of regional relevance in recent years, especially beginning in 2010.<sup>46</sup>

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<sup>45</sup> The lower mean scores for usefulness (2.75) relative to relevance (3.60), and effectiveness (3.83) are all based on the e-survey of research events' participants. With no benchmark to refer to on these scores, these mean ratings show a lower rank for usefulness of the research events relative to their relevance and effectiveness. The e-survey results are more suitable for assessing research utilization as they show utilization by practitioners and policy makers, for whom ADBI research is geared, rather than the citation analysis, which depicts utilization by academics.

<sup>46</sup> As of December 2009, the changing nature and focus of CBT activities to a policy dialogue format were not well articulated in ADBI's key documents such as its Three-Year Rolling Work Program and Budget documents. ADBI's Three-Year Rolling Work Program 2010–2012 and Budget for 2010 highlighted that ADBI will design and implement “a demand-oriented and policy-focused CBT program that facilitates sharing of country experiences and adoption of good practices.” ADB. 2009. *Asian Development Bank Institute Three-Year Rolling Work Program 2010–2012 and Budget for 2010*. Manila. p. 16.

**Table 7: Capacity Building and Training Course Portfolio by Theme and by Year <sup>a</sup>**

Theme	2002		2003		2004		2007		2008		2009		Total		%
	NTC	Pax	NTC	Pax	NTC	Pax	NTC	Pax	NTC	Pax	NTC	Pax	NTC	Pax	
Poverty															
Reduction/ISD	3	78	2	14	3	77	6	1,047	2	342	19	1,179	35	2,737	<b>49.7</b>
PSD	2	55	0	0	3	93	1	46	6	346			12	540	<b>9.8</b>
RCI	1	62	1	31	2	126	3	69	8	266	4	175	19	729	<b>13.3</b>
Governance	9	393	2	70	7	230	6	450	5	127	7	228	36	1,498	<b>27.2</b>
<b>Total</b>	<b>15</b>	<b>588</b>	<b>5</b>	<b>115</b>	<b>15</b>	<b>526</b>	<b>16</b>	<b>1,612</b>	<b>21</b>	<b>1,081</b>	<b>30</b>	<b>1,582</b>	<b>102</b>	<b>5,504</b>	<b>100.0</b>

ISD = inclusive and sustainable development, NTC = number of CBT courses, Pax = number of participants, PSD = private sector development, RCI = regional cooperation and integration.

<sup>a</sup> Data for 2002–2003 were obtained from ADBI. Data for 2004 were retrieved from ADBI. 2005. *Training Impact Evaluation and Training Needs Assessment Studies*. Tokyo. Data for 2007–2009 were retrieved from ADBI Year in Review (various years). The number of CBT courses and participants in 2005 were 17 and 567, and those in 2006 were 17 and 910, respectively, but data on CBT courses were not disaggregated by theme for 2005 and 2006. Both numbers of CBT courses and participants dropped from 15 and 588 in 2002 to 5 and 115 in 2003, respectively. Especially in the first half of 2003, CBT activities were hampered by a combination of special factors such as unusually low staffing level due to staff retirement, and the outbreak of the severe acute respiratory syndrome epidemic, which led to the cancellation or postponement of several planned activities. See ADB. 2003. *ADB Institute Three-Year Rolling Work Program 2003–2005 and Budget for 2004*. Manila. p. 4.

46. Table 8 shows the geographic distribution of CBT participants from 2007 to 2009. There was a fairly good balance of participants coming from DMCs with different income levels and population sizes. Participants from Southeast Asia topped the list for 2008–2009. Between 2007 and 2008, the share of participants from South Asia dropped significantly from 43% to 14% and this percentage share remained basically the same for 2009. The drop in South Asian participants was due to the termination of several pilot and national courses held in Nepal and two online courses on e-learning and e-governance where the number of South Asian participants was large. The share of participants coming from East Asia, on the other hand, steadily increased from 7% in 2007 to about 20% in 2009. The same pattern was also observed for the “others” regions or non-ADB regions of operations. This is because of the distance learning course co-organized with the World Bank, which is open to non-Asian participants. The share of participants from the Pacific region remains low; although a slight increase was observed between 2007 and 2008, the share in 2009 was 2.5%.

**Table 8: Geographic Origin of Training Participants, 2007–2009**

Region	2007 <sup>a</sup> (%)	2008 (%)	2009 <sup>b</sup> (%)
East Asia	7.0	9.3	19.7
Central and West Asia	10.0	7.8	5.3
Pacific	4.0	5.6	2.5
South Asia	43.0	14.3	15.8
Southeast Asia	29.5	41.9	37.2
Others	6.5	21.1	19.4
<b>Total</b>	<b>100.0</b>	<b>100.0</b>	<b>100.0</b>

<sup>a</sup> Average for face-to-face and distance learning courses for 2007.

<sup>b</sup> Estimated based on figures presented in the 2009 ADBI Year in Review.

Source: Asian Development Bank Institute. *Year in Review 2007, 2008, and 2009*. Tokyo.

47. ADBI provides two types of CBT courses. The first, and by far the most common, is face-to-face courses averaging 4–5 days in length.<sup>47</sup> The other type is distance learning courses, run

<sup>47</sup> Face-to-face courses are training courses that include seminars, workshops, and lectures by experts conducted at specific locations such as ADBI in Tokyo and in various DMCs.

over a substantially longer period of 3–6 months. Distance learning courses utilize newer modes of instruction such as video conferencing, moderated e-groups, and webcasts. ADBI previously supported several distance learning courses in a year. Since 2008, ADBI has been delivering the Microfinance Training of Trainers as its sole distance learning course.<sup>48</sup> Beyond the mode and length of instruction, this course differs substantially from other offerings in that participants generally are self-selected applicants who apply for the course online rather than being nominated by DMC focal points. Unlike in many ADBI training courses that do not require any fees, participants in the Microfinance Training of Trainers course are expected to pay a registration fee to be able to participate.<sup>49</sup> Given these distinctions, two separate e-surveys were conducted with minor variations. The first survey was sent to the face-to-face course participants, while a separate survey was sent to the distance learning course participants. Details of the survey of CBT courses are given in Appendix 8. The list of CBT courses, survey questionnaires, and results are in Supplementary Appendix E.

## **B. Capacity Building and Training Design and Identification of Inputs**

### **1. Alignment with ADBI Strategic Priorities and Approach**

48. A clear long-term strategic approach of selecting training themes increases the likelihood that CBT courses will contribute in a sustainable manner to the capacity of DMC institutions. Similar to ADBI's research, CBT is strategically programmed according to the three priority themes of inclusive and sustainable growth, RCI, and governance for policies and institutions. Since 2008, ADBI has aligned its strategic vision with the ADB Strategy 2020 by focusing on these strategic priority themes. But the three priority themes are still too broad to provide much guidance for training topic selection. While a few demand-driven, ad-hoc programs may be accommodated, the majority could be strategically aligned. As a result, there is a need to strengthen or sharpen a more strategic, long-term approach to course topic selection, where courses more closely complement or build on previous courses in order to help achieve ADBI's strategic vision of becoming a leading center for the creation and sharing of knowledge in selected areas of importance. Evidence from the capacity development literature indicates that short-term, one-off courses are unlikely to lead to sustainable workplace behavior change. For this reason, key development institutions like the OECD, the World Bank, the United Nations Development Programme, and JICA have all urged a longer term approach to capacity development interventions.<sup>50</sup> ADBI would be well placed to adopt a long-term approach to CBT, given its limited resources.

49. Most CBT themes emerge from needs determined in an annual training needs assessment (TNA) and post-event surveys, and subsequent CBT courses such as public–private partnerships, Developing Asia Journalism Awards, capital market reform, competition

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<sup>48</sup> This course is delivered in collaboration with the World Bank's Tokyo Development Learning Center (TDLC). G. Miron, J. Zhang, and S. Setbounsarng. 2008. *Impact Evaluation of the MicroFinance Training of Trainers Course*. Tokyo: World Bank.

<sup>49</sup> Since the Microfinance Training of Trainers course includes participants from the private sector, TDLC charges fees from the participants.

<sup>50</sup> OECD. 2006. *The Challenge of Capacity Development: Working Towards Good Practice*. Paris; IEG, World Bank. 2008. *Using Training to Build Capacity for Development: An Evaluation of World Bank Project-Financed and WBI Training*. Washington, DC; UNDP. 2007. *Supporting Capacity Development: The UNDP Approach*. New York: New York; and JICA. 2006. *Summary of the Report Towards Capacity Development of Developing Countries Based on Their Ownership: Concept of Capacity Development, its Definition and its Application in JICA Projects*. Tokyo. Furthermore, the World Bank advocates a strategic and results-oriented approach to capacity development. See also World Bank. 2009. *The Capacity Development Results Framework: A Strategic and Results-Oriented Approach to Learning for Capacity Development*. Washington, DC: The World Bank Institute.



law and policy, water resource management, and tax administration have been organized on a regular basis. However, a review of CBT programs as well as interviews with CBT course participants and country focal points indicate that, while course offerings may be loosely grouped under certain themes, some of them appear to be one-off courses. While short-term, one-off courses may be suitable to policy dialogue seminars targeting senior policy makers, ADBI's core program should take a long-term approach on strategically selected priority themes. In this context, two CBT programs can be highlighted as good practices in line with the long-term, program approach: One is the round table forum on capital market reform in Asia, which is a joint program between research and CBT departments; the other is a series of tax administration seminars/conferences (Box 4).

#### **Box 4: Capacity Building and Training Program: Good Practices**

##### **A. Capital Market Reform in Asia**

The round table forum was established in 1999 in the aftermath of the Asian financial crisis. It has offered an annual forum for discussion among Asian securities regulators, experts, practitioners, government officials from developing member countries, scholars, and international organizations on specific topics from the viewpoint of capital market reform in Asia. The round table is usually held for 2 days annually in collaboration with Organisation for Economic Cooperation and Development (OECD) and the Government of Japan. Topics range from recent developments in the global financial situation to regulatory reforms, capital flows, and risk management in Asia; financial policy landscape; integration of capital markets in the region; investor education; governance issues related to securities markets; enhancing the regulatory framework; bond markets; equity markets; and the roles of capital markets in infrastructure financing and corporate governance. These round table forums lead to better understanding among key policy makers on issues related to the development of capital markets, including their possible contributions to infrastructure development.

The round table forum falls under the special events of Asian Development Bank Institute (ADBI), which is a joint program between the research program and the capacity building and training (CBT) program. It is most useful in establishing important networks among participants, development practitioners, and policy makers in the region. It also builds closer cooperation among key stakeholders for regional initiatives to foster the development and linkages of capital markets, and for better understanding (and, subsequently, wider adoption) of international best practices on capital market regulation and corporate governance.

##### **B. Tax Administration Seminars/Conferences**

Taxation is an instrument with which a government mobilizes resources to promote economic growth and reduce poverty. Policy makers and administrators need to improve their enforcement of tax administration, taxpayer services, and tax harmonization, as these are key elements of good governance and sound fiscal management. In line with this, ADBI, since its first year in delivering CBT courses in 1998, has been continuously supporting courses, seminars, and regional conferences on tax administration. These offer opportunities for knowledge sharing through the exchange of best practices in international tax policy and administration, and a forum that will encourage mutual understanding and cooperation among tax policy makers and senior officials from developing member countries on emerging issues and challenges of taxation amid the accelerated pace of globalization. They also strengthen the capacity of tax officials who are involved in tax policy formulation and enforcement, with emphasis on putting concepts to practice. In addition, they impart administrative techniques necessary for modernizing tax systems. These seminars and conferences have been possible with the help and combined efforts of different agencies such as the International Bureau of Fiscal Documentation, International Monetary Fund, OECD, United Nations, developing member country governments, MOF Japan, and Japan's National Tax Agency.

Source: Compiled from ADBI website.

## 2. Needs Assessment

50. Adequate assessment of participant and target organization needs as the basis of course design is a fundamental tenet of good training management practice.<sup>51</sup> ADBI determines its training program through a combination of inputs, including consultations with experts in ADB and other international bodies, and the TNA questionnaire sent out to focal points in DMCs. The TNA questionnaire utilizes simple, open-ended questions grouped according to the three ADBI priority themes of inclusive and sustainable growth, RCI, and governance for policies and institutions. Under each theme, there are further areas of focus. The respondents are given a choice whether the need is for CBT or research. In 2009, the response rates from the DMCs were acceptable at 57%. However, only 3 of the 25 think tanks and 3 of the 8 ADB departments responded to the survey invitation.

51. The consultative mechanism by itself is to some extent an indication that the courses being offered by ADBI are demand driven. The TNA questionnaire was sent to ADB's contact persons in each DMC directly or through the resident missions, where applicable. ADB's contact persons then distributed the questionnaire to various agencies/ministries concerned and coordinated their feedback. The resident missions also helped to follow up on the questionnaire. In determining the choice of CBT courses to be offered, due consideration was given to CBT needs expressed in the TNA, which were matched with the expertise of the CBT specialists at ADBI. However, this system may not have been rigidly or uniformly followed in all DMCs, since it depended largely on the resident missions to distribute the TNA survey forms and return the forms to ADBI. In addition, ADBI cannot meet all the CBT needs identified in the TNA due to its limited resources. Therefore, needs assessment through the questionnaire could be supplemented by other mechanisms such as more structured consultations with top-level DMC officials to determine policy dialogue or training areas of strategic importance. ADBI should allocate more resources to needs assessment in the future.

## 3. Selection of Participants

52. ADBI has little control over who attends its courses, as ADBI needs to follow ADB-mandated protocols and send the invitations through DMC government focal points. The focal points, in turn, identify and coordinate with agencies and offices deemed most appropriate to participate. Adherence to protocol constrains ADBI not only in terms of inviting the relevant people to attend the CBT courses, but also in targeting course content to the level of the participants. While ADBI tries to target both mid-level and senior-level officials in its course offerings, the needs of officials at different levels are likely to be different. Not having total control over participant selection makes it difficult for ADBI to ensure that those attending the courses have similar needs that can be addressed in a strategic manner in the context of the course.

53. According to focal point interviews, this constraint is further aggravated, since course invitations sometimes come without sufficient advance notice before the start of the courses. One focal point urged that invitations be sent out at least 2 months prior to the course in order to ensure adequate time for selecting the best candidates and preparing for the course. Even if the timeliness of invitations were to be addressed, without allowing ADBI greater control over

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<sup>51</sup> Salas, E. and J. A. Cannon-Bowers. 2001. "The Science of Training: A Decade of Progress." *Annual Review of Psychology* 52: 471–499, and IEG, World Bank. 2008. *Using Training to Build Capacity for Development: An Evaluation of World Bank Project-Financed and WBI Training*. Washington, DC.

participant selection it is difficult for ADBI to target training to specific regional needs and to the top-level officials and thus to enhance the relevance, effectiveness, and usefulness of CBT. However, should the selection process remain as the prerogative of DMC governments, ADBI should continue to clearly set minimum participation standards and exercise its right not to accept a candidate who does not meet the minimum standards. The resident mission could coordinate more closely with the focal points to ensure the selection of nominees with appropriate qualifications and experience. As ADBI puts more importance on policy dialogue seminars under the CBT program, CBT courses should be meant for senior level and top-end mid-level policy makers who need to be groomed to take strategic responsibilities.

#### **4. Instructional Design of Training**

54. There are both significant strengths and certain weaknesses to ADBI's training design. CBT courses are delivered by high caliber presenters who are international experts in their respective fields. The high quality and usefulness of distributed written materials are an added strength of CBT course design. Written materials were particularly important to participants with limited fluency in English. They were able to use translated summaries of key points to follow course content. Many of the participants were highly appreciative of the opportunity to interact with their peers from various countries, and felt that such courses with regional scope are an important learning opportunity.

55. Nearly all programs follow the format of a series of 10–15 minute power point presentations followed by discussion. This format does not vary much on the basis of program purpose or level of participants, although there are some courses that are run on an executive learning type and others employing a case study approach. While this format may be an appropriate design for most courses in which the participants share good practices and country experiences,<sup>52</sup> the course design can be improved. Based on interviews with participants and ADBI's own post-event surveys, the following were the most prevalent suggestions for improvements to course design: (i) more time for class discussion and more opportunities to share experience among participants, (ii) more case studies and practical examples presented in the course, (iii) more work on practical skills associated with the policies presented, (iv) more field visits, and (v) more follow-up contacts in order to disseminate recent knowledge on course topics and facilitate ongoing dialogue among course participants. In keeping with good practice in instructional design, and to better fit the needs of participants, ADBI should introduce a far wider range of programming modalities (facilitated group discussion sessions, action plans, project preparation, longer lectures, etc.) in CBT courses. Moreover, while the information provided in courses is valuable to the participants, presenting the information in more practice-oriented sessions could be strengthened. The general sense among participants is that the opportunity to interact with other participants is among the most important aspects of course attendance.

#### **5. Training Logistics and Costs**

56. ADBI provides excellent logistical and budgetary support for participants in their CBT courses. ADBI helps participants with logistical arrangements such as flight details, which other international training institutes do not. ADBI is able to devote more resources to courses than other institutions with which it has collaborated in the past. Unlike the International Monetary Fund and the World Bank Institute (WBI), ADBI covers all travel, lodging, and per diem costs of participants. Moreover, ADBI pays modest honoraria to its speakers.

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<sup>52</sup> Most participants are required to prepare country papers sharing their experiences and to make presentations at the course, and some of them are asked to serve as discussants.

57. As part of ADBI's 2005 training impact assessment, a detailed cost analysis was done.<sup>53</sup> This assessment identified several opportunities for cost savings, including conducting more subregional training and doing more training in other countries. Average daily training costs were 77% higher when courses were conducted in Tokyo than in Manila. In 2009, 32% of courses were held in Tokyo compared with 50% in 2007 and 41% in 2008 (Table A8.1, Appendix 8). Compared with the results of the 2005 training impact evaluation, this was an improvement, since it shows a decrease in Tokyo-based training by as much as 18% from 50% in 2005 to 32% in 2009. ADBI justifies higher training costs in Tokyo due to easier availability of high-level speakers in Japan than in other countries. To the extent that this is the case, then the higher cost of Tokyo courses may be justified.<sup>54</sup>

## **C. Capacity Building and Training Outputs and Outcomes: Learning and Workplace Changes**

### **1. Follow-up and Networking**

58. In general, participants found the CBT courses interesting and educational. However, based on the interviews with CBT course participants in five DMCs, there were mixed views related to the usefulness of CBT courses. Most participants stated that course content was mostly relevant to their work, or were able to describe concrete ways in which they used their learning. Some of these interviewees further stated that ADBI courses were very useful to them, directly addressing their workplace needs. On the other hand, a few of those interviewed found it difficult to cite concrete ways in which they were able to use the information and knowledge gained. While the work environment of the participants would not be always conducive for them to apply the new information and innovative knowledge, ADBI may consider including elements in CBT courses on ways to utilize the information and knowledge gained in their organizational and country context (for example, course follow-ups, refresher modules, post-training networking, and other activities to enhance CBT outputs). This could be explored with support from the outreach and knowledge management program.

59. The annual Developing Asia Journalism Awards program is useful in establishing relevant networks among development journalists in the region. The respondents from the CBT course survey (conducted under this SES) who attended the Developing Asia Journalism Awards indicated that the awards combined with training were most useful in establishing important networks with other journalists, development practitioners, and policy makers in the region. For these journalists, these kinds of interactions are most relevant to their line of work, as it allows them opportunities to be updated with current development issues, challenges, and trends within the region (Box 5).

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<sup>53</sup> ADBI. 2005. *Training Impact Evaluation and Training Needs Assessment Studies*. Tokyo.

<sup>54</sup> There is no universally accepted benchmark for appropriate training costs per participant training-day. Training costs can legitimately vary widely on the basis of flight costs, location of training, number of speakers, and field visits, and length of course, among other factors. Thus, it was not deemed useful to do a comparison of ADBI's costs per participant training-day relative to other organizations.

**Box 5: Developing Asia Journalism Awards: A Good Venue to Establish Networks among Journalists and Development Practitioners in the Region**

The Developing Asia Journalism Awards program was established in 2004 to build capacity among journalists working on key development issues. The annual awards honor the work and contributions of journalists actively engaged in the responsible dissemination of knowledge related to poverty reduction and other areas that support long-term growth in Asia and the Pacific. In 2008, 25 finalists from 13 developing countries were also invited to join in a short training course to provide them with an opportunity to discuss and debate key development issues and their impacts with their colleagues and leading experts. In 2009, 22 journalist-finalists, including two Pacific islanders, were invited to participate in a 4-day training workshop in Tokyo to discuss issues emerging from the global financial crisis, infrastructure development, and climate change adaptation.

Source: Compiled from ADBI *Year in Review 2008 and 2009*.

## 2. Synergy between Research and Capacity Building and Training

60. ADBI has recently begun to offer joint CBT-Research Department events to disseminate the results of research findings. This is a positive development that can contribute to ADBI's strategic vision. During the period up to 2008, only a small percentage of CBT courses were delivered in cooperation with the Research Department. In 2009, 5 of 29 CBT course offerings were conducted in cooperation with the members of the Research Department. Speakers from the Research Department are now usually invited to act as resource speakers in the CBT courses. The current arrangement is, however, informal, making it difficult to measure the nature and quality of this collaboration. Creating formal procedures for collaboration ensures that irrespective of who is at the helm of different departments or ADBI there would be opportunities to synergize between its activities. ADBI can enhance synergistic benefits by, for example, delivering more policy dialogue seminars on strategically selected priority themes as joint programs between the Research and CBT departments (para. 22).<sup>55</sup>

## 3. Course Evaluations

61. ADBI administers end-of-course evaluations to obtain quick feedback from CBT course participants.<sup>56</sup> It has recently instituted the practice of conducting post-event surveys once annually in order to inquire from CBT course participants about the utility of the courses. The post-event survey forms used in 2008 and 2009 are generally well designed, including questions about specific course lecturers, course materials, and goal achievement. In addition, it is a standard practice for course organizers to prepare detailed activity completion reports, which summarize course content, evaluation results, and lessons learned and make recommendations for future activities. ADBI's self-evaluation could, however, be further improved by addressing the following:

62. First, ADBI's post-event survey forms are distributed to all CBT participants in a given year. Although it is possible to disaggregate between courses, this kind of analysis was not done as of end-December 2009. This limits the value of the post-event survey in understanding the results of or learning about needed improvements to any given course. Post-event surveys would be much more useful if per-course analysis of the survey results were conducted.

<sup>55</sup> In this context, it should be emphasized that ADBI is moving toward "integrated research and CBT activities" to further enhance synergistic benefits by using research outputs as inputs in CBT activities. To ensure that the content of research outputs is also appropriate for CBT purposes, CBT staff will be involved in the early stages of development of research outputs. See ADB. 2010. *Asian Development Bank Institute Three-Year Rolling Work Program 2011–2013 and Budget for 2011*. Manila. p. 21.

<sup>56</sup> The available end-of-course evaluation instruments contain security features to protect the anonymity of the respondents. No name or any identifying information is requested from the respondents.

Second, survey forms should be standardized between courses. Third, the long-term impact of the CBT program is best gauged by improvements in the capability of the participants' organizations. In line with this, a comparable questionnaire addressed to the supervisors of the participants could be designed to evaluate the impact of the CBT courses. Specific questions on actual utilization by the participants of the knowledge and skills acquired from the training could be measured from the perspective of the organization as represented by these supervisors. Fourth, a good monitoring and evaluation system is always anchored on a solid, updated, and exhaustive database of all the training participants. ADBI needs to more thoroughly update and improve its participants' management system database which would allow the drawing of a true random sample from the population of all CBT participants that would enhance the reliability of future evaluation studies of the CBT program. At the time of the IED review, there was no single universal file that contained uniform information for all the former course participants of ADBI. For example, some course listings did not have the important information on gender and level of seniority of the participants. The existence of such a database would allow the drawing of a true random sample from the population of all CBT participants that would enhance the reliability of future evaluation studies of the CBT program.

#### D. Survey of Capacity Building and Training Course Participants

##### 1. Profile of Respondents

63. A total of 66 courses were conducted between 2007 and 2009, of which 61 were face-to-face and 5 were distance learning courses. These courses were conducted solely by ADBI or in partnership with other organizations. The breakdown of the courses on a per-year basis, the number of courses held in Japan, the number of courses with ADB as partner, and those with e-mail lists are summarized in Table 9. Based on the data provided by ADBI, a total of 4,172 individuals participated in these courses.

**Table 9: Number of Courses per Year and Those with E-mail Lists**

Year	Number of Courses Conducted	Number of Courses Held in Japan <sup>a</sup>	Number of Courses with ADB HQ as Partner <sup>a</sup>	Number of Courses with E-mail Lists of Participants
2007	16 <sup>b</sup>	8	9	14
2008	22 <sup>c</sup>	9	7	20
2009	28 <sup>c</sup>	9	7	27
<b>Total</b>	<b>66</b>	<b>26</b>	<b>23</b>	<b>61</b>

ADB = Asian Development Bank, HQ = headquarters.

<sup>a</sup> The figures are not supposed to be summative. The categories are not mutually exclusive. Some courses done in Tokyo are also done in partnership with ADB headquarters.

<sup>b</sup> Three courses were distance learning courses.

<sup>c</sup> One course was a distance learning course.

Source: ADB Institute website, compiled by the Independent Evaluation Department.

64. Almost all of these courses were conducted in partnership with many organizations from multilateral, bilateral, regional, and government agencies to private sector groups, research entities, academic institutions, and nongovernment organizations (NGOs). The number of courses that were held in Japan (either at ADBI or elsewhere) did not increase despite the increase in the number of courses. The number of courses with ADB headquarters as a partner remained more or less constant in 2007–2009.

65. A total of 1,339 e-mail addresses for the face-to-face courses and 1,365 e-mail addresses for the distance learning courses were retrieved from ADBI records, which were available for 61 of

66 courses, and survey forms were sent out to these addresses.<sup>57</sup> For this purpose, a web-based survey software, E-SurveysPro, was used to expedite the collection and initial analysis of the results. The surveys ran for the whole month of August 2010. As shown in Table 10, the response rates were quite high at 35% for the face-to-face courses and 44% for the distance learning courses. The response rates for web-based surveys based on probability samples could range anywhere between 8% and 62%.<sup>58</sup> Given the relatively short duration of the survey on CBT courses and the limited follow-ups that were done, the response rates of the evaluation study are well within acceptable limits.<sup>59</sup> The survey of CBT courses is in Appendix 8. The list of CBT courses, survey questionnaires, and results are in Supplementary Appendix E.

**Table 10: Summary of Respondents to E-Surveys**

Item	Face-to-Face Courses	Distance Learning Courses
Total available e-mail addresses	1,339	1,365
Invalid e-mail addresses	134	257
Total valid e-mail addresses	1,205	1,108
Number of respondents	423	490
Number of completed responses <sup>a</sup>	307	425
Response rate for completed responses	25%	38%
Response rate for total responses	35%	44%

<sup>a</sup> Some respondents who initially participated in the e-survey failed to answer all the questions.

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

66. As shown further in Table 11, the geographic origin of the survey respondents was not a drastic departure from the geographic origins of the actual training participants (Table 8). The majority came from Southeast Asia (43% on average) and South Asia (25% on average).

**Table 11: Geographic Origin of Survey Respondents**

Item	Face-to-Face Courses (%)	Distance Learning Courses (%)	Average (%)
East Asia	8.1	3.3	5.7
Central and West Asia	7.1	8.7	7.9
Pacific	5.1	0.8	3.0
South Asia	20.2	30.3	25.3
Southeast Asia	53.5	31.8	42.7
Others	6.1	25.2	15.7
<b>Total</b>	<b>100.0</b>	<b>100.0</b>	

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

67. The majority of the respondents from the face-to-face courses were males (68%), with postgraduate degrees (79%), from national government organizations (67%), and heads or at the management level of their organization (60%). Of the 423 total respondents, many attended face-to-face courses in 2009 (42%), 2008 (25%), or 2007 (13%), and the rest attended courses conducted before 2007. For the distance learning courses, there were also more males (68%), and the majority had graduate/postgraduate degrees (79%). Of the 490 total respondents, many attended the courses in 2009 (35%), 2008 (22%), 2007 (26%), and the rest attended courses conducted before 2007. Compared with the face-to-face courses, the greater majority (73%)

<sup>57</sup> Slightly different survey instruments were used for participants in each of these two course types.

<sup>58</sup> M. Schonlau, R. Fricker, and M. Elliott. 2002. *Conducting Research Surveys via E-Mail and the Web*. Santa Monica, CA: RAND.

<sup>59</sup> Further statistical analyses were done through the use of SPSS ver. 15.0 (Appendix 8). Because of the possible self-selection bias that may be at work in the e-survey of CBT courses, inferring to the larger population of all CBT participants should be done with caution.

were from the private sector or NGOs. About half (49%) were also heads or at the management level of their organizations.

## 2. Relevance

68. There has been some success in ADBI's efforts to train mid- to senior-level officials. The results of the e-surveys indicate that the greater majority of the respondents for the face-to-face (77%) and the distance learning courses (79%) were either at the management/supervisory or professional/technical level. A direct question on the course's relevance indicated that the majority of the respondents in both the face-to-face and distance learning courses found the content of the training sufficiently fitted to the needs of their organization and/or country (Table 12). The assessment of relevance of the knowledge and skills imparted throughout the training varied across different organizations, even those within the same country. Fully 84% of the respondents indicated that the courses were highly relevant, while about 4% of them claimed that the ADBI courses had very little relevance for both them and their respective organizations. As in the case for the research events, the course participants likewise recognized the importance of CBT courses as forums enabling knowledge exchange between peers in other Asian DMCs and providing access to both regional and international expertise.

**Table 12: Overall Assessment of Relevance of Course Content with Reference to Country/Organization of Capacity Building and Training Course Participants**

Indicator of Relevance		Strongly Disagree	Disagree	Neither	Agree	Strongly Agree	Total <sup>a</sup>
				Agree nor Disagree			
<b>Face-to-Face Courses</b>							
The course content was sufficiently relevant to my organization/country context for me to apply the knowledge and skills I acquired from the activity	Count	1	11	36	182	72	302
	%	0.3%	3.6%	11.9%	60.3%	23.8%	100%
	Mean						4.04
<b>Distance Learning Courses</b>							
The course content was sufficiently relevant to my organization/country context for me to apply the knowledge and skills I acquired from the activity	Count	4	12	38	184	127	365
	%	1.1%	3.3%	10.4%	50.4%	34.8%	100%
	Mean						4.15

<sup>a</sup> Included only respondents who provided a valid response for these indicators.

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

## 3. Effectiveness (Outcomes)

69. Surveys of CBT courses reflected good levels of satisfaction by participants with the courses. For example, approximately 87% of respondents ranked the ADBI course above average or excellent compared with other professional training courses attended. On a scale of 1 to 5, with 1 meaning the lowest and 5 meaning the highest, ADBI's courses averaged about 4.23 (for both face-to-face and distance learning courses) in terms of perceived quality (Table 13).



**Table 13: Overall Evaluation of Participants Regarding Quality of the Courses**

<b>Indicators of Quality</b>		<b>Very Poor Quality</b>	<b>Below Average</b>	<b>Average</b>	<b>Above Average</b>	<b>Excellent</b>	<b>Total<sup>a</sup></b>
<b>Face-to-Face Courses</b>	Count	4	1	38	155	126	324
The quality of the CBT course attended by the respondents in relation to the other professional training courses that the respondents had attended	%	1.2%	0.3%	11.7%	47.8%	38.9%	100%
	<b>Mean</b>						<b>4.23</b>
<b>Distance Learning Courses</b>	Count	2	8	45	201	163	419
The quality of the CBT course attended by the respondents in relation to other professional training courses that the respondents had attended	%	0.5%	1.9%	10.7%	48.0%	38.9%	100%
	<b>Mean</b>						<b>4.23</b>

<sup>a</sup> Included only respondents who provided a valid response for these indicators.

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

70. Many of the face-to-face and distance learning courses were given high ratings by the survey respondents. For the face-to-face mode, these courses included training on tax administration, infrastructure, and global/regional integration. For the distance learning courses, microfinance training, which was mentioned most frequently, was also rated above average to excellent in terms of quality. It is not a case whereby one course is clearly preferred over the others. The courses, regardless of the themes, were rated as above average by the survey respondents. These findings are in consonance with ADBI's post-event course surveys done in 2008 and 2009, wherein 68% of trainees claimed that the course had a significant or very significant impact on their work.

71. Respondent attitudes toward course effectiveness (outcomes) were also measured with regard to changed attitudes, knowledge, and skills. On a scale of 1 to 5, with 1 meaning strongly disagree and 5 meaning strongly agree, respondents were asked to rate a series of situational statements pertaining to effectiveness. In general, both the face-to-face and the distance learning courses were rated very well in terms of effectiveness. The average scores for the face-to-face (4.1) and the distance learning (4.2) courses indicate that the respondents found the ADBI courses quite effective in imparting relevant knowledge and skills (Table 14).

**Table 14: Average Effectiveness of Face to Face and Distance Learning Courses**

<b>Type of Course</b>	<b>N</b>	<b>Minimum</b>	<b>Maximum</b>	<b>Mean</b>	<b>Standard Deviation</b>
Face-to-face courses	312	1.00	5.00	4.10	.606
Distance learning courses	408	1.00	5.00	4.16	.573

N = sample size.

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

72. For the face-to-face courses, the respondents found the training most effective in providing new knowledge (4.31), new insights (4.25), and useful contacts (4.15). Slightly lower were the scores for new strategies (4.01), new skills (4.02), and new attitude (3.83). For the distance learning courses, the acquisition of knowledge relevant to the job (4.32) and knowledge about tools and technology related to distance learning (4.31) scored the highest in terms of effectiveness. Items pertaining to insights (4.25), skills (4.18), and attitudes (4.09) likewise scored quite high. Although still high, the item on establishing networks and contacts scored the lowest with an average of 3.98, which would be expected for distance-learners not sitting together in the same lecture room. The results of the 2008 Impact Evaluation of the Microfinance Training of Trainers similarly concluded the effectiveness of the distance learning course in providing the participants with the correct attitude, knowledge, and skills relevant to

microfinance.<sup>60</sup> These results are generally in line with the scores reported by other training institutes on international development.

73. The acquisition of new knowledge scored higher compared with the acquisition of skills and strategies. In other words, more participants found courses to be informative compared with those who believed that they had acquired skills or strategies that could be used at work. Related to the foregoing, there was an overall request from the respondents of both the face-to-face and distance learning courses for a more hands-on field experience rather than just straightforward lectures and presentations by invited experts. Some of the CBT course participants interviewed had difficulty in citing practical ways in which learning had influenced their work performance.

#### 4. Usefulness

74. The real test of CBT's usefulness would be the actual application of the skills and knowledge acquired from the courses attended. In this survey, impacts were measured primarily in terms of perceived usefulness of knowledge and skills acquired from the training attended. Given the organizational and professional profile of the respondents, a series of activity items were presented to them.<sup>61</sup> They were then requested to rank the items in terms of frequency of application. A score of 1 indicates that the activity was not applied at all, while at the other end of the continuum, a score of 5 indicates that the activity was being practiced very often. The usefulness mean scores indicate that for both the face-to-face (2.85) and distance learning (2.77) courses, the participants applied the knowledge and skills "occasionally" to their respective jobs. The usefulness is at the average, which indicates some room for improvement. Again, there is no noticeable difference in the average usefulness scores for the face-to-face and the distance learning courses (Table 15).<sup>62</sup>

**Table 15: Average Usefulness of Face-to-Face and Distance Learning Courses**

Type of Course	N	Minimum	Maximum	Mean	Std. Deviation
Face-to-face courses	310	1.00	5.00	2.85	0.902
Distance learning courses	395	1.00	5.00	2.77	0.997

N = sample size.

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

75. Based on the concentration of scores, activities like conducting a seminar, accessing of additional resources, training members of the organization, conducting research, and designing projects were done occasionally by the survey respondents (Appendix 8). For the distance learning courses, some respondents admitted never having had a chance to use the knowledge and skills from the training. The middling scores for the usefulness of both the face-to-face and distance learning courses indicate that there seems to be no automatic conversion of knowledge and skills into actual practice. The lower scores of usefulness indicators underscore once again the importance of after-training follow-up and refresher courses. An arrangement could be instituted to assist the participants to put into practice the knowledge and skills

<sup>60</sup> G. Miron, J. Zhang, and S. Setbounsarng. 2008. *Impact Evaluation of the Microfinance Training of Trainers Course*. Tokyo: World Bank.

<sup>61</sup> The survey design was patterned after the training evaluation studies of WBI that measure the usefulness of courses. In addition, the specific usefulness items included in the survey instrument were based on the review of CBT courses offered by ADBI during 2007–2009.

<sup>62</sup> This modest level of the application of knowledge and skills acquired from CBT courses is in consonance with the findings of other multilateral development banks conducting capacity-building activities such as the World Bank. See, for example, IEG. World Bank. 2008. *Using Training to Build Capacity for Development: An Evaluation of the World Bank's Project-Based and WBI Training*. Washington, DC: The World Bank.

acquired in a few days of training. The need for these follow-up courses is actually one of the most frequent suggestions of the respondents to improve the design of both the face-to-face and distance learning courses of ADBI (Appendix 8).

76. Despite these limitations, the current performance of the CBT program seems to be an improvement compared with the results of the 2005 ADBI training impact evaluation. About 36% of the respondents conducted a seminar on the training they attended. The survey of CBT courses shows much better results, with 79% of the face-to-face and 71% of the distance learning survey respondents claiming to have conducted a seminar at least once after returning from the ADBI courses. Another 80% of the face-to-face and 59% of the distance course survey respondents also wrote an article or report about their training.

## **E. Assessment of Capacity Building and Training**

77. The overall performance of the CBT program has been successful. CBT courses were relevant and effective based on the overall rating by participants of above average. The results of both the field interviews with ADBI partners and CBT course participants and the e-surveys indicate the success of the CBT program in imparting relevant, updated, and good theoretical information in the lectures provided by highly qualified speakers. The transmission of valuable information and skills was further supplemented by the relevant materials distributed, the effective presentations during the lectures, and the exchange of ideas among CBT course participants and lecturers. In spite of these successes, the CBT courses were moderately useful. The results of the field interviews and the e-surveys indicate the difficulty of transmitting knowledge and skills acquired in the CBT courses into actual practice when the participants return to their respective home organizations. About half of the field interview and e-survey respondents found it difficult to cite specific ways that they have used the skills and knowledge acquired from the CBT courses. This is partly attributable to training management processes that need to be addressed, including the need for follow-up sessions and courses, an updated and more comprehensive participant database, and closer coordination among ADBI staff involved in CBT. ADBI needs to consider a more strategic and long-term approach to capacity building that would integrate more institutional follow-up mechanisms for CBT participants.

## **V. OUTREACH AND KNOWLEDGE MANAGEMENT**

### **A. Review of Delivery System**

78. The evaluation of the outreach and knowledge management program begins with a brief review of the delivery system in place—website, book publications, media, newsletter, conferences/seminars/workshops, and e-newsletter and e-notification, including some activities planned by ADBI. Then the relationship between the outreach and knowledge management program and the research and CBT functions is discussed. Lastly, future directions to further improve the outreach and knowledge management program are discussed.

#### **1. Website**

79. ADBI's website ([http:// www.adbi.org](http://www.adbi.org)) has been in operation since its inception and was redesigned in 2004. Since 2004, by most indicators, the website has successfully reached a good number of users of its knowledge products and services. Whether in terms of number of hits, page views, user sessions, visit length, downloaded files, or countries that have visited the site, the

numbers show increasing website usage when measured in terms of traffic. In 2006, ADBI's website received international recognition (Box 6).<sup>63</sup>

**Box 6: International Peer Recognition for ADBI Web Design and Important Digital Resources**

In 2006, the website of ADBI received an honorable mention in the inaugural Web4Dev international awards. Web4Dev, short for Web for Development, is an international network of 88 multilateral, bilateral, private, and nongovernment organizations that use the Web to encourage development-related work. A panel of judges selected three winners and two honorable mentions. Criteria included, among others, quality of content, visual design, layout/navigation, site architecture, and interactivity.

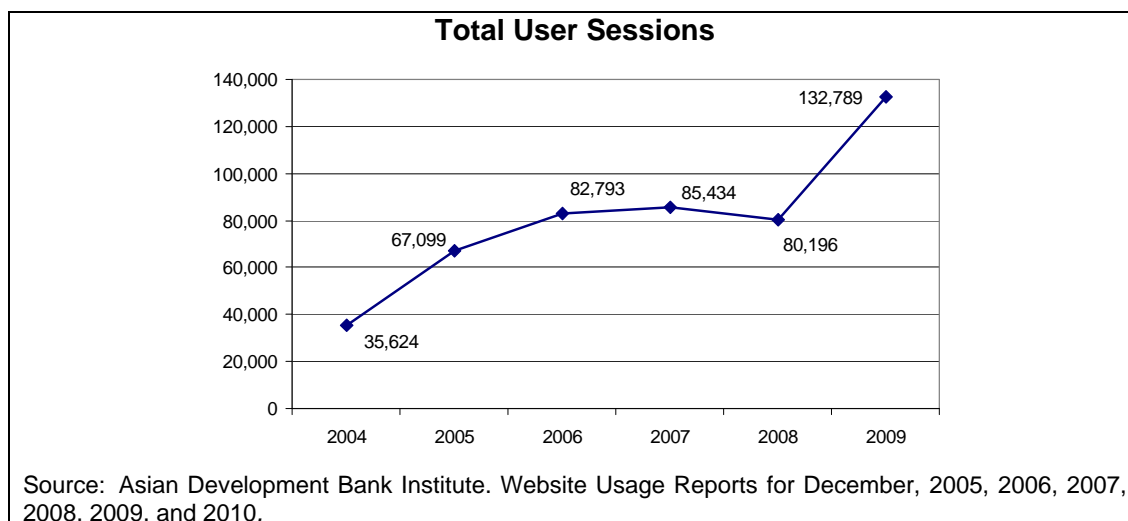
Source: Asian Development Bank Institute.

80. Hits on the ADBI website grew from 0.8 million in December 2004 to 2.1 million in December 2009, on average an annual growth rate of 21.3%. This meant average daily hits of 65,741 in 2009 compared with 26,523 in 2004 (Table 16). The number of user sessions grew even faster at 30% per year on average from 2004 to 2009 (see figure below).

**Table 16: ADBI.org Hits**

Item	Dec-04	Dec-05	% of Change	Dec-06	% of Change	Dec-07	% of Change	Dec-08	% of Change	Dec-09	% of Change
Number of successful hits	848,752	1,034,924	21.9	877,807	(15.2)	1,131,531	28.9	1,667,897	47.4	2,103,729	26.1
Average hits per day	26,523	32,341	21.9	28,316	(12.4)	37,717	33.2	58,803	55.9	65,741	11.8
Total home page hits	9,005	9,933	10.3	9,739	(2.0)	9,732	-0.1	21,342	119.3	21,724	1.8

Source: Asian Development Bank Institute Website Usage Reports for December, 2005, 2006, 2007, 2008, 2009, and 2010.



81. On the other hand, the average visit length declined marginally between 2004 and 2009 from 0:25:54 hours in 2004 to 0:23:58 hours in 2009. This decline may be attributable to

<sup>63</sup> Also, in March 2010, ADBI's website and associated contents and publications were selected by a panel of librarians and curators for inclusion in the United States Library of Congress historic collection of internet materials, which preserves important digital resources for education and scholarship.

familiarity with the website, faster speed of connection, and other reasons. The number of visitors who were returning to the website grew more slowly (at 18% per year) compared with the number of unique visitors. With regard to the location of the visitors to the website, most were from the US, accounting for 87% of the top 10 countries in December 2009. These visitors may not be physically in the US; they usually use internet service providers whose domain name location is in the US (e.g., Yahoo, Hotmail, Gmail).

82. The number of downloads of ADBI knowledge products averaged 54,000 per month for 2008 and more than 72,000 per month for 2009, showing that ADBI's knowledge products reach a larger audience. ADBI's products are in downloadable files, and the records indicate how many successful downloads there have been. What users do with the files cannot be determined from the statistics. The extent to which these are eventually used as references in books, book chapters, and journal articles is reflected in the citation analysis (paras. 34–38).

83. Table 17 reports the 10 most downloaded files between 2004 and 2009. Of the 10 most downloaded files, only 2 are cited in peer-reviewed journals and scientific publications. Knowledge products that were published early on (e.g., the top book was published in 2005) have remained highly downloadable. In fact, 8 of the 10 most downloaded files were products before 2007. This is consistent with the findings of the citation analysis (paras. 34–38). The length of time after publication makes a difference, as is seen in the citation analysis. However, a noteworthy exception is the high number of downloads for ADBI's flagship project *Infrastructure for a Seamless Asia*: in less than 1 year, 51,650 downloads in 2009 from when it was first published on 15 September 2009. A separate report on the website as a distribution mechanism in the outreach and knowledge management program provides more details of trends between 2004 and 2009 (Supplementary Appendix F: Evaluating the Outreach and Knowledge Management Program).

**Table 17: Top 10 Most Downloaded Files, 2004–2009**

Title	Year						Total Successful Downloads
	2004	2005	2006	2007	2008	2009	
Corporate Governance in Asia: Recent Evidence from Indonesia, Republic of Korea, Malaysia, and Thailand (book)		21,780	10,320	11,970	9,050		53,120
Public-Private Partnerships in the Social Sector: Issues and Country Experiences in Asia and the Pacific (book)	4,080	26,440	5,760	9,290	6,580		52,150
Infrastructure for a Seamless Asia (book)						51,650	51,650
Using Macroeconomic Computable General Equilibrium Models for Assessing Poverty Impact of Structural Adjustment Policies (discussion paper)	9,800	13,140	5,610	6,240	6,940	4,610	46,340
How to Draft Project Proposal (reference)			3,810	7,690	10,900	14,200	35,790
Research Paper. Growth and Poverty: Lessons from the East Asian Miracle Revisited (research paper)	5,330	6,460	10,410	4,660			26,860
Post-Crisis Development Paradigms (book)		5,890	12,190	5,790			23,870
NGO Law and Governance (book)				4,110	4,550	11,960	20,620
Asian Economic Think Tanks: ADBI Pocket Guide (reference)		15,680	3,710				19,390
Industrial Competitiveness: The Challenge for Pakistan (discussion paper)	8,610	10,270					18,880

Source: ADBI Website Usage Reports for December, 2005, 2006, 2007, 2008, 2009, and 2010.

## 2. Books and Other Publications

84. As part of its outreach and knowledge management program, ADBI strives to publish its output. Because commercial publishers have wider distribution networks and more extensive marketing connections, this is the preferred route for the dissemination of its knowledge products. Edward Elgar Publishing has been authorized to copublish books for ADBI. After the first copublished book in 2005, Elgar has continued to collaborate with ADB and ADBI to provide their publishing needs nonexclusively. Table 18 shows the books published by Edward Elgar Publishing, along with the total copies sold as of 27 May 2010. These books were also distributed free to depository libraries of ADB.<sup>64</sup>

**Table 18: Books Sold by Edward Elgar Publishing<sup>a</sup>**

Book Title	Publication Year	Number of Copies
<i>Poverty Targeting in Asia</i>	2005	507
<i>Poverty Strategies in Asia</i>	2006	260
<i>The Dynamics of Regional Development: The Philippines in East Asia</i>	2007	521
<i>Infrastructure and Trade in Asia</i>	2008	475
<i>Infrastructure's Role in Lowering Trade Costs</i>	2009	460

<sup>a</sup> A cheaper edition of these books was also sublicensed to a Philippine university publisher to increase penetration of that market.

Source: Asian Development Bank Institute.

85. ADBI has copublished books with ADB, specifically with the knowledge departments, among which is the flagship project publication (*Infrastructure for a Seamless Asia, 2009*) in collaboration with various departments of ADB.<sup>65</sup> ADBI also self-publishes a stand-alone set of its own ISBN-numbered books when it needs to control the timing of release or decides that low or no pricing would be more appropriate for dissemination of the material. A separate set of publications involves circulating its online working paper series (hard copies were discontinued in 2007), and some ad hoc types of publications like a CD-ROM by the CBT program that stores its workshop materials, training modules, and proceedings from its various capacity-building programs.

## 3. Media Coverage

86. ADBI regularly taps media in Japan, international media syndicates, and local media in DMCs to publicize and disseminate its various knowledge products and services. The ADBI dean gives interviews to various media outlets on a range of topics covered by ADBI's research and CBT themes, in collaboration with Japan-based and DMC-based organizations, and on the occasion of conferences/seminars held in DMCs (Box 7). ADB's representative offices in Europe and North America have assisted with organizing media interviews with the Dean. More

<sup>64</sup> Flagship books published by ADBI are distributed to all depository libraries, and nonflagship books are distributed to selected depositories. ADB also receives copies published by ADBI as follows: (i) Board of Directors (1 copy for each office = 12 copies); (ii) Management (President, 5 Vice Presidents, and Managing Director General: 1 copy each = 7 copies); (iii) knowledge department heads of RSDD, OREI, ERD: 1 copy each = 3 copies); (iv) library (2 copies); (v) Public Information Center for display (2 copies); and (vi) resident missions/representative offices (1 copy each, except for Japan Representative Office which receives 29 copies).

<sup>65</sup> In 2010, ADBI copublished with RSDD (*Responding to the Global Economic Crisis: The Social and Poverty Agenda in Developing Asia*) and OREI (*Asia's Free Trade Agreements: How Is Business Responding?*). Several books are expected to be copublished with the Brookings Institution Press and other publishers.

media coverage of ADBI could be also explored using the expertise of ADB's Department of External Relations (DER).

#### **Box 7: Asian Development Bank Institute in Media**

Among the delivery mechanisms for outreach at Asian Development Bank Institute (ADBI), only media is external to ADBI. ADBI has recruited a part-time local media consultant to increase media coverage in a systematic way. The following three dimensions of media coverage have emerged: First is the media exposure given to the ADBI dean in directly giving briefings to various media outlets about the latest in ADBI's research products, training programs, and other services through meetings with key opinion leaders, press releases, or exclusive interviews. In Japan, the international press, wire services, and syndicated media outlets have covered the dean's presentations on critical subjects such as the global financial crisis, 10 years after the Asian financial crisis, and other topics. Second, the regular Developing Asia Journalism Awards have been successful in disseminating many of ADBI's products and services through news writing in the Asia region. Finally, in the DMCs where ADBI holds conferences or seminars, there is lengthy coverage by media of the research events or the subject matter of training programs.

Source: Independent Evaluation Department.

#### **4. Newsletter**

87. In 1999, ADBI commenced a quarterly newsletter providing information about its research and CBT activities, events, and publications. Since 2007, a relaunched version of *ADBI News* has included feature articles on ADB's priority themes. As the newsletter is available in both print and electronic versions, it also serves as a good platform for disseminating information about ADBI research and CBT activities including to places with limited or no internet connection.

#### **5. Conferences, Seminars, and Workshops**

88. Conferences, seminars, workshops and other types of fora under the outreach and knowledge management program are not the same as those under either the research or CBT functions, which are part of the normal activities of research and CBT and at the same time are part of the outreach and knowledge management program. On the other hand, the conferences/seminars/workshops that are clearly for the outreach and knowledge management program depend on events that are organized by other partners or even occasional fora where ADBI is invited. These pertain to the broader dissemination activities wherein ADBI staff are invited to give speeches or presentations, and to participate in events having agenda driven by other organizations. For example, ADBI staff from the research, CBT, and administration, management and coordination departments gave lectures at the National Graduate Institute for Policy Studies and the Graduate School of Public Policy, University of Tokyo.

#### **6. E-Newsletter and E-Notification**

89. ADBI started a daily Internet e-newsletter on development in 2003 and moved this into its e-newsline in 2004 with a daily roundup of development news, mainly from DMC sources, with special analysis stories and opinion pieces posted by ADBI staff. The recorded number of e-mail subscribers to the e-newsline was 1,400 in 2004 and reached 3,734 in December 2009 (broken down into 2,307 HTML and 1,427 text subscribers). Although e-newsline readers can unsubscribe at any time if they are dissatisfied with the service, the growth trend was steady over the period of review, without any noticeable reversals. This newsletter, which is delivered into subscribers' inboxes, has been used to disseminate the latest online ADBI knowledge

products and news releases proactively, rather than waiting for visitors to come to the website. ADB has since followed the lead of ADBI in starting its own e-newsletters, including *ADB Today*.

90. Related to the e-newsline is an e-mail alert system called e-notification, which sends messages to subscribers about new content on the website, new publications, new developments in the different functions, and internal news of ADBI (e.g., job opportunities and staff movements). Because the alert system uses a minimal file size that could also be forwarded as a mobile alert, the number of subscribers is a larger base, increasing from 4,036 in 2007 to more than 5,800 in 2009.

## **B. Relationships with Research and Capacity Building and Training Functions**

91. Evaluation of the research and CBT functions feeds into the distribution mechanisms in outreach and knowledge management. Based on the findings of the evaluation of research and CBT, there are distinct relationships between the two functions and outreach and knowledge management. In particular, there are outreach mechanisms from research production, and potential knowledge management mechanisms from the CBT function.

92. While the manner of research production remains a research function, its wider distribution (kind and modality) naturally feeds into outreach and knowledge management. The completion of research products (books, chapters, journal articles, working/discussion papers) shifts the process of delivering to the outreach and knowledge management program with the exception of journal articles. Various mechanisms then deliver the products to selected clientele. These include the use of publishers, posting of products as downloadable files in the ADBI website, and e-notification of product availability to subscribers of ADBI. The research products, through commercial publishers, are marketed to more than 750 public, private, and university libraries worldwide, and are as well distributed free to selected depository libraries in DMCs, in the various departments/offices of ADB, and to other designated locations.

93. To give the research products a more defined audience than just the research community (impact on which can be measured by citation analysis), the distribution system should be either expanded or more targeted. If the usefulness of the research products is geared more to policy makers, development practitioners, and other multilateral and bilateral organizations, then the outreach function of research activities needs to be modified. This includes possible tracking of user groups (such as DMC-based think tanks, government officials, and ADB staff) so that download clientele becomes more identifiable, and building a clientele database.

94. The results from the CBT evaluation indicate that the usefulness of the acquired knowledge through the CBT program is weak in terms of changed practices on the part of the trainees as they return to their work (paras. 74–76), suggesting that the CBT program could explore other knowledge management mechanisms to enhance its activities.

95. E-surveys of face-to-face and distance learning courses indicate areas where knowledge management becomes important. First, there is a need for follow-up capacity training that builds on the actual courses participants take. There seems to be a clamor among those surveyed for such post-training activities. Among these are updating course materials through dissemination of recent knowledge on the course topics. Second, many of the participants expressed lack of practice of the skills learned in the CBT courses. Either there were not enough opportunities during the formal courses (whether face-to-face or distance learning) to use what was learned,



or the courses were too general to have specific work application. Finally, the surveys found that many did not have enough preparation time before actually taking the face-to-face courses.

### **C. Assessment of Outreach and Knowledge Management**

96. Overall, the outreach and knowledge management function is assessed *highly relevant, effective, and useful*. A core function of the outreach and knowledge management program is knowledge dissemination and sharing. ADBI has had success in using the Internet to disseminate relevant information and knowledge through its outreach and knowledge management program. The use of the web technology is now widespread among DMCs and knowledge partners. The reach of the delivery mechanisms has been extensive, as shown by the use of publishers (commercial and noncommercial), traffic generated (web users and downloads), and media utilization (interviews, newspaper articles). However, there is room for improvement. ADBI has not yet fully explored its potential and it can do more to increase the effectiveness and usefulness of the outreach and knowledge management program. It is important to expand the possibilities arising from the ADBI website. The website can more effectively target the research community, policy makers, operational staff of development agencies, and the larger development practitioners. It is also desirable to explore various ways of outreach and knowledge management by establishing a more structured arrangement of communications not only with ADB knowledge and regional departments, but also with ADB's DER through formal contact points.

97. Another important function of outreach and knowledge management is to support the other two functions of ADBI. Between the functions of research and CBT, it is in CBT that this potential can be further exploited. The responses from the e-surveys of CBT courses revealed the need for conducting course follow-ups, refresher modules, post-training networking, and other activities to enhance the CBT outputs. In addition to post-course networking, pre-course awareness building needs to be improved. Many of the course participants did not have adequate preparation time before their actual courses. The reason was insufficient lead time in announcements, in informing participants of course requirements, and in general laying out of expectations. Although announcements and sufficient background on forthcoming CBT courses are disseminated through the ADBI website, the timing of these announcements can still be improved. The outreach and knowledge management in coordination with the CBT department can activate electronic communications way ahead of schedules to provide prior information (through alert systems, the e-newsletter, and media exposure).

## **VI. CONCLUSIONS, LESSONS, AND RECOMMENDATIONS**

### **A. Conclusions**

#### **1. Overall Assessment, Key Findings, and Issues**

98. ADBI performance has been evolving since its establishment in December 1997. ADBI has been able to move forward under the aegis of its four deans, with each dean building on past accomplishments to gradually increase its contributions in numerous ways. Except for the period of the first dean, who served during ADBI's foundation stage from December 1997 to January 1999, the subsequent periods under the succeeding deans saw numerous activities. These activities have included preparation of research products under the guidance of a high caliber advisory council, collaboration with a broad range of professionals in the Asia and Pacific region, and reacting to the responses of the high quality of participants in these activities. The composition of those who have been involved in ADBI's research activities has remained

diverse in both geographic spread and organizational affiliations. The composition of the advisory council has also continued to include several prominent personalities steeped in research experience. Since 2007, when the current dean was appointed, ADBI has jointly conducted some innovative research projects with ADB headquarters such as *Infrastructure for a Seamless Asia* and *Global Financial Crisis*. Especially, links between ADBI and ADB through ADB headquarters knowledge departments have been greatly strengthened, and information flows from both sides have been active, and are becoming systematic and organization based. Taking into account its performance in terms of relevance, effectiveness and usefulness, in the three activities (research, CBT and outreach and knowledge management program) the overall performance of ADBI is rated *successful*.

99. Past visions of ADBI were determined slightly different under the four deans, and since end-2008 it has been aligned with ADB's Strategy 2020. In December 2008, under the present dean, ADBI deliberately made its vision consistent with ADB's Strategy 2020. Initial thoughts on ADBI's vision and mission were derived from internal discussions within ADBI and through brainstorming sessions with knowledge partners and resource persons, and have been influenced by contemporary issues facing the region through research and training needs surveys. The advisory council has been proactive in setting ADBI's vision, mission, and priorities. ADBI has been conducting retreats before the advisory council meeting every autumn, to prepare its Three-Year Rolling Work Program and Budget document to be reviewed by the Budgetary Review Committee and approved by the ADB Board of Directors, or whenever considered necessary. The deliberations of ADBI, its advisory council, the Budgetary Review Committee, and the ADB Board of Directors have shaped the framework of ADBI activities. However, ADBI's vision, mission, and priorities have not been developed into results framework or design and monitoring framework, by considering the intended outputs, outcomes, and impacts, with performance targets and indicators.

100. In early years, there was no clear distinction in research focus between ADBI and ADB headquarters. When ADBI was established in 1997, ADB had only small research and training functions sited in the then Economics and Development Research Center. Given the more prominent and larger coverage of research and training being carried out by ADB's knowledge departments (ERD, OREI, and RSDD) in the recent past, the rationale for ADBI to conduct research and CBT became somewhat different from the time of its establishment. Discerning a clear distinction between ADBI and ADB knowledge departments is a difficult issue. In 2006, ADBI and ADB knowledge departments introduced a formal process to coordinate their activities, including engaging in joint undertakings. In this context, ADBI has decided to conduct research and CBT activities that contribute to ADB's overarching goal of poverty reduction by focusing on the region's medium- and long-term development issues of strategic importance. ADBI needs to sharpen its focus by identifying its comparative advantage in line with its strategic vision to become a "*leading center of the creation and sharing of knowledge on economic development in the Asia and Pacific region.*"

## **2. Research**

101. The ERP's overall evaluation of the products is that "they are generally useful, informative, and appropriate to the mandate or mission of ADBI", but the Panel further commented that "they do not meet the more exacting standards of adding to the stock of knowledge in development theory". ADBI is not an academic research institution but is tasked to provide support to ADB's DMCs in attaining its overarching objective of poverty reduction. As per the ERP, "ADB I fulfills functions prescribed in its Statute". Almost all books reviewed, including *Infrastructure for a Seamless Asia* (a flagship project), were seen as contributing to the

analysis and information needed for policy making among the DMCs in the region, as were most of the journal articles. ADBI research work has been relevant to ADBI's mission, of good quality, and therefore effective.

102. The quality of ADBI's research products has been uneven, according to the interpretation of the citation analysis. About half of all ADBI's research products (books, book chapters, and journal articles) between 1998 and 2009 have been cited by other journals and researchers. By period, book publications during 2004–2006 had more citations than those published in 2007–2009. The journal articles published by the staff or researchers at ADBI are more noteworthy. Comparing the 2004–2006 and 2007–2009 periods, 21 of the 29 journal articles cited were in the latter period, based on the combined Scopus and Google Scholar databases. The citation distribution of journal articles for 2007–2009 shows better results than that of the books published in the same period.

103. The current quality control mechanism is adequate and functioning. Quality control at ADBI is done once the research product has been completed (whether in draft form or final manuscript) as well as in the process of research through peer review, and upfront such as the selection of the researchers and topics. There are also *ad hoc* internal procedures within ADBI to maintain standards and quality in the determination of inputs and organization for research products. Such internal procedures at every stage of research production should be made an integral part of ADBI's quality control mechanism.

104. In-house/core research staff (research fellows and long-term consultants) participate in research formulation; act as task managers in research projects, responsible for the research activities performed by external collaborators; contribute papers to the research projects; and/or become editor (or joint editor) of the eventual book from the research. However, in-house or core research staff are handling many projects as task managers that constrain them from conducting research for their projects. This poses the question of whether the research department should reexamine its research agenda and workload for each task manager. Visiting research fellows or visiting researchers bring their own research topics/projects in consultation with ADBI, usually staying 4–6 months on the ADBI premises, and their participation is even more limited compared with in-house/core research staff. One key to deepening the standing of research is expanding the potential participants in the actual research more on the basis of institutional involvement and less on personal relationships.

105. Substantive links between ADBI and ADB through ADB headquarters knowledge departments are becoming systematic and organization based. Under the current dean, links between ADBI and ADB headquarters have been strengthened, and information flows between both sides have been active. However, regularly scheduled discussions are not held to foster more systematic, programmatic, and organization-based links between ADBI and ADB headquarters. Some similar topics can be seen in the research work between ADBI and ADB headquarters knowledge departments, which is to be expected, given that the visions of ADBI and ADB are convergent. Similar topics may eventually result in themes of joint activities or productive collaboration, if there are concrete steps identified at the planning stage. This has been demonstrated in undertaking flagship projects. ADBI and ADB may clarify the division of work, even when collaborating and engaging in joint undertakings.

### **3. Capacity Building and Training**

106. Overall, the performance of the CBT program has been successful. This is based on the results of the e-surveys, field interviews with ADBI partners and CBT course participants, and

the review of relevant ADBI documents. A mix of mid-level and senior government officials from DMCs have participated in the training courses. However, ADBI should focus more on senior-level and top-end of middle level policy makers who are being groomed to take on higher level responsibilities. There is also a good balance of participants coming from DMCs with different income levels and population sizes. The overall rating for the relevance, effectiveness, and usefulness of ADBI courses is satisfactory for both the face-to-face and distance learning courses. The CBT program was also found to be effective in disseminating quality theoretical knowledge from well-qualified international speakers.

107. An emerging network of development practitioners in the region has been evolving through the CBT program. The desired exchange of ideas and experiences among policy makers within the region is being gradually achieved but still needs improvement. These emerging networks among the participants, however, remain largely at the personal level. There have also been limited communications with the course facilitators and the course speakers after the training courses. To become strategically viable at the policy and operational levels as envisioned by ADBI, these emerging networks have to be further strengthened.

108. The potential for usefulness of the CBT program has not been fully explored. Although CBT participants appreciate the relevance and quality of inputs provided by the CBT courses, many participants still find it difficult to actually apply the acquired knowledge and skills in their home country and organizations. In many instances, the topics were too broad and general to be applied within the specific context of the participants' organizations and/or countries. This situation is further exacerbated by the absence in many courses of follow-ups and postcourse technical support to maximize their usefulness.

109. The CBT program has started to seek improvements in its management processes. As recommended in the 2005 impact evaluation of ADBI, some improvements in CBT management processes have been undertaken, such as the use of TNA and post-event surveys. The results of these, however, remain limited. The quality of the data gathered does not seem to provide the needed inputs for the planning of more strategic and long-term CBT goals. There is a need to capitalize on the results of TNA and post-event surveys if ADBI is to be a successful regional hub for sound development management of the agencies and organizations within the DMCs.

#### **4. Outreach and Knowledge Management**

110. ADBI has had success in using the Internet platform to deliver its products and services through its outreach and knowledge management program as a core function of knowledge dissemination and sharing. The ADBI website is seen as an effective communication tool for disseminating its knowledge products. The use of the web technology is now widespread among DMCs and knowledge partners. ADBI also keeps abreast of developments in web technologies and selectively applies them to reach out to stakeholders including those in DMCs. ADBI's website has been in operation since inception and was redesigned in 2004. Since 2004, and by most indicators, its website has successfully reached a good number of users of its knowledge products and services.

111. However, there is room for improvement. ADBI may not be fully exploring its potential and can do more in its outreach and knowledge management program. The website can effectively target the research community, policy makers, operational staff of development agencies, and larger development practitioners. The e-surveys of CBT course participants reveal a need for conducting course follow-ups, refresher modules, post-training networking, and other activities to enhance the CBT outputs, as well as providing prior information on CBT

courses (through alert systems, the e-newsletter, and media exposure) by activating electronic communications way ahead of schedule.

## **B. Lessons**

112. The deanship has been a crucial factor in the performance of ADBI, and has also influenced relationships with its advisory council, ADB headquarters, and external knowledge partners. The qualifications and experience of the current dean have been effective for ADBI to perform its functions as defined in its Statute. Learning from this experience, factors that would go into the selection of the dean can be carefully noted, and the new approaches developed can be institutionalized.

113. Periodic self-assessment is imperative. An important lesson from this SES is that many midcourse corrections could have been made to sharpen ADBI's knowledge products and services through self-assessment. In addition to the annual staff retreat, advice and recommendations given by the advisory council, and ADB Board discussions on ADBI's Three-Year Rolling Work Program and Budget taking place every December, this self-examination could be carried out every 3-4 years, particularly before a new dean is appointed.

114. A well-formulated vision and mission statement is an important foundation for defining the direction of ADBI. The vision and mission set the parameters for defining its functions of research, CBT, and knowledge dissemination over a planned period such as the current 3-year rolling plan. Even more important, such vision and mission need to take into account the strategies and operations of ADB, the region's social and economic structure and institutions, the overall global environment, and the views of regional constituencies that will eventually map out their policies and programs. In this connection, ADBI rightly indicates its 2008 alignment with ADB's Strategy 2020 in key documents such as ADBI's Year in Review and Three-Year Rolling Work Program and Budget.

115. Because of its location, institutional partnering with Japan-based partners is stronger than with DMC-based partners. Most Japan-based organizations that are ADBI partners have clear and deep roots in relation to ADBI, and their collaboration with ADBI has been on a regular basis. ADBI also regularly co-organizes research events with think tanks in the US and Europe. For the most part, ADBI's partners in the DMCs are based more on individual academic reputations of representatives of their organizations. While there are both advantages and disadvantages of person-based partnerships, ADBI's network could be further strengthened with more formal institutional links based on a partnership framework.

116. A clear, long-term, strategic approach of selecting training themes will increase the likelihood that CBT courses will contribute in a sustainable manner to the capacity of DMC institutions. Similar to ADBI's research, CBT has been strategically programmed according to the three priority themes since 2008. Those three priority themes are still too broad to provide much guidance for training topic selection. Given the limited resources, ADBI could consider a more programmatic approach of long-term strategic partnerships with a small number of selected DMC institutions, ADB headquarters, and international organizations involving a series of interconnected events over the course of a multiyear period.

117. The current system of conducting a TNA survey does not fully deliver the data ADBI needs for good course planning and discourages further direct consultations between ADBI and focal-point organizations. This system depends largely on ADB resident missions to distribute the TNA survey forms, and whether the forms are returned to ADBI depends mostly on these

missions. Although dialogue takes place between ADBI and DMC organizations on a sporadic basis, a more structured consultative process with top-level DMC officials could produce a CBT plan that is more responsive and tailored to specific DMC development needs.

118. ADBI has little control over the identity or seniority of the individuals that DMC governments and organizations choose to attend CBT programs. More control would enable ADBI to better direct and match course content and modality, such as the policy dialogue format, to the kind of participants it intends to reach, which in the long-term would ensure that CBT would be more successful. If selection nonetheless remains as the prerogative of DMC governments, ADBI should set minimum standards for course participation and reserve the right not to accept a candidate who does not meet them. As ADBI puts more importance on the policy dialogue seminar under the CBT program, CBT courses should be meant for the senior level and the top-end mid-level policy makers (para. 53).

### **C. Key Recommendations**

119. The following are key recommendations for consideration by ADBI and ADB on research, CBT, and the outreach and knowledge management program. Some options on how to implement the recommendations are elaborated in paras. 120–123.

#### **1. General**

120. Facilitate institutional changes with the involvement of ADB headquarters' knowledge and regional departments to improve the effectiveness of ADBI's knowledge products, further strengthen its links with ADB, and increase its impact on the development directions of the DMCs. ADBI's long-term organizational thrust requires further consolidation of its various functions, and institutional changes, details of which are given below:

- (i) Develop a results framework for ADBI, taking into account its uniqueness and considering the intended outputs, outcomes, and impacts, with performance targets and indicators, given the availability of data sources, and reporting mechanisms. Such a results framework can be developed in coordination with ADB headquarters knowledge and regional departments and draw lessons from ADB's results framework and its knowledge management results framework.
- (ii) Take greater advantage of ADBI's strategic location in Tokyo, Japan, and its flexible staffing policy, which could attract and retain a critical mass of first-rate researchers and experts, and further strengthen partnerships with leading academic and policy-oriented institutions and think tanks both in Japan and outside.
- (iii) Develop ADBI's own database to track and monitor the utilization of its research products and CBT programs with the support of the outreach and knowledge management program. Monitoring the research utilization may include tracking citations by policy makers or references in policy formulations as well as compiling the views of senior DMC policy makers on research products, and obtaining feedback from participants in policy dialogue seminars. This would help ADBI increase its performance in usefulness.
- (iv) Increase coordination between ADBI and ADB (knowledge and regional departments) at both the strategic and operational levels by (a) continued focus on the region's medium- and long-term development issues of strategic importance and applying cutting edge research knowledge to an Asia-specific context; (b) strengthening collaboration with ADB knowledge and regional departments, including engaging in joint undertakings such as flagship projects;

(c) conducting regular and transparent information sharing efforts, for example, thorough director general-level meeting to discuss planned activities and/or annual meetings to be convened by the Vice President (Knowledge Management and Sustainable Development); and (d) establishing a more structured arrangement of communications with ADB knowledge departments, regional departments, and DER through formal contact points. The proposed IED's SES on knowledge management system and products in 2012 would review knowledge management and collaboration issues between ADBI and ADB knowledge and regional departments.

## **2. Research**

121. Strengthen the quality of research products including theoretical and conceptual underpinnings and rigorous evidence of research to the extent that it can guide DMC policy makers to formulate appropriate policies. Some options to achieve such quality improvements are as follows:

- (i) Make the current quality control mechanism that exist at every stage of research production more systematic, covering, among others (a) a substantive review of research directions and subsequently of research focus; (b) greater consultation on major research projects with ADB headquarters to promote quality; and (c) a clear specification of the intended clientele and consumers of the knowledge products; and include complete procedures for the quality control mechanism from the start of the research to completion in ADBI's Three-Year Rolling Work Program and Budget documents.
- (ii) Further strengthen the links between ADBI and ADB in research through (a) seeking more opportunities for joint undertakings (e.g., joint publications between ADBI and ADB headquarters knowledge departments); and (b) exploring more effective delivery of research results to ADB in its operational work, especially in the resident missions and in country programming work.
- (iii) Examine the organizational and process implications for ADBI in view of integrating innovations such as the flagship projects, optimizing the timing of engaging visiting researchers and fellows, institutionalizing the process of collaboration with partner organizations, and further increasing synergy between research and CBT activities.
- (iv) Explore more formal institutional links and networks with selected DMC-based knowledge partners to increase the effectiveness of ADBI's performance in research. The implications of exploring formal ties between ADBI and DMC organizations may be contractual constraints on the part of both entities. However, this could be based on a partnership framework with a set of selection criteria, or a formal institutional memorandum of cooperation signed by ADB or ADBI.

## **3. Capacity Building and Training**

122. Align the CBT program with its strategic vision of disseminating knowledge to senior-level and top-end of middle-level policy makers, with a particular focus on strategic regional issues. Programs that do not target this audience should be supported only in justifiable cases. ADBI could consider a more programmatic approach of long-term strategic partnerships with a small number of selected DMC-based institutions, involving a series of interconnected events over the course of a multiyear period. The details on how to achieve this include the following:

- (i) Improve assessment of DMC capacity development needs. ADBI's present methods of consultations with experts and the administration of an annual TNA have not been adequate for targeting courses to specific needs and thus for improving the CBT courses. The capacity of ADBI to regularly conduct these TNAs should be improved with increased resources, and the results regularly incorporated into the CBT program. Needs assessment can be supplemented by structured consultations with top-level DMC officials.
- (ii) Improve the selection of participants to ensure that relevant officials, with adequate command of English, participate in CBT courses, and to ensure sufficient uniformity in the level and needs of participants. ADBI should continue to clearly set the minimum participation standards per training theme and use these as a basis for accepting or rejecting nominations from the DMCs.
- (iii) Distinguish between (a) policy dialogue seminars; and (b) other CBT activities, some of which should take a long-term, programmatic approach and focus on strategically selected priority themes, which can be delivered in collaboration with selected DMC-based institutions, ADB headquarters, and international organizations. A more programmatic CBT approach would not only help to achieve appropriate participant selection but would also justify greater investment of a more in-depth needs assessment. ADBI may reconsider CBT labeling to reflect the current focus and nature of the CBT program.
- (iv) Build the capacity of course organizers to use a greater range of instructional design methodologies and ensure that course length, format, and teaching modalities are adapted to the specific objectives of courses. There should be more specific country/industry cases to allow participants to transcend the general and broad orientation of the lectures by peers and international experts and identify means for actual usage of the learning from the training. The use of action plans as a good pedagogical tool could be considered to improve learning usability.
- (v) Consider means of better supporting postcourse participant networking and knowledge exchange in order to better fulfill ADBI's desired role as a regional knowledge hub. The existing network among former participants could be strengthened and formalized, by, for example, integrating post-event technical support through the website to ensure greater usability and application of course learning.

#### **4. Outreach and Knowledge Management Program**

123. Take strategic steps to increase ADBI's visibility in the Asia and Pacific region, considering multidimensional improvements to reach a wider audience. Options for improvements may include the following:

- (i) Interact more closely with other departments within ADBI and ADB departments including DER on various ways to distribute the products to attain wider outreach, and establish a formal arrangement for communications through a contact point in DER. This would apply more intensively to CBT, as new outreach and knowledge management functions are instituted based on the results of the CBT evaluation. Internal ADBI linkages will require that CBT staff work closely with the outreach and knowledge unit to determine the modalities to deploy.
- (ii) Reassess the distribution incidence of research publications including books, working papers, and policy briefs to encompass more relevant constituents (e.g., policy makers, operational staff of development organizations, development practitioners) and ensure effective delivery to these constituents. As it becomes



more evident that there are audiences for research products that have been overlooked in the past, the present distribution mechanisms have to be reviewed and redirected so that outreach is expanded and more relevant recipients/subscribers are communicated with and fostered by ADBI.

- (iii) Institute further improvements and changes in the electronic communications system of ADBI to support knowledge production and services in collaboration with the research and CBT departments. Improved targeting of electronic communications can make outreach and knowledge management more cost effective. Other means include closer monitoring of users, targeted invitations to the website, and regular quick electronic surveys.

## BASIC PROFILE OF THE ASIAN DEVELOPMENT BANK INSTITUTE

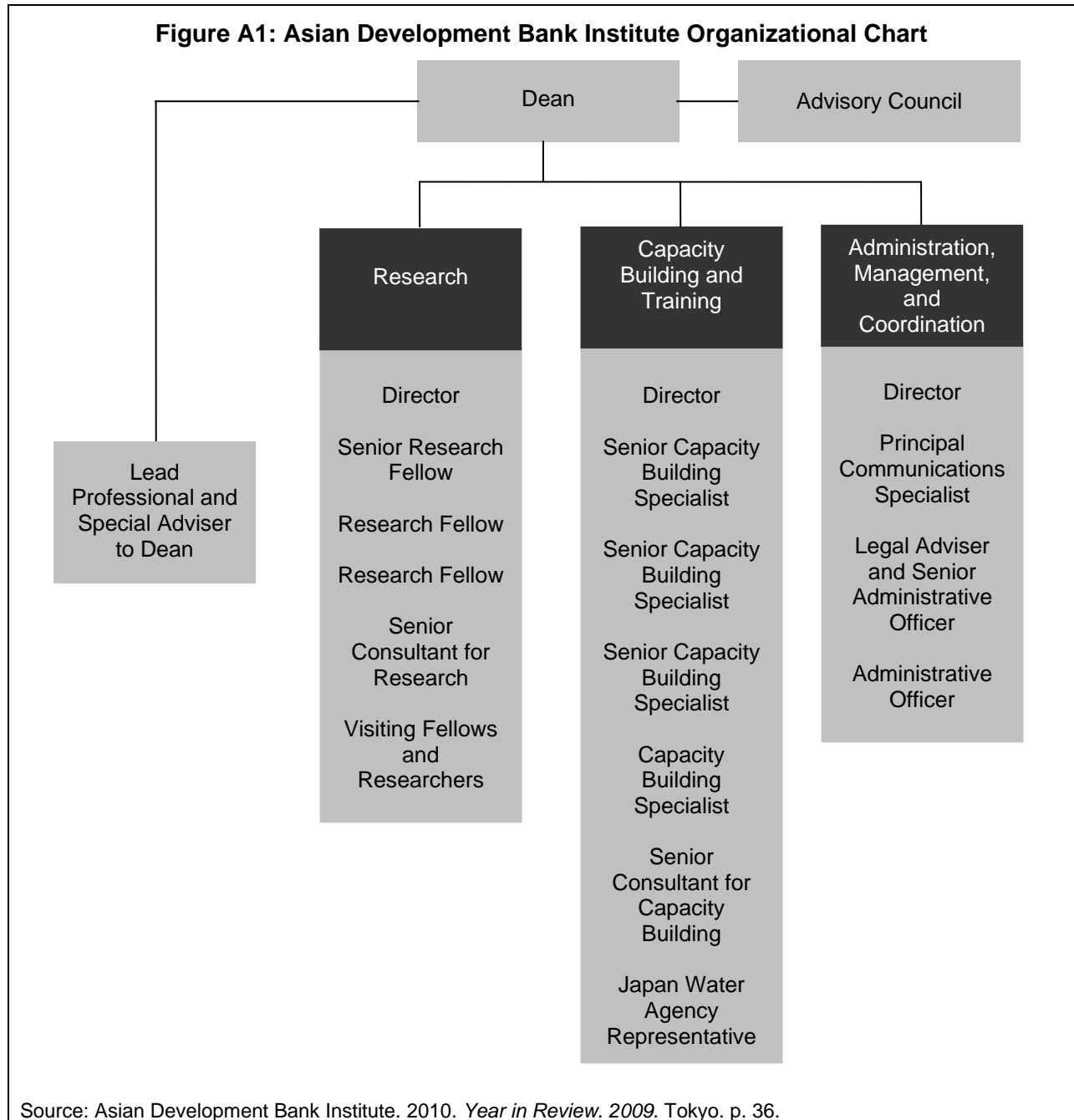
1. **Vision.** The Asian Development Bank Institute's (ADBI's) strategic vision is to become a leading center for the creation and sharing of knowledge on economic development in the Asia and Pacific region. It will achieve this vision by (i) conducting research and capacity building and training (CBT) activities that contribute to the Asian Development Bank's (ADB) overarching objective of poverty reduction, and (ii) looking ahead to the next 10–20 years and focusing on the region's medium- to long-term development issues of strategic importance.
2. **Inauguration.** The ADB Board of Directors approved the establishment of ADBI on 24 September 1996. ADBI was officially inaugurated in Tokyo, Japan on 10 December 1997.
3. **Objectives.** The objectives of ADBI as identified in the ADBI Statute are "to identify effective development strategies and to improve the capacity for sound development of the agencies and organizations" in ADB's developing member countries (DMCs).
4. **Functions.** To accomplish its objectives, ADBI has the following functions (Article III, Statute):<sup>1</sup>
  - (i) organization and conduct of training programs, seminars, conferences, and lectures in development policy and management for middle to top level policymakers and officials of public, private, and other entities engaged in development work in the DMCs of the ADB;
  - (ii) conduct of research on development issues with strategic implications for development thinking and policy formulation, including identification and distillation of best practices, and production of learning methods and materials related thereto;
  - (iii) dissemination of the results of such research, training, seminars, and conferences through various types of media and publications;
  - (iv) provision of assistance to ADB staff, as may be requested, on such matters related to development policy and management, capacity building and good governance; and
  - (v) such other functions which advance the objectives of ADBI as may be approved from time to time by ADB's Board of Directors.
5. **Strategy and result framework.** The strategic focus is to ensure the quality (rather than the quantity), relevance, and impact of ADBI activities. However, no results framework or design and monitoring framework has been prepared except for one strategy paper prepared for 1998–2000 and some description in a few paragraphs in ADBI's 3-year rolling work program and ADBI's year-in-review publication.<sup>2</sup>
6. **Priority areas and themes.** In 2008, ADBI aligned its strategic focus with ADB's *Strategy 2020*<sup>3</sup> by adopting three priority themes: inclusive and sustainable growth, regional cooperation and integration, and governance for policies and institutions. In addition, ADBI continues to conduct projects with crosscutting themes (e.g., infrastructure and regional cooperation, global financial crisis, and private sector issues).

<sup>1</sup> ADB. 1996. *Establishment of the Asian Development Bank Institute. Appendix 1: Statute of the Asian Development Bank Institute*. Manila; and ADBI. 2004. *Statute of the ADB Institute (Revision)*. Tokyo.

<sup>2</sup> ADB. 1998. *Strategic Directions of the Asian Development Bank Institute for 1998–2000*. Manila.

<sup>3</sup> ADB. 2008. *Strategy 2020: The Long-Term Strategic Framework of the Asian Development Bank, 2008–2020*. Manila.

7. **Organizational chart.** ADBI (as of end-2009) comprises the dean and special adviser to the dean; advisory council; visiting fellows and researchers; and the departments of research; CBT; and administration, management, and coordination as shown in Figure A1.<sup>4</sup>



8. **Deans and advisory council members.** ADBI’s deans and advisory council members since its inauguration in December 1997 are in Table A1.

<sup>4</sup> In addition, ADBI has on-site and off-site consultants, supporting staff, research and CBT associates, and interns.

**Table A1: Deans and Advisory Council Members  
of the Asian Development Bank Institute**

<b>Deans, 1997 to 2009</b>				
<b>Dean</b>	<b>Tenure</b>			<b>Nationality</b>
Masahiro Kawai	January 2007 to Present			Japan
Peter McCawley	January 2003–January 2007			Australia
Masaru Yoshitomi	January 1999–January 2003			Japan
Jesus Estanislao	December 1997–January 2003			Philippines
<b>Advisory Council Members, 1998 to end-2009</b>				
<b>Period</b>	<b>Regional Borrowing Member Countries</b>	<b>Regional Nonborrowing Member Countries</b>	<b>Nonregional Nonborrowing Member Countries</b>	<b>ADB</b>
2008–2010	K.M. Chandrasekhar (India) Gang Fan (PRC)	Masahiro Aoki (Japan) Andrew Macintyre (Australia)	Victor H. Frank, Jr. (US) Eric Girardin (France)	Jong-Wha Lee Chief Economist
2006–2008	Li Yong (PRC) Ajit K. Jain (India)	Masahiko Aoki (Japan) Andrew Macintyre (Australia)	Victor H. Frank, Jr. (US) Eric Girardin (France)	Ifzal Ali Chief Economist
2004–2006	Li Yong (PRC) Corattiyil Ramachandra (India)	Masahiko Aoki (Japan) Kanit Sangsupan (Thailand)	William P. Fuller (US) Eric Girardin (France)	Ifzal Ali Chief Economist
2002–2004	N.C. Saxena (India) Zhang Xiaoqiang (PRC)	Yujiro Hayami (Japan) Ronald Charles Duncan (Australia)	William P. Fuller (US) Magnus Blomstrom (Sweden)	Ifzal Ali Chief Economist
2000–2002	Y. Venugopal Reddy (India) Zhang Xiaoqiang (PRC)	Yujiro Hayami (Japan) Ronald Charles Duncan (Australia)	William P. Fuller (US) Magnus Blomstrom (Sweden)	Arvind Panagariya Chief Economist
1998–2000	Justin Yifu Lin (PRC) Chandi Chanmugam (Sri Lanka)	Yonosuke Hara (Japan) Helen Hughes (Australia)	Jeffrey R. Shafer (US) Fabrizio Onida (Italy)	Jungsoo Lee Chief Economist

ADB = Asian Development Bank, PRC = People's Republic of China, US = United States.

Source: Asian Development Bank Institute. 2010. *Year in Review. 2009*. Tokyo. p. 37.

## EXAMPLES OF EQUIVALENT KNOWLEDGE AND LEARNING INSTITUTES

Name	Mission/Objectives	Activities	Governance	Stakeholders	Key Programs
<b>Japan-Based Research Institutions</b>					
Financial Services Agency (FSA)	<ul style="list-style-type: none"> <li>To ensure qualitative repletion of Japan's financial system by adjusting the practical measures of financial regulation and supervision to finance-related environmental changes, including technological innovation and globalization in the financial system</li> </ul>	<ul style="list-style-type: none"> <li>Planning and policymaking concerning the financial system</li> <li>Inspection and supervision of private sector financial institutions, including banks, insurance companies, and financial instrument business operators, as well as market participants, including exchanges</li> <li>Participation in activities of international organizations and bilateral and multilateral fora on financial issues to develop internationally consistent financial administration</li> </ul>	<ul style="list-style-type: none"> <li>FSA is the external organ of Japan's Cabinet Office. It also took over the business concerning disposition of failed financial institutions.</li> </ul>	<ul style="list-style-type: none"> <li>Financial institutions, auditing firms, Japanese Institute of Certified Public Accountants, Securities and Exchange Surveillance Commission</li> </ul>	<ul style="list-style-type: none"> <li>Stable and dynamic financial system, development of efficient and fair financial markets, and coordination of administrative activities of FSA</li> <li>Creation of a vibrant financial system through inspections for the benefit of public users</li> <li>Supervisory administration focusing on the principle of self-responsibility and market discipline</li> </ul>
Foundation for Advanced Studies on International Development (FASID)	<ul style="list-style-type: none"> <li>To conduct education and training of a new generation of Japanese development professionals, and to do research on international development</li> </ul>	<ul style="list-style-type: none"> <li>Implements new programs that support graduate school education, including support for new courses aimed at qualitative improvements in practical education and fieldwork support, which is important for enhancing skills for on-site problem solving in developing countries</li> </ul>	<ul style="list-style-type: none"> <li>Established as a nonprofit organization with legal status accorded jointly by the Ministry of Foreign Affairs and the then Ministry of Education, Science and Culture</li> </ul>	<ul style="list-style-type: none"> <li>Active support and cooperation by the then Japan Federation of Economic Organizations</li> <li>Ministry of Foreign Affairs</li> <li>Then Ministry of Education, Science, and Culture</li> <li>Research institutes and think tanks</li> </ul>	<ul style="list-style-type: none"> <li>FASID Leadership Academy as part of first-year program</li> <li>FASID and National Graduate Institute for Policy Studies commenced the Joint Graduate Program on International Development Studies</li> <li>Certified courses on project management cycle</li> </ul>
Japan International Cooperation Agency (JICA) Research Institute	<ul style="list-style-type: none"> <li>To conduct policy-oriented, academically solid studies that address the important issues faced by developing countries</li> </ul>	<ul style="list-style-type: none"> <li>Four fundamental policies that will foster comprehensive studies based on theoretical and empirical knowledge as well as field-based experience and data: (i) incorporating a comprehensive perspective, (ii) integrating past and future, (iii) unraveling the</li> </ul>	<ul style="list-style-type: none"> <li>Established on 1 October 2008, it supersedes and strengthens the research capabilities of the former JICA and the Japan Bank for International Cooperation.</li> </ul>	<ul style="list-style-type: none"> <li>A variety of organizations and groups, including governments as well as international organizations, nongovernment organizations (NGOs), and private companies</li> </ul>	<ul style="list-style-type: none"> <li>Focus on four research areas: peace and development, growth and poverty reduction, environment and climate change and aid strategies</li> </ul>

Name	Mission/Objectives	Activities	Governance	Stakeholders	Key Programs
		East Asia experience, and (iv) engaging in open activities and collaboration with the international community			
Policy Research Institute (PRI)	<ul style="list-style-type: none"> <li>To conduct comprehensive surveys and studies with a greater policy-oriented focus, amid the big socioeconomic changes under way in Japan, such as the globalization and liberalization of the economy in recent years and the rapid advancement of the falling birthrate and the aging of the population</li> </ul>	<ul style="list-style-type: none"> <li>Organize research committees of scholars and economists that conduct theoretical studies of fiscal and economic issues from a medium- or long-term perspective that are compiled into reports and publicized.</li> <li>Hold international conferences and symposia to exchange views with Japanese as well as foreign scholars and economists on important fiscal and economic issues.</li> <li>Assist fiscal and economic reforms in transition economies and other developing countries.</li> <li>Build a human network, along with transferring Japan's knowledge and experience.</li> </ul>	<ul style="list-style-type: none"> <li>PRI was originally the Institute of Fiscal and Monetary Policy (established in May 1985) under the Ministry of Finance.</li> </ul>	<ul style="list-style-type: none"> <li>Work with international financial institutions to jointly organize international conferences.</li> <li>Accept foreign researchers specializing in Japanese fiscal policy and the Japanese economy, and provide them with support in their investigations and research.</li> </ul>	<ul style="list-style-type: none"> <li>Provide the staff of the Ministry of Finance, local finance bureaus, and local finance offices with a variety of training courses.</li> <li>Conduct about 40 courses annually.</li> </ul>
Research Institute of Economy, Trade, and Industry (RIETI)	<ul style="list-style-type: none"> <li>To undertake public policy studies that will efficiently and effectively provide the government with a theoretical backbone and knowledge network by utilizing its personnel and budgetary flexibility</li> </ul>	<ul style="list-style-type: none"> <li>Conduct research and studies on economic and industrial conditions as well as relevant policies both within Japan and abroad.</li> <li>Seek to influence policy making by providing its research results and proposals for policy debates and policy making processes.</li> <li>Offer a reliable system for accessing and collecting information necessary for</li> </ul>	<ul style="list-style-type: none"> <li>An incorporated administrative agency with noncivil servant status was established on 1 April 2001 as a new platform to bring about creative and innovative policy debates based on world-class research, analysis, and policy studies</li> </ul>	<ul style="list-style-type: none"> <li>Universities, government agencies, ministries, and other organizations in Japan</li> </ul>	<ul style="list-style-type: none"> <li>Innovative studies that would not otherwise come into the government's scope of ideas or have yet to be taken up by the government with a view to mid- and long-term economic system reform as well as introducing new policies</li> <li>Provide a theoretical and analytical foundation for improving or abolishing inefficient policies; RIETI's</li> </ul>

Name	Mission/Objectives	Activities	Governance	Stakeholders	Key Programs
		policy studies and policy proposals.	from mid- and long-term strategic perspectives.		work has an impact on influential commentaries, reviews, and policy debates among experts.
<b>Multilateral Development Banks</b>					
African Development Institute (ADI)	<ul style="list-style-type: none"> <li>To contribute to efforts at building sustainable capacity for development effectiveness in the African Development Bank's (AfDB) regional member countries</li> <li>To improve the capacity of AfDB's regional member countries to enable them to respond to development challenges, while enhancing the quality of its project portfolio</li> </ul>	<ul style="list-style-type: none"> <li>Training and other capacity development activities to support the effectiveness of AfDB-financed operations, the design and implementation policies for long-term economic growth and competitiveness, and the strengthening of national and regional development institutions on the continent</li> <li>Twenty training sessions each year across the continent</li> </ul>	<ul style="list-style-type: none"> <li>ADI is part of the AfDB group.</li> </ul>	<ul style="list-style-type: none"> <li>Partners: the Joint African Institute, a tripartite institution funded by AfDB, the International Monetary Fund (IMF), and the World Bank</li> <li>Donors, development agencies, training institutes, universities, and private sector organizations within and outside the continent</li> </ul>	<ul style="list-style-type: none"> <li>Workshops to familiarize project staff and civil servants of concerned ministries with AfDB procurement, disbursement, and audit procedures</li> <li>Focus on sector issues such as rural development, integrated water management, poverty reduction strategy, private sector development, regional integration, and governance</li> </ul>
Institute for the Integration of Latin America and the Caribbean (INTAL)	<ul style="list-style-type: none"> <li>To promote and consolidate Latin American and Caribbean integration at the sub-regional, regional, inter-regional, hemispheric, and international levels</li> </ul>	<ul style="list-style-type: none"> <li>Capacity building in trade and integration</li> <li>Support to research networks for sustaining policy reforms to reinforce the efficiency of research centers and individual experts, thus facilitating decision making on integration and trade-related issues</li> </ul>	<ul style="list-style-type: none"> <li>A unit of the Inter-American Development Bank (IDB)</li> </ul>	<ul style="list-style-type: none"> <li>Since 2001, INTAL has hosted the Technical Coordination Committee Secretariat of the Initiative for Regional Infrastructure Integration in South America project. This Committee is made up of IDB, the Andean Development Corporation, and the Financial Fund for the Development of the River Plate Basin.</li> </ul>	<ul style="list-style-type: none"> <li>Programs focusing on trade issues, regional integration and cooperation, technical assistance, specially directed to institutional strengthening and dialogue with civil society, including the private sector</li> </ul>
Inter-American Institute for Economic and Social Development (INDES)	<ul style="list-style-type: none"> <li>To provide training for government officials and public sector managers and other persons involved in the design, execution, and evaluation of social policies and programs, with the goal of</li> </ul>	<ul style="list-style-type: none"> <li>INDES designs and implements training programs for IDB staff and partner institutions in borrowing member countries</li> <li>Face-to-face, e-learning courses, and self-tutorials, among other knowledge and training products</li> </ul>	<ul style="list-style-type: none"> <li>Positioned itself as a leader in training professionals in development topics in Latin America and the Caribbean, capitalizing on the knowledge and experience of IDB</li> </ul>	<ul style="list-style-type: none"> <li>Collaboration among universities, think tanks, and research consulting firms</li> </ul>	<ul style="list-style-type: none"> <li>Programs focusing on public sector management, private sector development, and key socioeconomic development issues in Latin America and the Caribbean</li> </ul>

Name	Mission/Objectives	Activities	Governance	Stakeholders	Key Programs
	improving their efficiency and effectiveness for poverty reduction		in the region		
International Monetary Fund Institute (IMFI)	<ul style="list-style-type: none"> <li>To provide training in economic management to officials of IMF's member countries</li> </ul>	<ul style="list-style-type: none"> <li>Deliver training courses at IMF headquarters in Washington, DC through seven IMF regional training centers.</li> <li>Offer lecturing assistance to other training institutions and administer a scholarship program for PhD students in economics</li> <li>Keep IMF staff informed on current issues and developments through IMFI's Internal Economics Training Program</li> </ul>	<ul style="list-style-type: none"> <li>The IMFI is part of IMF Group.</li> </ul>	<ul style="list-style-type: none"> <li>In Asia, IMFI collaborates with and offers lecturing assistance to the Southeast Asian Central Banks Research and Training Center. IMFI also collaborates with the Japan Center for International Finance and the World Bank in arranging training activities in Asia.</li> </ul>	<ul style="list-style-type: none"> <li>Distance learning courses in financial programming and policies for officials who are unable to attend long courses overseas</li> <li>IMFI's Internal Economics Training Program consists of topics in econometrics, economic theory, finance, monetary and exchange rate policy, open-economy macroeconomics, political economy, public economics, and trade. The range of topics covered has broadened significantly in recent years, reflecting the increasingly complex and rapidly evolving environment.</li> </ul>
World Bank Institute (WBI)	<ul style="list-style-type: none"> <li>To be a global facilitator of capacity development for poverty reduction, helping leaders, institutions, and coalitions address their capacity constraints to achieving development results</li> </ul>	<ul style="list-style-type: none"> <li>Training courses and seminars since the 1950s, mostly for government officials in developing countries on such topics as macroeconomic policy, poverty reduction, health, education, and policy reform in other economic sectors</li> <li>The activities are now on a broader range of subjects aligned with the World Bank's regional and country development priorities</li> </ul>	<ul style="list-style-type: none"> <li>WBI is part of the World Bank Group as a principal provider of learning activities.</li> </ul>	<ul style="list-style-type: none"> <li>Aside from government officials of developing member countries (DMCs). WBI has expanded its audiences to include nonstate actors such as civil society organizations, the private sector, journalists, and parliamentarians.</li> <li>WBI has built partnerships with a wide range of organizations. It currently maintains more than 60 formal partnerships with groups that share WBI's mission, and it provides expertise, content, facilities,</li> </ul>	<ul style="list-style-type: none"> <li>WBI programs shifted their approach from direct or retail delivery of courses in overseas locations to working more with regional and national training institutes, think tanks, and universities to support in-country capacity-development programs, and to help build their capacity to build capacity.</li> </ul>



Name	Mission/Objectives	Activities	Governance	Stakeholders	Key Programs
				staffing, funding, and many other inputs to support joint capacity-building programs.	
<b>Regional Institutions</b>					
Economic Research Institute for ASEAN and East Asia (ERIA)	<ul style="list-style-type: none"> <li>To facilitate the Association of Southeast Asian Nations (ASEAN) Economic Community building</li> <li>To support ASEAN's role as the driver of wider economic integration and to foster the sense of community</li> </ul>	<ul style="list-style-type: none"> <li>Undertake research, policy analyses, and strategic planning; and provide policy recommendations and support to the Secretary-General of ASEAN in stepping up ASEAN's regional integration and cooperation efforts</li> <li>Provide a tripartite-type forum for policy dialogue and interactions among researchers, policymakers, and civil society</li> <li>Establish a common platform for economic studies in East Asia</li> <li>Improve policy research capacities, especially in the less developed countries</li> </ul>	<ul style="list-style-type: none"> <li>ERIA was established at the 3rd East Asia Summit in November 2007, with agreement by all the leaders at the 3rd East Asia Summit located at the ASEAN Secretariat.</li> <li>ERIA functions as an independent research institute but maintains and develops strong communication ties with policy-making processes. The results of its research works produce concrete and tangible policy recommendations that meet the needs of ministerial and national leaders.</li> </ul>	<ul style="list-style-type: none"> <li>ASEAN, Australia, People's Republic of China, India, Japan, Republic of Korea, and New Zealand</li> </ul>	<ul style="list-style-type: none"> <li>Research and capacity building programs in deepening integration, narrowing development gaps, and sustainable development</li> </ul>
Institute of Southeast Asian Studies (ISEAS)	<ul style="list-style-type: none"> <li>To nurture a community of scholars interested in the region and to engage in research on the multi-faceted dimensions and issues of stability and security; economic development; and political, social, and cultural change</li> </ul>	<ul style="list-style-type: none"> <li>Assist international, regional, and local scholars and other researchers in networking processes by serving as a center that provides a congenial and stimulating intellectual environment</li> <li>Seek to stimulate thinking on and exploring solutions to</li> </ul>	<ul style="list-style-type: none"> <li>ISEAS was established as an autonomous organization in 1968 and is a regional research center dedicated to the study of sociopolitical, security, and</li> </ul>	<ul style="list-style-type: none"> <li>ASEAN Study Centre, Singapore Association of Petroleum Exporting Countries Study Centre, Nalanda–Sriwijaya Centre, National University of Singapore, and a broad range of professional and civic organizations and groups</li> </ul>	<ul style="list-style-type: none"> <li>Conduct a range of research programs</li> <li>Hold conferences, workshops, lectures, and seminars</li> <li>Publish research journals and books</li> <li>Provide a range of research support facilities, including a large library</li> </ul>

Name	Mission/Objectives	Activities	Governance	Stakeholders	Key Programs
		<p>some of the major salient issues in the region</p>	<p>economic trends and developments in Southeast Asia and its wider geostrategic and economic environment.</p>	<p>in Singapore</p>	
<b>Bilateral Institutions</b>					
<p>International Development Research Centre (IDRC)</p>	<ul style="list-style-type: none"> <li>Empowerment through knowledge and promotion of research in developing countries, research by the people of those countries for the purpose of applying knowledge to the economic and social advancement of those regions</li> </ul>	<ul style="list-style-type: none"> <li>Fund applied research by researchers in developing countries on the problems they identify as crucial to their communities. Most supported projects result from direct exchanges between IDRC and developing-country institutions</li> <li>Provide expert advice to those researchers</li> <li>Build local capacity in developing countries to undertake research and innovate</li> </ul>	<ul style="list-style-type: none"> <li>Established as a Crown corporation with an innovative international dimension. The membership of the Board of Governors was an important part of IDRC's global scope, although the chair and 11 of the 21 members of the Board of Governors were to be Canadian</li> </ul>	<ul style="list-style-type: none"> <li>IDRC's main stakeholders are the Canadian government, research institutes, universities, civil society including NGOs, and the general public</li> </ul>	<ul style="list-style-type: none"> <li>Environment and natural resource management</li> <li>Information and communication technologies</li> <li>Development innovation, policy, and science</li> <li>Social and economic policy, including health</li> </ul>
<p>Overseas Development Institute (ODI)</p>	<ul style="list-style-type: none"> <li>To inspire and inform policy and practice which will lead to the reduction of poverty, the alleviation of suffering and the achievement of sustainable livelihoods in developing countries</li> </ul>	<ul style="list-style-type: none"> <li>ODI produces series ranging from blogs and short ODI opinion papers by experts on cutting-edge topics, to working papers on preliminary research results, and briefing papers on natural resource perspective that provide concise, policy-relevant research analysis.</li> <li>ODI also produces two international peer-reviewed journals: Development Policy Review and Disasters, and is starting to develop a range of video blogs and podcasts for online viewing and listening</li> </ul>	<ul style="list-style-type: none"> <li>An independent think tank in the United Kingdom (UK), supported by grants and donations from research foundations, international organizations, NGOs, and business</li> </ul>	<ul style="list-style-type: none"> <li>ODI's main stakeholders are the UK government, research institutes, universities, civil society including NGOs, and the general public.</li> </ul>	<ul style="list-style-type: none"> <li>ODI programs are responsible for delivering on their mission of "locking together high quality applied research, practical policy advice, and policy-focused dissemination and debate"</li> </ul>

## HIGHLIGHTS OF SELECTED KNOWLEDGE EVALUATION AND BIBLIOGRAPHY

### I. Highlights of Selected Knowledge Evaluation

#### A. Evaluation of Research Products

##### 1. Banerjee, Abhijit, et al. 2006. *An Evaluation of World Bank Research, 1998–2005*<sup>1</sup>

1. **Objective and scope.** The World Bank researchers and their consultants produced nearly 4,000 papers, books, and reports between 1998 and 2005. The World Bank researchers regularly publish in the leading academic journals in economics, and more extensively in the leading field journals in development. The Development Economics Group is also responsible for the annual *World Development Report*. It also publishes a large number of policy documents and reports that summarize the state of the art in various policy areas that are designed to communicate and disseminate research to policymakers and their advisors. The objective of the evaluation is to assess the quality of the World Bank research activities.

2. **Methodology.** This evaluation of the World Bank research between 1998 and 2005 was carried out by a panel consisting of Abhijit Banerjee (Massachusetts Institute of Technology), Angus Deaton (Princeton University, chair), Nora Lustig (United Nations Development Programme), and Kenneth Rogoff (Harvard University). The panel selected a large random sample of research projects, which were read and assessed by a team of 25 evaluators. Panel members also solicited views from current and past World Bank staff, as well as from policy makers and academics in developing countries.

3. **Main findings and/or recommendations.** The external panel view can be summarized as follows:

- (i) The World Bank needs a research department in that its research needs cannot be fully met by hiring consultants from the outside. Research is a central part of quality control in the World Bank and is crucial to its claim to be a “Knowledge Bank.” Without a research-based ability to learn from its projects and policies, the World Bank could not maintain its role as the world’s leading development agency. The 2.5% of its administrative budget that the World Bank spends on research is surely too low, given the multiplicity of tasks that research is expected to fulfill.
- (ii) The World Bank researchers have produced innovative and important new research that has maintained the World Bank’s position as the intellectual leader among development agencies. At the same time, they have provided extensive support to their colleagues in operations. Researchers in the World Bank’s research department devote 30% of their time to such operational “cross-support.”
- (iii) Data collection and dissemination is another area where the World Bank has many great achievements but there are also many problems. Data activities are organized haphazardly, whether in collection, archiving, or dissemination. The World Bank website is often of poor quality and difficult to use, not only for accessing data, but even for finding the relevant publications and reports. The World Bank has no coherent policy for data release. Too little has been done to build on the early success of the Living Standards Measurement Surveys to help

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<sup>1</sup> A. Banerjee, et al. 2006. *An Evaluation of World Bank Research, 1998–2005*. Washington, DC: The World Bank.

build internationally comparable data on such central topics as poverty or mortality.

**2. Office of Evaluation and Oversight, Inter-American Development Bank (IDB). 2006. *Evaluation of the IDB's Studies*<sup>2</sup>**

4. **Objective and scope.** The objective of the evaluation was to assess IDB's efforts in the production, storage, dissemination, and utilization of studies.

5. **Methodology.** This evaluation used several methodologies to collect evidence, including desk reviews of the contents of relevant World Bank information systems and budgets; hiring an independent panel to rate the quality of a sample of IDB studies; a project team leader survey; an author survey; structured interviews of other stakeholders throughout IDB; and analysis of IDB web logs, IDB documents, and citations of IDB studies. The main body of this evaluation aggregates the findings for each topic across all relevant methods.

6. **Main findings and/or recommendations.** This evaluation came up with the following findings/recommendations:

- (i) **Production.** (a) Quality control processes should be formalized to ensure that the conclusion of studies is based on clearly cited evidence and replicable methods; (b) Incentives for the production of quality studies should be improved.
- (ii) **Storage and dissemination.** (a) IDB should ensure compliance with storing all studies it produces in its information systems (for all sets of studies, for users in both headquarters and the country offices). (b) IDB should upload its entire stock of past studies that it has in electronic form (during spring cleaning week). IDB should explore the possibility of scanning its stock of paper studies. Studies should not be sent to be destroyed. IDB also should integrate the systems that store the studies of all departments and each country office. (c) To comply with its information disclosure policy, IDB should ensure that all studies are posted on the Internet, barring a compelling reason for confidentiality. (d) IDB should standardize its web pages.
- (iii) **Utilization.** IDB should be interested in how its studies are being used, and how this utilization leads to development results.

**3. International Monetary Fund (IMF). 2000. *External Evaluation of IMF Economic Research Activities (Report by a Group of Independent Experts)*<sup>3</sup>**

7. **Objective and scope.** The objective of the evaluation was to assess whether economic research in IMF contributes successfully to the achievement of IMF's objectives. The evaluation assessed the appropriateness of the scale and organization of research activities, the way in which the level of resources was chosen, and how they related to the overall work of IMF. It also assessed the quality and the added value of different aspects of IMF's economic research and appraised its utility in the Fund among its member countries, and within the wider economics community.

- **Methodology.** A committee of external consultants was hired. The committee interviewed a wide range of people, both inside and outside IMF covering a wide spectrum of all interests to canvass their opinions on IMF research. The committee also

<sup>2</sup> Office of Evaluation and Oversight, Inter-American Development Bank (IDB). 2006. *Evaluation of the IDB's Studies (RE-323)*. Washington, DC: IDB.

<sup>3</sup> IMF. 2000. *External Evaluation of IMF Economic Research Activities*. Report by a Group of Independent Experts.

collated a list of IMF's research output (1995–1998) and reviewed samples of the output for quality and relevance.

8. **Main findings and/or recommendations.** Although IMF produces some excellent research products, there is substantial room for improvement in the overall quality of its research. This evaluation came up with the following findings/recommendations:

- (i) need for a stronger coordinating mechanism to identify a research strategy and choose priority research projects;
- (ii) need for greater communication about ongoing or planned research projects and the need to enhance incentives to conduct high-quality research by creating an internal competition for resources for research products requiring additional resources;
- (iii) need to increase staff interaction with the outside world by providing additional resources for conference participation, to improve the visiting scholars program by increasing transparency, and to allow reallocation of resources to enhance collaboration between IMF staff and outside consultants;
- (iv) need for a different mix of research output such as topics on developing and transition country research for those countries for which there is a lack of good outside work and cross-country research;
- (v) need to improve collaboration among departments and increase incentives for researchers in functional departments to be involved in the policy development process;
- (vi) need to increase accountability of staff involved in research, motivate them, and provide learning experiences for them;
- (vii) need to ensure that the leader of the Research Department creates a culture that supports policy foundation and policy development research and engages the department in the policy development process;
- (viii) need to improve the performance evaluation system and raise the accountability of staff; and
- (ix) need to redesign the review process both to increase the effectiveness of researchers in this process and to make it more efficient.

## B. Evaluation of Capacity Development Activities

### 1. **Independent Evaluation Group (IEG), World Bank. 2008. *Using Training to Build Capacity for Development: An Evaluation of the World Bank's Project-Based and WBI Training***<sup>4</sup>

9. **Objective and scope.** The evaluation covered project-financed and World Bank Institute (WBI) client-training programs undertaken during FY1995–2006. It defined “client training” as including all World Bank support for training national stakeholders of developing countries when the activity has the following characteristics: (i) specific learning objectives, (ii) a scheduled activity that occurs in a setting other than where the knowledge will be applied, and (iii) an activity conducted by trainers or facilitators. The evaluation focused on client training undertaken at the country level. It excluded training of World Bank staff and of borrower officials to enable implementation of World Bank operations, for example, procurement training for staff in project management units.

<sup>4</sup> IEG, World Bank. 2008. *Using Training to Build Capacity for Development: An Evaluation of the World Bank's Project-Based and WBI Training*. Washington, DC: The World Bank.

10. **Methodology.** The evaluation used a wide range of methods to assess the efficacy of World Bank-financed client training as follows: field reviews, portfolio review, literature review, benchmarking review, six-country survey of training participants, survey of World Bank task team leaders, and survey of WBI-partner training institutes.

11. **Main findings and/or recommendations.** The World Bank can enhance the vital contribution of training to client capacity building by ensuring that the training (i) is linked to the World Bank's support for development objectives in client countries, (ii) is embedded within broader capacity-building strategies that provide complementary support for the implementation of learning, and (iii) conforms with best practice in training design. The following three recommendations are intended to lead to this outcome:

- (i) The World Bank needs to develop guidance and quality criteria for the design and implementation of training, to enable quality assurance and monitoring and evaluation of all its training support. This guidance should be applied to all training financed by the World Bank, including training that is directly provided by units such as WBI.
- (ii) The World Bank could improve the quality and impact of training by making available to its regional staff and borrowers, resource persons with technical expertise in the design, implementation, and monitoring and evaluation of training.
- (iii) Management must clarify WBI's mandate on provision of training with capacity-building goals. If WBI is to play a capacity-building role in client countries, its training processes should be substantially reengineered to ensure that training is likely to contribute to sustainable change.

**2. Operations Evaluation Department (OED), World Bank. 2005. *Capacity Building in Africa: An OED Evaluation of World Bank Support*<sup>5</sup>**

12. **Objective and scope.** This evaluation assessed the relevance and effectiveness of World Bank support for public sector capacity building in Africa over the 10 years from 1995 to 2004.

13. **Methodology.** The evaluation drew on studies of Benin, Ethiopia, Ghana, Malawi, Mali, and Mozambique; aggregate assessments of country strategies and operations across the World Bank's Africa Region; and reviews of three corporate and regional programs dedicated to capacity building—WBI, the Institutional Development Fund, and the World Bank-supported African Capacity Building Foundation.

14. **Key findings/recommendations.** Key findings include the following: (i) recent changes in approach had made World Bank support more relevant, (ii) most capacity support remained fragmented, (iii) sector-specific capacity-building approaches needed strengthening, (iv) tools and instruments could be more effectively and fully utilized, and (v) quality assurance was inadequate.

15. Recommendations are as follows:

- (i) The World Bank, at the corporate level, should strengthen its knowledge base and amplify its framework for public sector capacity building to better help countries (a) prioritize capacity-building activities and guide external support; (b) link institutional, organizational, and human capacity developments; and (c)

<sup>5</sup> OED, World Bank. 2005. *Capacity Building in Africa: An OED Evaluation of World Bank Support*. Washington, DC.

transform traditional capacity-building tools to improve results. It should also ensure that guidelines and processes are in place for self- and independent evaluation of World Bank capacity-building interventions.

- (ii) Sector and thematic leadership should develop sector-specific guidance on diagnosing public sector capacity needs and ways of monitoring and evaluating interventions.
- (iii) Regional senior management should ensure that country assistance strategies are used effectively to help countries identify and strengthen the capacities they need to plan, implement, and measure the results of their poverty reduction strategies. They should also ensure that all operations that aim to build public sector capacity are based on adequate assessments of capacity needs and have ways to monitor and evaluate results.
- (iv) The World Bank should reassess what role training should play in its capacity-building support, how it should be provided, and what should be the respective roles of a central training unit and regional programs in any future support for this activity.

### 3. **Operations Evaluation Department, African Development Bank (AfDB). 2008. *Evaluation of the Joint Africa Institute (JAI)***<sup>6</sup>

16. **Objective and scope.** The objective of the evaluation was to assess the performance of JAI in terms of its relevance, efficiency, effectiveness, and impact in delivering policy-related training services and its contribution to building the capacity of African institutions. The assessment was an input to the decisions about the future of JAI and future capacity-building initiatives.

17. **Methodology.** The evaluation was based on a review of the available documents relating to the establishment and management of JAI, an examination of a small sample of course materials used in JAI training events, interviews with key personnel involved in JAI, and survey materials relating to past training.

18. **Main findings and/or recommendations.** This evaluation came up with the following findings/recommendations:

- (i) To be relevant and effective and to have an impact, training has to be incorporated into the wider context of capacity building. A results-chain approach has to be adopted under which development objectives are defined and prioritized and clear needs assessments are elaborated.
- (ii) To be efficient and effective, records have to be kept in a manner that facilitates accessibility and that supports an effective monitoring, evaluation, and feedback mechanism.
- (iii) Where partnerships are established, there must be a clear agreement from the outset on the objectives of the partnership. Furthermore, there needs to be a degree of autonomy and flexibility—both financial and managerial—to allow the partnership to realize its potential to be greater than the sum of the individual partners' inputs.
- (iv) It was strongly recommended that AfDB formulate a clear and comprehensive policy on capacity building (including training) before it developed further training activities. This should link capacity-building priorities with explicit development objectives to ensure that training does not become an end in itself.

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<sup>6</sup> Operations Evaluation Department, African Development Bank. 2008. *Evaluation of the Joint Africa Institute (JAI)*.

- (v) It was recommended that over the next 12 months AfDB, in collaboration with the two partner institutions, should seriously consider options for JAI to include (a) careful consideration of the plans for JAI to be integrated with the African Development Institute in 2010 and achieving greater clarity as to what this would involve in both organizational and financial terms, (b) assessing the viability of a relaunched JAI with much greater autonomy to develop its own character, and (c) clearly analyzing the costs and benefits of closing JAI at the end of 2009, with a view to maximizing potential gains and managing any negative consequences.

## C. Evaluation of Knowledge Management and Sharing

### 1. OED, World Bank. 2003. *Sharing Knowledge: Innovations and Remaining Challenges*<sup>7</sup>

19. **Objective and scope.** In 1996, the World Bank made a commitment to become a global knowledge bank. Since FY1997, the World Bank has spent some \$220 million for corporate, network, and regional knowledge-sharing activities and more than \$60 million for its three main global knowledge initiatives, the Development Gateway, the Global Development Learning Network (GDLN), and the Global Development Network (GDN). This evaluation examined the relevance of that strategy and the institutional infrastructure put in place to implement it. It also reviewed the effectiveness of the strategy's three main areas of innovation: (i) network and regional internal knowledge-sharing activities among the World Bank staff; (ii) regional and country external knowledge sharing with clients; and (iii) the three Bank-supported global knowledge initiatives that have the broadest knowledge-sharing scope—the Development Gateway, the GDLN, and the GDN.

20. **Methodology.** The evaluation framework used the characteristics of strategic alignment, quality of shared knowledge, accessibility, and operational usefulness to measure the World Bank's knowledge initiative against the standard OED evaluation criteria of relevance, efficacy, efficiency, and adequacy. The review used several approaches: review of the literature on knowledge management and transfer; desk reviews of relevant World Bank policy and strategy documents and program reports; surveys of 15 network advisory services and 28 thematic group leaders; structured interviews of 25 task team members to obtain information on the actual use of various knowledge-sharing activities, and the extent of knowledge capacity building as an explicit project objective; more than 30 additional interviews with World Bank management and staff; expert reviews of the degree of innovation, quality, and relevance of the World Bank's knowledge and knowledge-sharing efforts in four issue areas—education, power, water, and public expenditure management; reviews of GDLN and the Development Gateway; and a survey of the views of officials, academics, nongovernment organizations, journalists, and representatives from the private sector.

21. **Main findings and/or recommendations.** The World Bank had made good progress in establishing tools and activities to support its initiative, but it had not established adequate business processes and management responsibilities for achieving the strategic intent of making knowledge sharing a way of doing business and empowering clients. This review recommended that the World Bank take three sets of actions:

- (i) Management should exercise more strategic direction and oversight over the World Bank's knowledge processes.

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<sup>7</sup> OED, World Bank. 2003. *Sharing Knowledge: Innovations and Remaining Challenges*. Washington, DC.



- (ii) Network and regional units should tightly link their knowledge-sharing activities to lending and nonlending processes.
- (iii) Vice-presidential units should set monitorable outcome objectives and supporting performance indicators for their respective knowledge-sharing programs and activities.

**2. IEG, World Bank. 2008. *Using Knowledge to Improve Development Effectiveness: An Evaluation of World Bank Economic and Sector Work and Technical Assistance, 2000–2006*<sup>8</sup>**

22. **Objective and scope.** This evaluation focused on two of the analytical and advisory activities through which the World Bank provides knowledge to its client countries: economic and sector work (ESW) and nonlending technical assistance (TA). The objectives of ESW are to inform lending, inform government policy, build client capacity, stimulate public debate, and influence the development community. The objectives of TA are to assist in policy implementation, strengthen institutions, and facilitate knowledge exchange. ESW and TA are essential parts of the World Bank's engagement with its clients—it spent \$910 million (26% of its spending on country services) on these products during fiscal 2000–2006.

23. **Methodology.** Twelve countries were selected for in-depth reviews. In-depth reviews entailed structured interviews of World Bank staff, World Bank management, and in-country stakeholders in the field (government officials and representatives from the private sector, civil society, academia, the media, and the legislature). The structured interviews sought stakeholder views (with quantitative ratings) on various dimensions of a portfolio of World Bank ESW and TA and the extent to which these tasks met various objectives (lending, policy, institution and capacity building, public debate, donor activities, and knowledge exchange). The interviews also sought the views of stakeholders on the relative importance (with rankings) of the following for the country concerned: (i) the different World Bank instruments (lending and nonlending), (ii) the different types of World Bank ESW and TA, and (iii) the various dimensions of ESW and TA. The country reviews also included desk reviews of ESW, documents on TA and loans, country assistance strategies, and poverty-reduction strategies.

24. **Main findings and/or recommendations.** The majority of ESW and TA met their objectives at least to an average extent during FY2000–2006. Between 65% and 80% of users of ESW and TA in client countries and between 74% and 87% of users within the World Bank gave ratings of average and above when asked to what extent these products met their stated objectives. There were substantial differences in ratings across countries and tasks, some of the reasons for which are as follows: (i) the technical quality of ESW and TA influenced their effectiveness; (ii) close collaboration with clients was important for ESW and TA to be effective; (iii) sustained follow-up after the completion of the tasks, rather than just dissemination, was important for effectiveness; (iv) whether clients requested the tasks or not did not matter for their effectiveness, although tasks not requested by clients needed to be tailored to client needs and interests to be effective; and (v) ESW and TA were less effective in countries where government capacity was lower.

25. Five recommendations to obtain even better results from ESW and TA were to
- (i) reinvigorate the mandate for country teams to maintain a strong knowledge base on countries and sectors where the World Bank is providing or planning to provide funds;

<sup>8</sup> IEG. 2008. *Using Knowledge to Improve Development Effectiveness: An Evaluation of World Bank Economic and Sector Work and Technical Assistance, 2000–2006*. Washington, DC: The World Bank.

- (ii) ensure that ESW tasks in International Development Association countries are adequately resourced;
- (iii) enhance institutional arrangements for ESW and TA by ensuring substantive task team presence in country offices to facilitate closer client collaboration, and including a clear strategy for ESW and TA dissemination and follow up at the concept paper stage;
- (iv) recognize, receive, and build on client preferences and feedback to counterbalance current World Bank incentives for lending over nonlending and ESW over TA; and
- (v) take the results tracking framework for ESW and TA more seriously, including by incorporating systematic client feedback.

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## EVALUATION METHODOLOGY

### A. Introduction

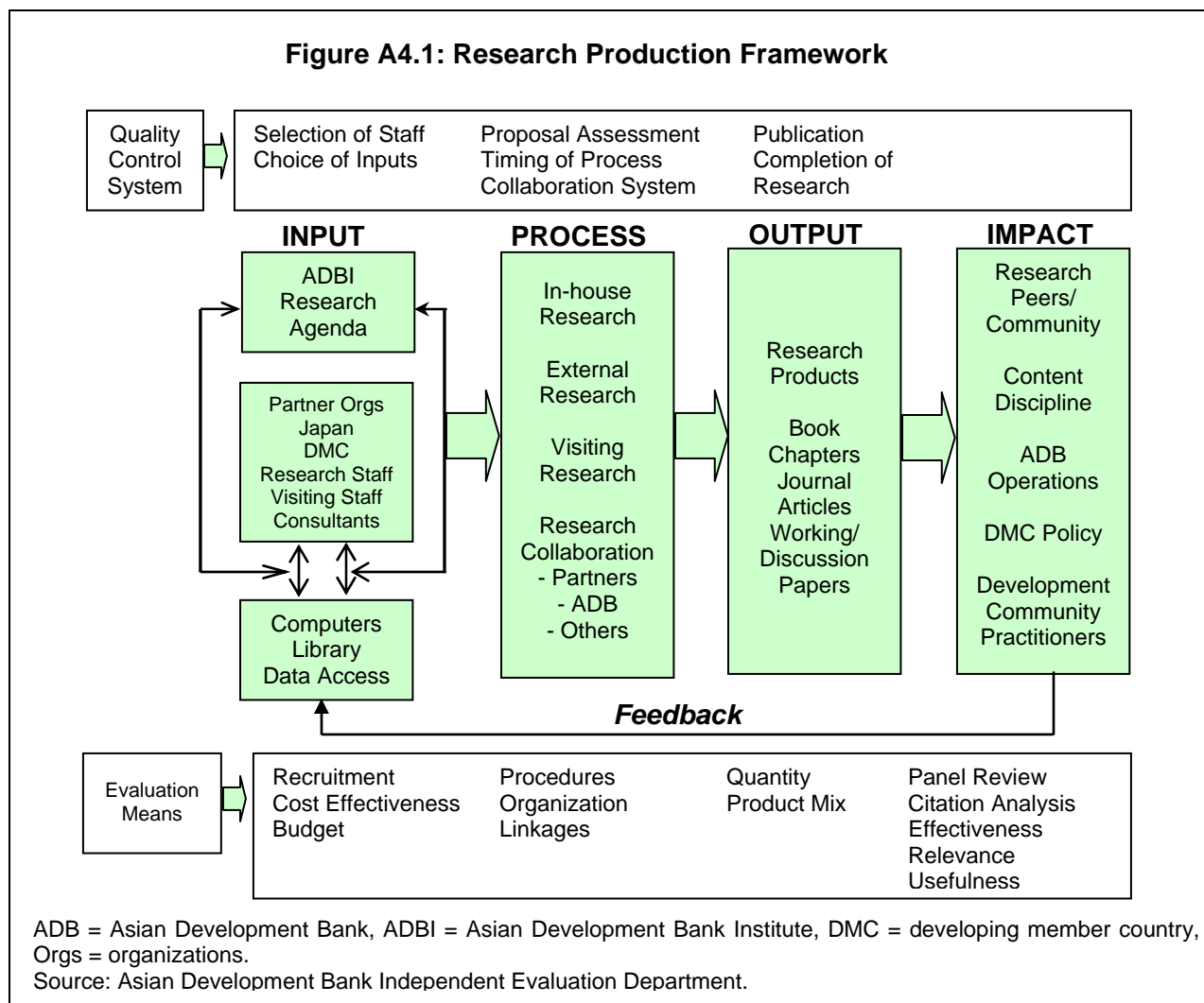
1. The special evaluation study (SES) covered the three key knowledge products and services of the Asian Development Bank Institute (ADBI) from December 1997 to December 2009: (i) research, (ii) capacity building and training (CBT), and (iii) outreach and knowledge management program. The SES is intended to evaluate the performance of ADBI, focusing on its knowledge products and services. The SES has the following limitations: (i) the SES is not intended to evaluate the governance and management of ADBI; (ii) the SES was not able to assess ADBI's impact in light of its objectives due to the absence of a results framework or a design and monitoring framework; and (iii) The SES used limited number of interviewees (50 participants) who attended CBT courses from 2007 to 2009, and considered individual CBT course participants as the unit of analysis under e-surveys of CBT courses. Nevertheless, the SES adopts various evaluation instruments using quantitative and qualitative results. This appendix describes the conceptual framework and evaluation criteria as part of the evaluation methodology undertaken for evaluating ADBI performance.

### B. Conceptual Framework

2. No monitoring or results frameworks are available to assess the performance of ADBI. Due to the absence of these frameworks, the SES deployed its own conceptual framework for evaluating ADBI's organization and processes in research and CBT, and its outreach and knowledge management functions in support of research and CBT activities. Conceptual framework thus supported evaluation criteria and questions in assessing the performance of ADBI (para. 7 of the main text).

#### 1. Research Production Framework

3. A research production framework is followed in the assessment of ADBI's research organization and process. A simplified "input-process-output-impact" flow attempts to capture the unique characteristics of ADBI research while at the same time outlining a quality control system and an evaluation structure. Figure A4.1 traces this flow.



4. At the input stage, ADBI combines resources from research staff, partner organizations, consultants, and others to identify its research agenda.<sup>1</sup> The process of developing the agenda into specific research tasks requires decisions whether to use in-house or external research, and whether to engage in collaboration with partners or other Asian Development Bank (ADB) knowledge departments—the Economics and Research Department, the Office of Regional Economic Integration, and the Regional and Sustainable Development Department. The output completion (in draft or finished product) requires it to come out as book, book chapter, journal

<sup>1</sup> Figure A4.1 assumes a given ADBI research agenda. Its identification and formulation naturally involve associated processes. In the case of ADBI, there are formal and informal processes in developing the research agenda along the priority themes selected by ADBI. The formal processes include research needs surveys with key developing member country agencies; think tanks and knowledge departments of the Asian Development Bank (ADB) as respondents; the advisory council reviewing the agenda and providing guidance; and ADB (Budget Review Committee and Board of Directors), which reviews the ADBI budget. In some instances, especially in major research projects, the research development conducts a brainstorming session with experts to determine policy issues that need to be studied. The informal processes include interaction of research staff with policy makers and peers who are knowledgeable about emerging development issues in Asia.

article, or working/discussion paper (or in varying stages).<sup>2</sup> Once the output is distributed, its impact would be in the research community, in the specific discipline that the research task used, in ADB operations, in the policy arena of developing member countries (DMCs), and in the broader development community.

5. The two horizontal bars of Figure A4.1 outline the implied quality control system (the upper horizontal bar) and the evaluation means (the lower horizontal bar). For this SES, the main instruments for the assessment of research products were peer review (through the external panel review), citation analysis, and e-surveys of research events and interviews and e-surveys of knowledge partners to measure effectiveness, relevance, and usefulness (see Appendix 7 for Survey of Research Events and Knowledge Partners). At the same time, a review of the organization and process of research production was also included.

6. Figure A4.1 implies an underlying quality control system that may be employed at each stage of the production flow—for example, the selection of staff and the choice of inputs become quality control instruments at the input stage, and research proposal assessment and the collaboration system become quality control instruments for the process. The implication is that ADBI can exercise specific directions at each stage to ensure quality in the research production and associated correction undertaken. When the output is completed and delivered or distributed, the array of quality control instruments diminishes if not altogether unavailable. Given some kind of impact assessment (parts of which are in this study), it would be useful to use its results in sending feedback into the initial stage of the research production.

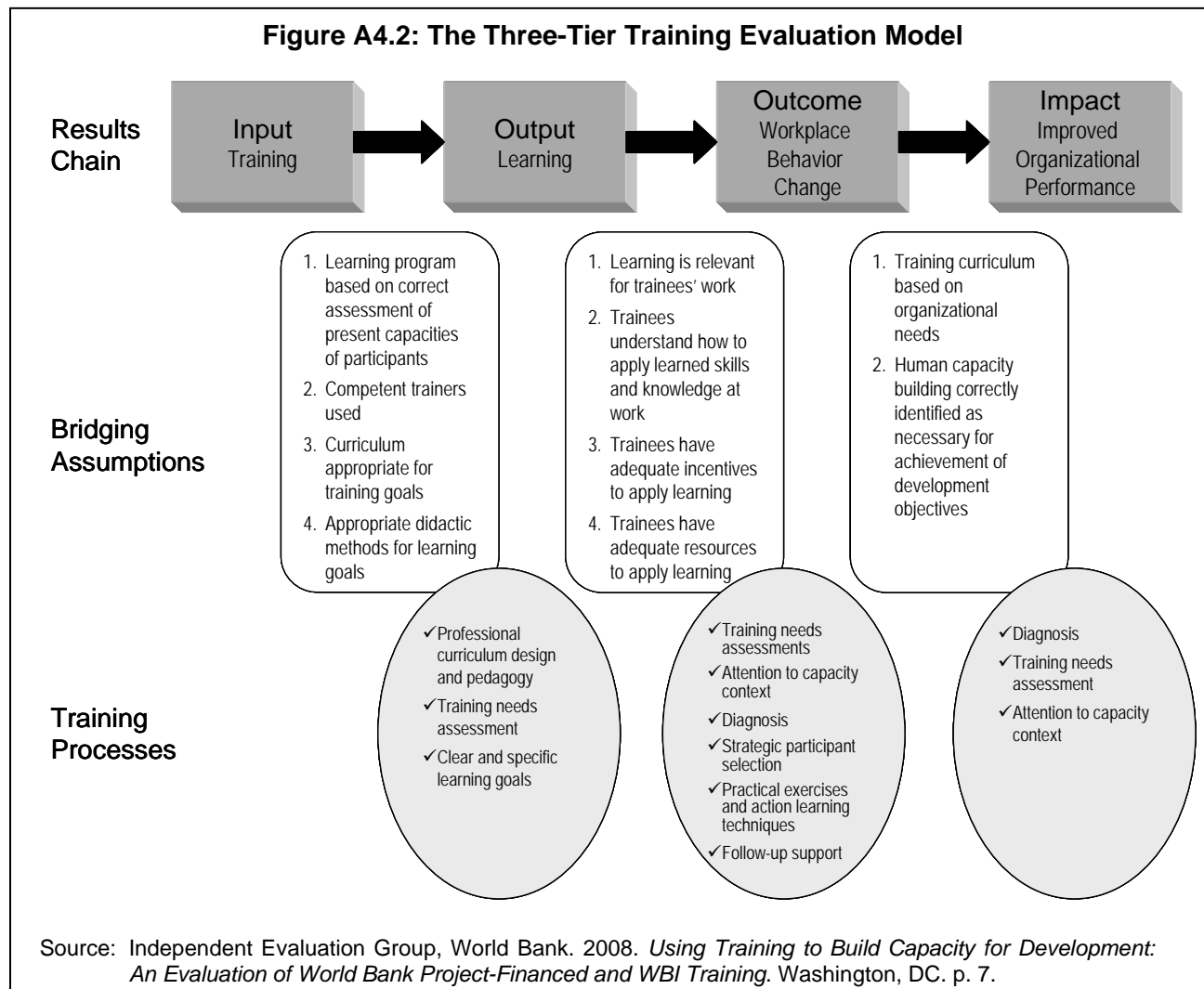
## 2. Capacity Building and Training Framework

7. ADBI's CBT organization and process were compared with to that of good practice. As a reference point on good practice, this SES drew from the literature review completed by the World Bank's Independent Evaluation Group (IEG) as part of its comprehensive evaluation of World Bank-financed training programs, "Using Training to Build Capacity for Development," and used the three-tier training evaluation framework for evaluation of training (Figure A4.2).<sup>3</sup>

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<sup>2</sup> By-products of the research outputs are conferences/seminars/workshops, which are held to review the research products as integral parts of ADBI's quality control system. These research conferences/seminars/workshops provide the platform where the research products are discussed among peer experts for revisions prior to eventual publication.

<sup>3</sup> IEG, World Bank. 2008. *Using Training to Build Capacity for Development: An Evaluation of World Bank Project-Financed and WBI Training*. Washington, DC.



8. The three-tier training evaluation model identifies both the results chain of training and the training processes that contribute to results. In addition, it identifies bridging assumptions that need to hold to move from one link in the results chain to the next. Evaluation is then done in two ways: First, data are gathered, where possible, on training results, including the extent to which participants have learned (outputs) and have been able to use what they have learned in the workplace (behavior change outcomes); and, finally, the extent to which participant behavior change has led to improved organizational performance (impacts). It should be noted, however, that this model places particular emphasis on results evaluation at the level of participant behavior change outcomes, rather than impacts. This is based on the recognition of the difficulties in establishing the organizational impacts of training and isolating the effects of



training from those of other organizational changes and interventions.<sup>4</sup> The quality of ADBI's training processes, as listed in the third tier of Figure A4.2, was assessed. In recent years, the foci of the CBT courses have been more on policy dialogue. Thus, training processes also provide the platform for exchange of information and experiences as well as the sharing of good practices among the training participants. The literature indicates that there is a high degree of correlation between good training processes and positive training results.<sup>5</sup>

### 3. Framework for Evaluating Outreach and Knowledge Management

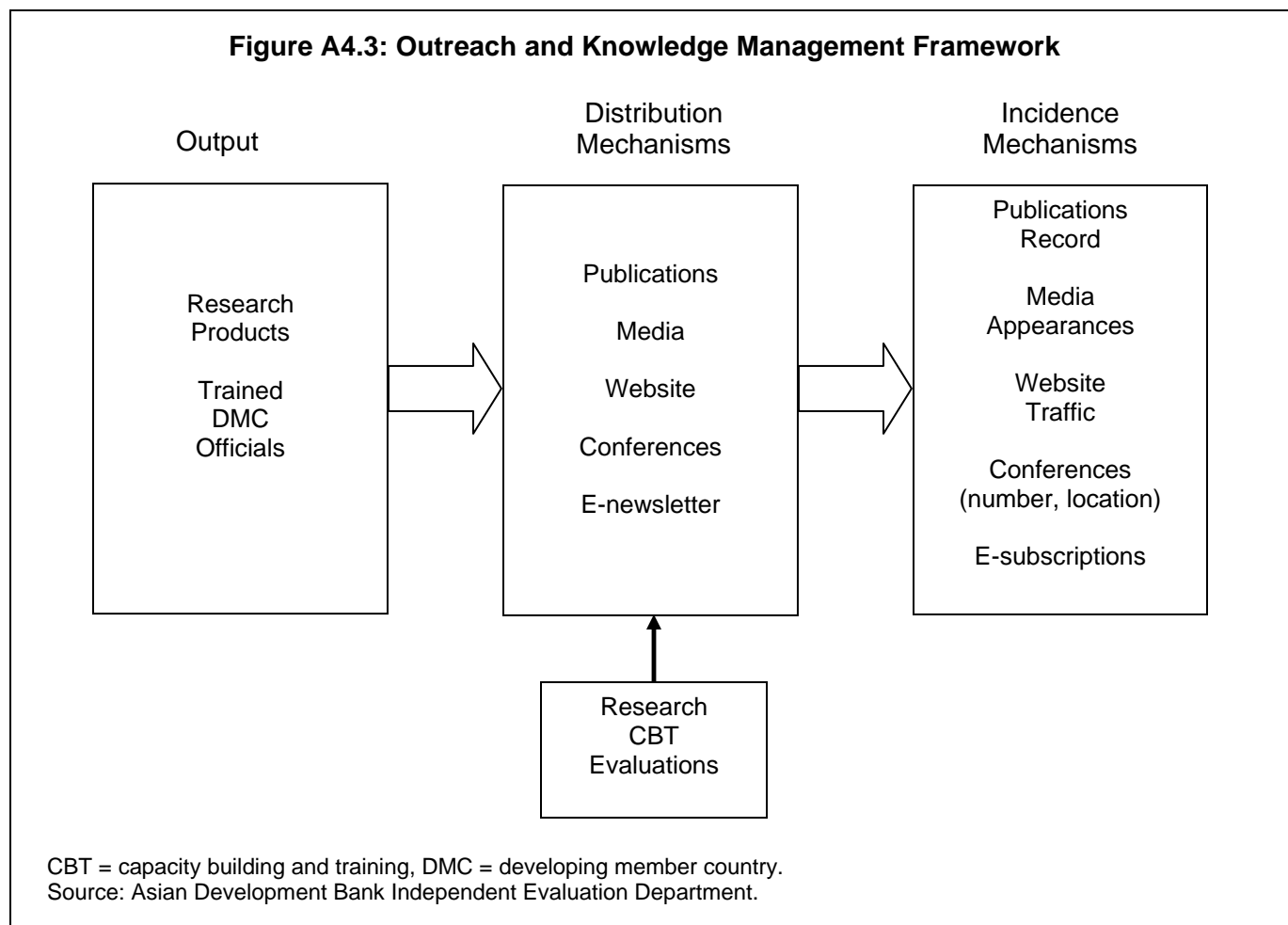
9. ADBI's outreach and knowledge management program was evaluated in terms of its function to support the research and CBT functions. Both research and CBT functions have clear products (e.g., research outputs and trained DMC officials). The function of the outreach and knowledge management program, however, is primarily the provision of services to ADBI clientele. An evaluation of this function begins with the output menu that ADBI has produced in research and the trained officials. From this output menu, the outreach and knowledge management function determines the distribution of these outputs and the delineation of post-training services in varying forms and mechanisms.

10. Figure A4.3 is a schematic representation of the underlying framework for the process of the outreach and knowledge management function. The two broad outputs of research products and trained officials are its starting point. The current distribution system employs different channels or mechanisms—publications, media exposure, website, conferences/workshops/seminars, and e-newsletter and e-notification. Once the distribution system operates, their impacts will be felt in analogously varying ways such as publications record, media appearances by ADBI leadership and staff, website traffic, number of conferences/seminars/workshops, and subscription to e-newsletter and e-notification, among others. These then will constitute the measurement of the function's overall performance.

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<sup>4</sup> See R.O. Brinkerhoff. 2003. *The Success-Case Method: Find Out Quickly What's Working and What's Not*. San Francisco, Berrett-Koehler Publishers; Dionne, P. 1996. "The Evaluation of Training Activities: A Complex Issue Involving Difficult Stakes." *Human Resource Development Quarterly* 7(3): 279–286; Fitz-enz, J. 1994. "Yes...You Can Weigh Training's Value." *Training* 31(7): 54–58; Iverson, A. (2003). *Attribution and Evaluation in International Development: A Literature Review*. Ottawa, IDRC; Kaufman, R. and J. M. Keller. 1994. "Levels of Evaluation: Beyond Kirkpatrick." *Human Resource Development Quarterly* 5(4): 371–380; Pulley, M. L. 1994. "Training 101: Navigating the Evaluation Rapids." *Training and Development* (September 1994): 19–24; Warr, P., C. Allen, et al. 1999. "Predicting three levels of training outcome." *Journal of Occupational and Organizational Psychology* 72: 351–375; Smutylo, T. 2001. *Crouching Impact, Hidden Attribution: Overcoming Threats to Learning in Development Programs*. Draft Learning Methodology Paper, Block Island Workshop on Across Portfolio Learning; and Whyte, A. 2004. *A Landscape Analysis of Donor Trends in International Development*. Human and Institutional Capacity Building, Rockefeller Foundation.

<sup>5</sup> E. Salas and J.A. Cannon-Bowers. 2001. The Science of Training: A Decade of Progress. *Annual Review of Psychology* 52: 471–499; and IEG, World Bank. 2008. *Using Training to Build Capacity for Development: An Evaluation of World Bank Project-Financed and WBI Training*. Washington, DC.



### C. Evaluation Criteria and Questions

11. The performance of ADBI was assessed based primarily on three main criteria: (i) relevance, (ii) effectiveness (outcomes), and (iii) usefulness. These evaluation criteria were modified to meet the specific purpose of evaluating research and CBT. The outreach and knowledge management function of ADBI was evaluated in terms of its support of research and CBT functions.

#### 1. Evaluation of Research

12. The evaluation criteria and questions used in assessing the quality of research products by the external review panel are given in Table A4.1.<sup>6</sup>

<sup>6</sup> These criteria and questions were given to the ERP members as a guide for their consideration to assess the quality of the individual research product.

**Table A4.1: Criteria for Assessing the Quality of Research Products by the External Review Panel**

<b>a. Relevance</b>
<ul style="list-style-type: none"> <li>- Is the research problem relevant for ADB in terms of its development goals (e.g., poverty reduction, inclusive economic growth, environmentally sustainable growth, regional integration)?</li> <li>- Are there other organizations (multilateral, bilateral, etc.) better equipped or more relevant to address the research problem than ADBI?</li> <li>- Are there indications that the problem area for the research is driven by demand from the DMCs?</li> </ul>
<b>b. Level of Knowledge</b>
<ul style="list-style-type: none"> <li>- Is the use of existing knowledge appropriate to the research?</li> <li>- Is the use of the theoretical and empirical model appropriate to the research problem?</li> <li>- Is the methodology (statistical, econometrics, etc.) followed appropriate to the research problem?</li> <li>- If separate surveys (primary data collection) are undertaken, are the design and sampling procedures appropriate to the research problem?</li> </ul>
<b>c. Clarity</b>
<ul style="list-style-type: none"> <li>- Are the structure, organization, and writing of the report clear?</li> <li>- Logic and coherence of the conclusions and implications from the analysis.</li> <li>- Are the conclusions and recommendations based on the data, evidence, and results of the analysis?</li> <li>- Is there an underlying message of the research, and is it clearly delivered?</li> </ul>
<b>d. Practicality</b>
<ul style="list-style-type: none"> <li>- Have the research results expanded the knowledge of problem area?</li> <li>- Has the research product yielded clear development policy and program direction (general and specific) for ADB and DMCs?</li> </ul>
<b>e. Links with ADB Operations</b>
<ul style="list-style-type: none"> <li>- How practical are the results of the research for the operational work of ADB as a development organization?</li> <li>- Are there results that point to specific usefulness in the operational work of ADB (e.g., provision of loans/grants, technical assistance, policy advice)?</li> <li>- Do the results point to specific operational use for ADB of a unique outcome of the research or one common in the existing literature?</li> </ul>
<b>f. Potential for Dissemination</b>
<ul style="list-style-type: none"> <li>- Are the research results understandable for a wider audience, especially policy makers from DMCs and operational officers and staff of ADB?</li> <li>- Are the substance and scope of the research product an appropriate subject for training of government officials, private sector groups, and other clients of ADB?</li> </ul>

ADB = Asian Development Bank, ADBI = Asian Development Bank Institute, DMC = developing member country.  
Source: ADB Independent Evaluation Department.

13. Evaluation criteria, questions, and indicators used in the survey of research events and knowledge partners are given in Table A4.2.

**Table A4.2: Summary of Evaluation Criteria and Questions: Survey of Research Events and Knowledge Partners**

<p><b>1. Relevance:</b> The degree to which the research events that respondents (including knowledge partners) attended had content that was sufficiently relevant to the participants' organization and/or country context, and motivated the respondents to access related research.</p>
<p><b>Question:</b> What is the relevance of the research events that the respondents attended?</p>
<p><b>Indicators:</b> Using a scale of 1 to 5, where 1 means strongly disagree and 5 means strongly agree, survey respondents were asked to rate the relevance of the research event content to their organization and country context.</p>
<p><b>2. Effectiveness (Outcomes):</b> Defined in two ways: first, through the perceived quality of the research events relative to other research events that the respondents had attended; and second, as the degree to which the research events that the respondents (including knowledge partners) attended were effective in (i) raising their awareness; (ii) improving their knowledge and skills; and (iii) providing them with strategies and approaches to address the needs of their organization and country; and (iv) providing useful contacts, links, or networks with professionals and specialists in the same line of work.</p>
<p><b>Question:</b> (i) What is the overall quality of the research events that the respondents attended relative to other research events that they attended; and (ii) what is the effectiveness of the research events that the respondents attended?</p>
<p><b>Indicators:</b> (i) Using a scale of 1 to 5, where 1 means very poor quality and 5 means excellent, survey respondents were asked to rate the quality of the research events that they attended relative to the other professional training courses that they had attended; and (ii) using a scale of 1 to 5, where 1 means strongly disagree and 5 means strongly agree, survey respondents were asked to rate the effectiveness of the research event that they attended.</p>
<p><b>3. Usefulness:<sup>a</sup></b> The degree to which the respondents (including knowledge partners) used the information, knowledge, and skills they gained from the research events to (i) conduct seminars in their organization, (ii) write a report about the research event attended, (iii) design and implement relevant policies, and (iv) give briefings to policy makers and others.</p>
<p><b>Question:</b> What is the usefulness of the knowledge and skills acquired from the research events that the respondents attended?</p>
<p><b>Indicators:</b> Using a scale of 1 to 5, where 1 means not at all and 5 means very often, survey respondents were asked to rate the usefulness of the research event that they attended.</p>

<sup>a</sup> This definition of usefulness should be warranted, since (i) in the e-survey of research events, approximately 80% of the participants were either policy makers from or policy staff of governments (e.g., heads of the organizations, agencies, professional or technical staff of policy offices, policy analysts) and only 15% were academics, project managers, and consultants; and (ii) in the e-survey of knowledge partners, all respondents were either heads or former heads of the organization or agency, or professional or technical staff.

Source: 2010 IED Survey of Research Events and Knowledge Partners.

## 2. Evaluation of Capacity Building and Training

14. Evaluation criteria, questions, and indicators used in the survey of CBT courses are given in Table A4.3.

**Table A4.3: Summary of Evaluation Criteria, Questions, and Indicators:  
Survey of Capacity Building and Training Courses<sup>a</sup>**

<p><b>1. Relevance:</b> The degree to which the CBT course that the respondents attended had content that was sufficiently relevant to the participants' organization and/or country context.</p>
<p><b>Question:</b> What is the relevance of the CBT course that the respondents attended?</p>
<p><b>Indicator:</b> Using a scale of 1 to 5, where 1 means strongly disagree and 5 means strongly agree, survey respondents were asked to rate the relevance of the course content to their organization/country context.</p>
<p><b>2. Effectiveness (Outcomes):</b> Defined in two ways, first, through the perceived quality of the CBT courses attended relative to the other professional trainings that the respondents had attended; and second, as the degree to which the CBT course that the respondents attended was effective in (i) raising their awareness; (ii) improving their knowledge and skills; and (iii) providing them with strategies and approaches to address the needs of their organization and country; and (iv) providing useful contacts, links, or networks with professionals and specialists in the same line of work.</p>
<p><b>Question:</b> (i) What is the overall quality of the CBT course that the respondents attended relative to other professional training courses that they had attended; and (ii) what is the effectiveness of the CBT course that the respondents attended?</p>
<p><b>Indicator:</b> (i) Using a scale of 1 to 5, where 1 means very poor quality and 5 means excellent, survey respondents were asked to rate the quality of the CBT course that they attended relative to the other professional training courses that they had attended; and (ii) using a scale of 1 to 5, where 1 means strongly disagree and 5 means strongly agree, survey respondents were asked to rate the effectiveness of the CBT course that they attended.</p>
<p><b>3. Usefulness:</b> The degree to which the respondents used the information, knowledge, and skills they gained from the CBT course to (i) conduct seminars in their organization, (ii) write an article about the course attended, and (iii) share training materials with others, (iv) train members of their own/other organizations, (v) design and implement policies within their own organization, (vi) design and implement regulations and/or legislation within their own country, (vii) access additional resources such as technical experts and funds, (viii) design projects or programs patterned after the best models presented during the course, and (ix) conduct research and other forms of knowledge production.</p>
<p><b>Question:</b> What is the usefulness of the knowledge and skills acquired from the CBT course that the respondents attended?</p>
<p><b>Indicator:</b> Using a scale of 1 to 5, where 1 means not at all and 5 means very often, survey respondents were asked to rate the usefulness of the CBT course that they attended.</p>

CBT = capacity building and training.

<sup>a</sup> One of the limitations of this evaluation study is the use of individuals (CBT course participants) as the unit of analysis. The real CBT impact should be assessed at the organizational level of concerned developing member countries as the target of CBT programs. Following the methodology of other earlier evaluation studies on capacity building, the assumption of this special evaluation study is that the effectiveness and usefulness of the CBT courses at the individual level is a prerequisite to improve organizational capacities. Therefore, the perceived effectiveness and usefulness measured at the level of the individual participants is a proxy indicator of the effectiveness of the CBT program in improving the capacity of the targeted organizations within the developing member countries. Adopted from N. Khattri. 2007. *Effectiveness, Outcomes, and Quality of WBI's Learning Programs: What Does Evaluation Evidence Show?* Washington, DC: World Bank Institute; and C.M. Ling, et. al. 2007. *The Effectiveness and Impact of WBI FY01–05 Activities: Results from 25 Focus Countries*. Washington, DC: World Bank Institute.

Source: 2010 Independent Evaluation Department survey of capacity building and training courses.

**SIMILAR ACTIVITIES: ADBI AND ADB HEADQUARTERS' KNOWLEDGE DEPARTMENTS, 2007–2009**

Item	ADBI	ADB Headquarters Knowledge Departments		
		ERD	OREI	RSDD
Mission/ Mandate	Contribute to ADB's overarching objective of poverty reduction by looking ahead to the next 10–20 years and focusing on the region's medium- to long-term development issues of strategic importance. ADBI's strategic priority themes have been aligned to ADB's Strategy 2020, which are (i) inclusive and sustainable growth; (ii) RCI; and (iii) governance for policies and institutions. There are also products that cut across these themes (crosscutting themes).	Strengthen and expand its research agenda to support Strategy 2020's vision of a region free of poverty by (i) analyzing and researching on key development issues; (ii) supporting operations by helping formulate country partnership strategies and evaluate project impacts; and (iii) participating in global and regional knowledge networks and disseminating findings.	Facilitate RCI in Asia and the Pacific. It accomplishes its mission by (i) taking primary responsibility for pillar 2 (trade and investment cooperation and integration) and pillar 3 (monetary and financial cooperation and integration) of ADB's RCI strategy; (ii) implementing RCI initiatives that cut across regions; (iii) serving as knowledge center on RCI; and (iv) providing "horizon" links across concerned departments in ADB.	Promote quality, knowledge, and innovation for sustainable development. Its mandate is to support and enhance quality and efficiency across ADB operations by (i) supporting quality enhancement and innovation of key sector operations; (ii) promoting sustainability and inclusiveness of ADB investment; (iii) improving knowledge management at ADB; and (iv) driving the renewal of ADB's key business.
Similar Topics	<ul style="list-style-type: none"> <li>- Climate change and green Asia</li> <li>- RCI</li> <li>- Regional economic monitoring and surveillance</li> <li>- Regional economic and financial architecture</li> <li>- Rebalancing growth in developing Asia</li> <li>- Pension reform in Asia</li> <li>- Capital market development</li> <li>- Free trade agreements and the multilateral trade system</li> </ul>	<ul style="list-style-type: none"> <li>- Economics of climate change and low-carbon growth</li> <li>- Asian pension systems and reform</li> <li>- Fiscal policy and rebalancing growth in developing Asia</li> </ul>	<ul style="list-style-type: none"> <li>- Fostering trade integration</li> <li>- RCI</li> <li>- Regional economic monitoring and surveillance</li> <li>- Developing a robust regional economic and financial architecture</li> <li>- Regional infrastructure development</li> <li>- Capital market development</li> <li>- Free trade agreements</li> </ul>	<ul style="list-style-type: none"> <li>- Climate change adaptation in vulnerable DMCs</li> <li>- Infrastructure for regional cooperation</li> </ul>
<b>ADBI's Main Collaboration/Joint Activities with ADB Headquarters Knowledge Departments</b>		<b>ERD</b>	<b>OREI</b>	<b>RSDD</b>
2007	Research	<ul style="list-style-type: none"> <li>- Book on <i>Infrastructure for a Seamless Asia</i></li> <li>- A special note to ADO was produced in order to revise</li> </ul>	<ul style="list-style-type: none"> <li>- Book on <i>Emerging Asian Regionalism</i></li> <li>- Monetary and Exchange Rate Policies in Selected</li> </ul>	<ul style="list-style-type: none"> <li>- Book on <i>Infrastructure for a Seamless Asia</i></li> </ul>

Item	ADBI	ADB Headquarters Knowledge Departments		
		ERD	OREI	RSDD
		the growth projections downward for developing Asia in 2008 and 2009	Association of Southeast Asian Nations Countries - Book on <i>Infrastructure for Seamless Asia</i>	
	CBT			- Conference on the <i>Impact of Global Economic Slowdown on Poverty and Sustainable Development in Asia and the Pacific</i> in Viet Nam.
2008	Research	- Regional Review of the Economics of Climate Change in Southeast Asia: RETA - Book on <i>Infrastructure for a Seamless Asia</i>	- Asian Noodle Bowl Conference - Book on <i>Infrastructure for Seamless Asia</i>	- Book on <i>Infrastructure for a Seamless Asia</i>
	CBT		- Workshop on Simplification of Rules of Origin, in Bangkok, Thailand.	
2009	Research	- Book on <i>Infrastructure for a Seamless Asia</i> - Global Financial Crisis Conference Series - Book on Global Financial Crisis		- Global Financial Crisis Conference Series - Book on Global Financial Crisis
	CBT		- Subregional workshop on Preferential Rules of Origin for South Asian Association for Regional Cooperation members	- Workshop on Aligning Policies and Strategies to Achieve Millennium Development Goals in South Asia

ADB = Asian Development Bank, ADBI = Asian Development Bank Institute, ADO = Asian Development Outlook, ASEAN = Association of Southeast Asian Nations, CBT = capacity building and training, DMC = developing member country, ERD = Economics and Research Department, OREI = Office of Regional Economic Integration, RCI = regional cooperation and integration, RSDD = Regional and Sustainable Development Department.

Source: ADBI. 2007, 2008, and 2009. *Three Year Rolling Work Plan and Budget*. Manila: ADB. ERD. 2009. "Priorities for 2010–2012," OREI. 2008, "OREI's Top Priorities and Work Program for 2008," and RSDD. "About Regional and Sustainable Development Department" in <http://www.adb.org/rsdd/about.asp>

**SUMMARY OF ASIAN DEVELOPMENT BANK INSTITUTE'S RESEARCH PRODUCTS, 1998–2009**

Topic Classification Theme/Areas of Focus	(Priority	Book		Working Papers		Book Chapters		Journal Articles		Research Papers		Policy Briefs		Total	
		Actual No. of Titles	No. by Sub-theme	Actual No. of Titles	No. by Sub-theme	Actual No. of Titles	No. by Sub-theme	Actual No. of Titles	No. by Sub-theme	Actual No. of Titles	No. by Sub-theme	Actual No. of Titles	No. by Sub-theme	Actual No. of Titles	No. by Sub-theme
<b>A. Inclusive and Sustainable Growth</b>		<b>12<sup>a</sup></b>		<b>21<sup>b</sup></b>		<b>2</b>		<b>7</b>		<b>21<sup>c</sup></b>		<b>5<sup>d</sup></b>		<b>67</b>	
Infrastructure			3		9		2		2		5		2		23
Poverty Reduction			10		16		0		3		12		4		45
Uncategorized			0		2		0		2		5		0		8
<b>B. Regional Cooperation and Integration</b>		<b>4</b>		<b>59<sup>e</sup></b>		<b>11<sup>f</sup></b>		<b>31<sup>g</sup></b>		<b>22<sup>h</sup></b>		<b>10</b>		<b>136</b>	
Monetary and Financial Cooperation			2		42		11		13		16		3		86
Trade and Investment Cooperation			1		42		1		19		6		7		76
Uncategorized			1		0		0		0		2		0		3
<b>C. Governance for Policies and Institutions</b>		<b>15<sup>i</sup></b>		<b>27<sup>j</sup></b>		<b>2</b>		<b>15</b>		<b>22<sup>k</sup></b>		<b>12</b>		<b>93</b>	
Economic Policy and Management			2		22		2		8		7		6		47
Public Sector Reform/ Finance			5		13		0		3		12		2		35
Private Sector Development			5		4		0		4		3		4		20
Uncategorized			4		0		0		0		1		0		5
<b>D. Crosscutting</b>		<b>12</b>		<b>54</b>		<b>3</b>		<b>1</b>		<b>9</b>		<b>5</b>		<b>84</b>	
<b>E. Uncategorized</b>		<b>0</b>		<b>21</b>		<b>1</b>		<b>0</b>		<b>0</b>		<b>0</b>		<b>22</b>	
<b>Total</b>		<b>43</b>		<b>182</b>		<b>19</b>		<b>54</b>		<b>74</b>		<b>32</b>		<b>404</b>	

<sup>a</sup> One book is classified under both Infrastructure and Poverty Reduction.

<sup>b</sup> Four working papers are classified under both Infrastructure and Poverty Reduction.

<sup>c</sup> One research paper is classified under both Infrastructure and Poverty Reduction.

<sup>d</sup> One policy brief is classified under both Infrastructure and Poverty Reduction.

<sup>e</sup> Eight working papers are classified under Monetary and Financial Cooperation and Trade and Investment.

<sup>f</sup> One book chapter is classified under both Monetary and Financial Cooperation and Trade and Investment.

<sup>g</sup> One journal article is classified under both Monetary and Financial Cooperation and Trade and Investment.

<sup>h</sup> Two research papers are classified under both Monetary and Financial Cooperation and Trade and Investment.

<sup>i</sup> One book is classified under both Public Sector Reform/Finance and Private Sector Development.

<sup>j</sup> Two working papers are classified under both Economic Policy and Management and Public Sector Reform/Finance.

<sup>k</sup> One research paper is classified under both Public Sector Reform/Finance and Private Sector Development.

Source: ADBI website (www.adbi.org)



## **SURVEY OF RESEARCH EVENTS AND KNOWLEDGE PARTNERS**

### **A. Introduction**

1. An electronic survey was conducted during September and October 2010 on two groups that are directly involved with the Asian Development Bank Institute (ADBI)—participants in its research events (research conferences, seminars, workshops, etc.) and its knowledge partners from developing member countries (DMCs) who participated in ADBI's research activities (research events and research projects). ADBI's Japan-based partners were not part of this survey. The total number of research events participants could not be completely known, since several ADBI-sponsored events took place in DMCs (e.g., in the knowledge partners' locations), for which there is no central information about participants' names and contact addresses. The survey of research events participants was, therefore, limited to those who participated in the events in Tokyo.

2. A total of 1,448 e-mail survey questionnaires were fielded to research events participants, of which there were 353 replies or a 24% response rate. The survey was meant to (i) provide a profile of participants (e.g., demographics, position in their organizations, manner of participation); (ii) elicit perceptions of the events attended—relevance, effectiveness, and usefulness of the events; and (iii) collect open-ended views of the events and overall assessments of ADBI based on their participation. To some extent, the questions asked were similar with both the participants in the research events and the knowledge partners. Seven respondents (or 28%) answered the questionnaire in the e-survey of 25 knowledge partners identified. Evaluation criteria, questions, and indicators used in the survey of research events and knowledge partners are given in Appendix 4, Table A4.2 (Evaluation Methodology).

### **B. Survey of Research Event Participants**

#### **1. Profile of Respondents**

3. The large number of respondents to the e-survey among research events participants allows a potentially more representative view of ADBI's research activities. A comparison with common questions among the research events participants and knowledge partners should also provide a consistency check. The total number of respondents was 349. To the questions related to quality, 212 responded, with 137 skipping some of the questions. To the questions related to relevance, effectiveness, and usefulness, 196 responded. Still, the number is large for analysis, though for some questions bias starts to become significant, especially in interpretation.

4. Most of the research events participants attended the events during 2007–2009 (76.2%, with 43.2% in 2009 alone). Many participated more than once. Sixty-seven percent of them were invited by ADBI to the events, while only 14% actually filed applications to participate. About 34% of the participants functioned as paper writers and presenters at the events. Discussants at these events were 22% of all respondents, while another 34% were participants with no specific functions (i.e., these were purely attendees). The rest were a scattering of observers, institutional partners, organizers, etc. In all likelihood, some of the knowledge partner respondents may have also been included among the research events participant sample. It should be emphasized that in the e-survey of research events, approximately 80% of the participants were either policy makers from or policy staff of governments (e.g., heads of organizations or agencies, professional or technical staff of policy offices, policy analysts), and only 15% were academics, project managers, or consultants.

## 2. Relevance

5. The survey questionnaire did not group questions related to the relevance of the research events but rather integrated them with overall research event utility. In particular, the participant-respondents were asked to rate the statement, “The activity provided new knowledge which is relevant to my current job.” This is similar to the CBT question on relevance, which asked the respondent to rate the statement, “The training is relevant for the performance of my duties in my current job.” In addition, the survey asked the participant-respondents an independent question whether the research event provided (was relevant to) direction for their department/organization principally through an action plan—whether the research event was relevant in developing an action plan.

6. Table A7.1 shows that the rating for relevance of the events was 85% for “the activity providing new knowledge relevant to my current job.” The participant-respondents were asked if the research event provided direction to their department/organization through an action plan. Only 34 respondents (17% of the total of 196 respondents) responded “yes,” and 162 (83% of the 196) indicated they did not develop any plan.<sup>1</sup> On whether the research events had been relevant to the need for accessing related resources such as other research, 24% showed agreement (often and very often).

**Table A7.1: Participants’ Responses to Relevance of Research Events**

Indicators	No. of Respondents	“Yes” Sometimes Often, Very often (Agree or Strongly Agree)	“No” Not at All (Disagree or Strongly Disagree or Neither)	“Not Applicable”
The activity provided new knowledge relevant to my current job.	196	167 (85%)	23 (12%)	6 (3%)
Research event relevant to guide the department/organization by developing an action plan	196	34 (17%)	162 (83%)	- (0%)
Accessing related resources such as other research, as well as funds	196	47 (24%)	100 (51%)	49 (25%)

Source: Independent Evaluation Department 2010 Survey of Research Events and Knowledge Partners.

7. To determine the importance of the relevance of the research events, an attempt was made to measure the mean scores of the response to the relevance question (excluding the implementation of an action plan, which is more impact than relevance), shown in Table A7.2. For each of the statements, the respondents were asked to express degrees of frequency in the use of research results from 1 (being lowest) to 5 (being highest) by matching the degree of agreement (strongly disagree, disagree, neither agree nor disagree, agree, and strongly agree) or by frequency of use (not at all, once or twice, sometimes, often, and very often). The average mean score for relevance questions (mean of the means) is 3.6.

<sup>1</sup> The number of research events participants who answered these relevance, effectiveness, and usefulness questions fell from the 212 who gave an overall rating to ADBI to 196.

**Table A7.2: Participants' Responses to Relevance of Research Events**

Indicators		Strongly Disagree (Not at All)	Disagree (Once or Twice)	Neither Agree nor Disagree (Sometimes)	Agree (Often)	Strongly Agree (Very Often)	Total
The activity provided new knowledge relevant to my current job.	Count	1	6	16	92	75	
	%	0.5%	3.1%	8.4%	48.4%	39.5%	
	<b>Mean</b>						<b>4.23</b>
Accessing related resources such as other research, as well as funds	Count	22	20	58	33	14	
	%	14.9%	13.6%	39.4%	22.4%	9.5%	
	<b>Mean</b>						<b>2.97</b>
	<b>Mean (average)</b>						<b>3.60</b>

Source: Independent Evaluation Department 2010 Survey of Research Events and Knowledge Partners.

### 3. Effectiveness (Outcomes)

8. Research events participants who responded to the surveys expressed overall satisfaction by rating the quality of the events (Table A7.3). One hundred eighty respondents (84% of all 212 respondents) among research events participants rated the quality of ADBI activities above average to excellent—51% above average and 33% excellent. Of the 212 respondents who answered this rating question, only 5 rated the events of poor quality and below average. One hundred thirty-seven respondents skipped this question. When asked to briefly explain their overall rating of ADBI research events in which they participated, more than half or 123 actually gave short replies. A large number of those who explained their rating complimented ADBI for the high quality of its work, good and timely selection of topics, well prepared participants, interesting interactions, world class presenters and discussants, well-managed discussions by the dean and moderators, relevant and professionally delivered research papers, etc. Only a few of those who explained their rating expressed some disappointment due to the limited time given for discussion and the tight schedule of the event.<sup>2</sup> The mean rating given to the quality of the events relative to other research events the respondents had attended was 4.14, which is above average on a scale of 1 to 5, with 1 being the lowest (very poor quality) and 5 being the highest (excellent quality).

**Table A7.3: Participants' Responses to Quality of Research Events**

Indicators of Quality		Very Poor Quality 1	Below Average 2	Average 3	Above Average 4	Excellent 5	Total <sup>a</sup>
ADBI Research Events	Count	2	3	27	109	71	212
	%	0.1%	1.4%	12.7%	51.4%	33.5%	100%
	<b>Mean</b>						<b>4.14</b>

ADBI = Asian Development Bank Institute.

<sup>a</sup> Included only respondents who provided a valid response for these indicators.

Source: Independent Evaluation Department 2010 Survey of Research Events and Knowledge Partners.

<sup>2</sup> These replies are largely consistent with the views expressed by both Japan and DMC-based knowledge partners at the interviews conducted under the special evaluation study (SES).

9. Table A7.4 shows that the share of those agreeing with the effectiveness of ADBI research ranged from 76% (“the activity provided useful contacts, links, or networks with professionals and specialists who are in the same line of work”) to 57% (“the activity provided new insights and understanding of the development challenges faced by my country”). Around a quarter of the original number who rated the overall quality of ADBI research either skipped this part of the questionnaire or elected to respond as “not applicable.”

**Table A7.4: Participants’ Responses to Effectiveness of Research Events**

Indicators	Number of Respondents	“Yes”	“No” <sup>a</sup>	Not Applicable
The activity provided new approaches to policy choices in developing countries.	196	128 (65%)	43 (22%)	25 (13%)
The activity provided new insights and understanding of the development challenges faced by my country.	196	111 (57%)	45 (23%)	40 (20%)
The activity provided useful contacts, links, or networks with professionals and specialists who are in the same line of work.	196	149 (76%)	35 (18%)	12 (6%)

<sup>a</sup> Lumped together with “neither agree nor disagree.”

Source: Independent Evaluation Department 2010 Survey of Research Events and Knowledge Partners.

10. To determine the importance of the effectiveness of the research events, an attempt was made to measure the mean scores of the responses (Table A7.5). For each of the statements, the respondents were asked to express frequency of the use of research results wherein a simple score from 1 (being lowest) to 5 (being highest) was matched with the degree of agreement (strongly disagree, disagree, neither agree nor disagree, agree, and strongly agree). The average mean score for the effectiveness questions (the mean of the means) is 3.83.

**Table A7.5: Effectiveness of Research Events**

Indicators		Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total
The activity changed my attitude toward issues discussed in the research event.	Count	5	16	66	73	21	
	%	2.8%	8.8%	36.5%	40.3%	11.6%	
	<b>Mean</b>						<b>3.49</b>
The activity provided new approaches to policy choices in developing countries.	Count	2	10	31	91	37	
	%	1.2%	5.8%	18.1%	53.2%	21.6%	
	<b>Mean</b>						<b>3.88</b>
The activity provided new insights and understanding of the development challenges faced by my country.	Count	3	10	32	71	40	
	%	1.9%	6.4%	20.5%	45.5%	25.6%	
	<b>Mean</b>						<b>3.86</b>
The activity provided useful contacts, links, or networks with professionals and specialists who are in the same line of work.	Count	1	6	28	84	65	
	%	0.5%	3.3%	15.2%	45.6%	35.3%	
	<b>Mean</b>						<b>4.11</b>
	<b>Mean (average)</b>						<b>3.83</b>

Source: Independent Evaluation Department 2010 Survey of Research Events and Knowledge Partners.

#### 4. Usefulness

11. Table A7.6 summarizes the results of research events participants' responses to the usefulness of ADBI's research events. It shows that the ratings for the usefulness of the events ranged from a high of 70% for "research and other forms of knowledge production (website and course design)" to a low of 38% for "gave briefing to policy makers in my country on the research event."

**Table A7.6: Participants' Responses to Usefulness of Research Events**

Indicators	No. of Respondents	Yes	No	Not
		Sometimes Often Very Often	Not at All	Applicable
Seminar or briefing in my office, to echo the research events	196	117 (60%)	33 (17%)	46 (23%)
Designing and implementing relevant policies and/or regulations in my own country	196	74 (38%)	38 (15%)	84 (49%)
Research and other forms of knowledge production (website and course design)	196	137(70%)	13 (7%)	46 (23%)
Gave briefing to policy makers in my country on the research event	196	75 (38%)	42 (22%)	79 (40%)

Source: Independent Evaluation Department 2010 Survey of Research Events and Knowledge Partners.

12. To determine the usefulness of the research events, an attempt was also made to measure the mean scores of the responses (Table A7.7). For each of the statements, the respondents were asked to express degrees of frequency of the use of research results wherein a simple score from 1 (being the lowest) to 5 (being the highest) was matched with the degree of frequency of use (not at all, once or twice, sometimes, often, and very often). The average mean score for the usefulness questions (the mean of the means) is 2.75.

**Table A7.7: Usefulness of Research Events**

Indicators		Not at All	Once or Twice	Sometimes	Often	Very Often	Total
		Seminar or briefing in my office, to echo the research event	Count	33	21	47	34
	%	22%	14%	31.3%	22.7%	10%	
	<b>Mean</b>						<b>2.85</b>
Designing and implementing of relevant policies and/or regulation in my own country	Count	38	14	31	26	3	
	%	33.9%	12.5%	27.7%	23.2%	2.7%	
	<b>Mean</b>						<b>2.48</b>
Research and other forms of knowledge production (website and course design)	Count	13	19	56	38	24	
	%	8.6%	12.7%	37.3%	25.3%	16%	
	<b>Mean</b>						<b>3.27</b>
Gave briefing to policy makers in my country on the research event	Count	42	17	31	22	5	
	%	35.9%	14.5%	26.5%	18.8%	4.3%	
	<b>Mean</b>						<b>2.41</b>
	<b>Mean (average)</b>						<b>2.75</b>

Source: Independent Evaluation Department 2010 Survey of Research Events and Knowledge Partners.

13. The mean scores for the research events indicate that the research is stronger in relevance (3.60), strongest in effectiveness (3.83), and strong in usefulness (2.75). The low mean score for usefulness, however, indicates that impact remains to be improved relative to the relevance and effectiveness of research events.

### C. Survey of Knowledge Partners

14. The seven respondents representing ADBI's knowledge partners in the DMCs were either heads or former heads of the organization (4) or professional or technical staff (3); they came from Cambodia (1), India (1), Malaysia (1), Philippines (2), Singapore (1), and Thailand (1).<sup>3</sup> Most (6 of 7) of the respondents became ADBI knowledge partners between 2007 and 2009, with 2008 being the year when six were knowledge partners. The research events that the knowledge partners were involved in covered mainly the priority themes of "inclusive and sustainable growth" and "regional cooperation and integration." The nature of the participation by knowledge partners with ADBI was mostly in the form of being a paper presenter or discussant in a research event. The partner institution is sometimes responsible for organizing the research event if it is held there.

15. Organizationally, ADBI dealt with the knowledge partners only through the individual in his/her personal capacity and affiliation with the DMC research organization. For example, in the question "what modes of connection with your organization have your partnership [been] with ADBI?" only one responded with "ADBI staff deal with other staff in my organization," while three responded with "ADBI staff deal only with me." Six of the seven agreed that partnership with ADBI is based on personal affiliation with the DMC research organization and is not an institutional arrangement.

16. All of the knowledge partners agreed that the ADBI research project or activity was pre-determined by ADBI, which also included program agenda for the event. Only one knowledge partner agreed that the ADBI research project or event budget was flexible or provided for overhead for the organization (5 disagreed with the statement). On the other hand, four of the seven agreed with the statement that "...I am able to influence the content, agenda, schedule of ADBI research events."

17. Overall, the knowledge partner respondents rated their partnership with ADBI as above average (3) or excellent (3) relative to other similar partnerships they had had. Four of the five respondents who elaborated on their overall quality rating of the ADBI partnership shared the view that ADBI had developed excellent networking with knowledge partners and offered a forum for "Asian voices" on key development issues through research projects and events.<sup>4</sup> However, one participant expressed a particular concern with the partnership with ADBI, "...We have virtually no say or input (invited or otherwise) in determining or influencing ADBI policy or priorities."

18. Table A7.8 begins with the responses on the effectiveness of the research events, since there were no specific factors related to relevance of the research events. It shows that, while research and research events had provided new knowledge that was relevant to the work of the knowledge partner, the partnership had not really allowed the partner organizations to work with the policy regime of the country. This perhaps suggests that ADBI's research and research

<sup>3</sup> The individual names and their institutional affiliation were treated as anonymous in the e-survey.

<sup>4</sup> These replies are largely consistent with the views expressed by both Japan and DMC-based knowledge partners at the interviews conducted under the SES. See also footnote 2 of this appendix.

events may have to build in more connections between the knowledge partners and the policy regime as part of the effectiveness of the activities. The lack of unanimity in the partnership as a vehicle for new insight of development faced by the DMCs reflects the minority views of some knowledge partners about the overall impact of ADBI. What may mitigate the effectiveness is the agreement among the knowledge partners about the contacts, links, and networks that ADBI brings, accessing specialists and professionals working on the research areas in which the knowledge partners are involved.

**Table A7.8: Knowledge Partner Responses to Effectiveness of Research Events**

Indicators	Number of Respondents		
	Yes	No <sup>a</sup>	
The partnership allowed me to work with policy establishments in my country.	7	2	5*
The partnership provided new insights and understanding of the development challenges faced by my country.	7	4	3*
The partnership provided useful contacts, links, or networks with professionals and specialists who are in the same line of work.	7	7	0

<sup>a</sup> Lumped together “not at all” with “not applicable.”

Source: Independent Evaluation Department 2010 Survey of Knowledge Partners.

19. Table A7.9 reveals that ADBI’s knowledge partners were re-echoing within their organizations the research or research events that took place with the partnership. The research and research events also allowed the knowledge partners to extend their use into other internal activities like website content and course designs. In terms of the use of the research and research events for the design of policies or briefing policy makers about the results and implications, the partnership did not really push them further.

**Table A7.9: Knowledge Partner Responses to Usefulness of Research Events**

Indicators	Number of Respondents	Yes	
		Sometimes Often	No Not at All <sup>a</sup>
Seminar or briefing in my office to echo the research event	7	6	1
Designing and implementing of relevant policies and/or regulation in my own country	7	4	3
Research and other forms of knowledge production (website and course design)	7	5	2
Gave briefing to policy makers in my country on the research event	7	3	4

<sup>a</sup> Lumped together “not at all” with “not applicable.”

Source: Independent Evaluation Department 2010 Survey of Knowledge Partners.

#### D. Observations

20. The results of the electronic survey of research events participants and knowledge partners show another picture in the evaluation of ADBI research products. These research events are broad activities that ADBI organizes as part of its research functions—workshops, conferences, seminars, forums, etc. In these events, ADBI presents research proposals, research outputs, preliminary results, and other progress as well as final stages of research.

21. Since the number of research events participants was quite large, the results of the e-survey apply mostly to the various events instead of the narrower knowledge partners, although the questions raised were similar. First of all, it appears that the participants in the events were appropriate based on the profile of the e-survey respondents—heads of research organizations presumably including Japan-based and DMC-based partners of ADBI, professional and

technical staffs of other organizations including those from the academe, and policy analysts and specialists. In other words, participants were those who had direct interest in the research work of ADBI. The participants were also appropriate in the sense of their functions at the events—paper presenters or discussants.

22. Second, the overall rating of ADBI both by research events participants and the knowledge partners was good to excellent. In fact, the overall rating by the research events participants rating was 84% and that of the knowledge partners was 85.7%. They are both high and consistent with one another. There is no strong reason to doubt the credibility of these ratings.

23. Third, a large number of research events participants gave individual comments about their rating of ADBI. For example in their rating, 123 respondents (of the 212 that gave a rating) gave short reflections on their ratings that gave both praise and concrete reasons for their criticisms where applicable. Another 40 respondents gave additional comments on the ADBI research events in which they had participated. Many participants viewed ADBI as an important institution in the region, and their comments reflect this appreciation. It is the lack of specific measures beyond the research events that the participants were concerned with and how they could maximize their learning from them.

24. Fourth, the effectiveness of the research events was actually less than what is indicated due to the lower number of respondents for the factors affecting usefulness. A significant number of respondents chose “not applicable” responses to the questions. The extent of usefulness of ADBI research products is also limited based on the lower ratings given to some factors affecting usefulness of “event-obtained” knowledge (e.g., briefing policy makers of research events, designing and implementing relevant policies and regulations). The mean rating of usefulness (2.75) is lower than the mean ratings of relevance (3.60) and effectiveness (3.83) of ADBI research events, indicating that usefulness of the research events remains to be improved relative to the relevance and effectiveness of research events.

25. Fifth and finally, the attribution of these results to specific research products is difficult. But some of the individual explanations of ratings by respondents may give clues about specific research events (e.g., the name of the conference, seminar or workshop, the topic of the event). Nevertheless, the e-survey results imply a need for ADBI to consider tying its research events and activities more closely to concrete directions in terms of relevance, effectiveness, and usefulness; monitoring these as post-activity tasks; and evaluating their impacts on the DMC and the mission and vision of ADBI.



## SURVEY OF CAPACITY BUILDING AND TRAINING COURSES: FACE-TO-FACE AND DISTANCE LEARNING COURSES

### A. Survey Background

1. The Asian Development Bank Institute (ADBI) provides two types of capacity building and training (CBT) courses.<sup>1</sup> The first, and by far the most common, are face-to-face courses averaging 4–5 days in length. The other type is distance learning courses, run over a substantially longer time period of about 3–6 months. Distance learning courses utilize newer modes of instruction such as video conferencing, moderated e-groups, and webcasts. ADBI previously supported several distance learning courses in a year. Since 2008, ADBI delivers Microfinance Training of Trainers as its sole distance learning course.<sup>2</sup> Beyond the mode and length of instruction, this course differs substantially from other offerings in that participants are generally self-selected applicants who apply for the course online rather than being nominated by developing member country focal points. Given these distinctions, two separate e-surveys were conducted, with minor variations between the two. The first survey was sent to the participants of the face-to-face courses, while a separate survey was sent to the participants in distance learning courses. Although similar in a number of ways, unique survey instruments were created for face-to-face and distance learning courses. The list of CBT courses and survey questionnaires is in Supplementary Appendix D.

2. Between 2007 and 2009, there were 66 courses, of which 61 were face-to-face and five were distance learning courses. These courses were conducted solely by ADBI or in partnership with other organizations. The breakdown of the courses on a per year basis, the number held in Japan, the number with the Asian Development Bank (ADB) as partner, and those with e-mail lists are summarized in Table A8.1. Based on the data provided by ADBI, a total of 4,172 individuals participated in these courses.

**Table A8.1: Number of Courses per Year and with E-mail Lists**

Year	Number of Courses Conducted	Number of Courses Held in Japan <sup>a</sup>	Number of Courses with ADB HQ as Partner <sup>a</sup>	Number of Courses with E-mail Lists of Participants
2007	16 <sup>b</sup>	8	9	14
2008	22 <sup>c</sup>	9	7	20
2009	28 <sup>c</sup>	9	7	27
<b>Total</b>	<b>66</b>	<b>26</b>	<b>23</b>	<b>61</b>

ADB = Asian Development Bank, HQ = headquarters.

<sup>a</sup> The figures are not supposed to be summative. The categories are not mutually exclusive. Some courses done in Tokyo are also done in partnership with the ADB headquarters.

<sup>b</sup> Three courses were distance learning courses.

<sup>c</sup> One course was a distance learning course.

Source: Data from the Asian Development Bank Institute website, compiled by the Independent Evaluation Department.

<sup>1</sup> Given an increasing focus on senior policy makers as course participants, the nature of most CBT activities have evolved from traditional training courses in the early years to a policy dialogue format in recent years, especially from 2010 onward. This format allows the sharing of good practices and country experiences of the participants. As of December 2009, however, this changing nature and focus of CBT activities were not well articulated in ADBI's key documents such as its Three-Year Rolling Work Program and Budget documents. To capture the essence of the policy dialogue format, items in the survey of face-to-face courses included questions on the extent to which participants had exchanged information, and shared practices and experiences relevant to their development work.

<sup>2</sup> This course is delivered in collaboration with the World Bank's Tokyo Development Learning Center (TDLC).

3. A total of 1,365 e-mail addresses for the distance learning courses and 1,339 e-mail addresses for the face-to-face courses were retrieved, representing 61 of the 66 courses offered by ADBI in the same period. The e-mail addresses were used to send out the online survey forms. For this purpose, a web-based survey software, E-SurveysPro, was used to expedite the collection and initial analysis of the results. The surveys ran for the whole month of August 2010. Evaluation criteria, questions, and indicators used in the survey of CBT courses are given in Table A2.3 of Appendix 2. As shown in Table A8.2, the response rates were quite high at 44% for the distance learning and 35% for the face-to-face courses. The response rates for web-based surveys based on probability samples could range anywhere between 8% and 62%.<sup>3</sup> Given the relatively short duration of the survey on CBT courses and the limited follow-ups that were done, the response rates of the evaluation study are well within the acceptable limits.<sup>4</sup>

**Table A8.2: Summary of Respondents for the E-Surveys**

Item	Face-to-Face Courses	Distance Learning Courses
Total available e-mail addresses	1,339	1,365
Invalid e-mail addresses	134	257
Total valid e-mail addresses	1,205	1,108
Number of respondents	423	490
Number of completed responses <sup>a</sup>	307	425
Response rate for completed responses	25%	38%
Response rate for total responses	35%	44%

<sup>a</sup> Some respondents who initially participated in the e-survey failed to answer all the questions, and these were, therefore, classified as incomplete responses. The difference in the number of respondents who started to answer the questionnaire compared with those who finished the survey resulted in a slightly different number of respondents answering each question in the survey.

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

## B. Profiles of Respondents

4. Of the total respondents of 423, many respondents for the face-to-face courses attended in 2009 (42%), 2008 (25%), or 2007 (13%), and the rest attended courses conducted before 2007. The courses most frequently cited were public-private partnerships (28%), global and regional cooperation and integration (20%), and infrastructure (19%). Significant also were those who attended courses on tax administration (14%), environment (13%), and financial/capital markets (2%).

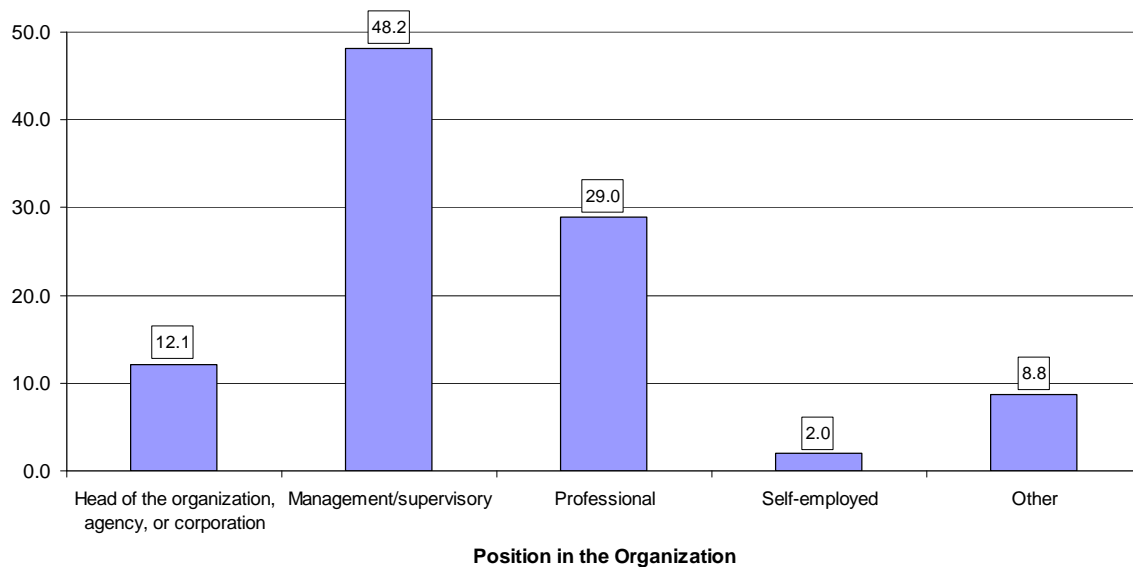
5. The majority of the respondents for the distance learning courses were males (68%), those with postgraduate degrees (79%), those from national government organizations (67%), and heads of or at the management level of their organizations (60%). Of the total respondents of 490, many attended the distance learning courses in 2009 (35%), 2008 (22%), 2007 (26%), and the rest attended courses conducted before 2007. Of those who identified their course, the majority (53%) were attendees of microfinance training of trainers. The rest attended either a course on e-learning policies (23%) or on community/public information services (19%).

<sup>3</sup> M. Schonlau, R. Fricker, and M. Elliott. 2002. *Conducting Research Surveys via E-Mail and the Web*. Santa Monica, CA: RAND.

<sup>4</sup> Further statistical analyses were done through the use of SPSS version 15.0. Because of the possible self-selection bias that may be at work in the e-survey of CBT courses, inferring to the larger population of all CBT participants should be done with caution.

6. As illustrated in Figure A8.1, almost half (48%) of the respondents in the face-to-face courses were at the management/supervisory levels, followed by those at the professional level (29%) and a significant number (12%) who were heads of their respective organizations/agencies or corporations. The majority of these respondents stated that they were invited (59%) or recommended (23%) to attend.

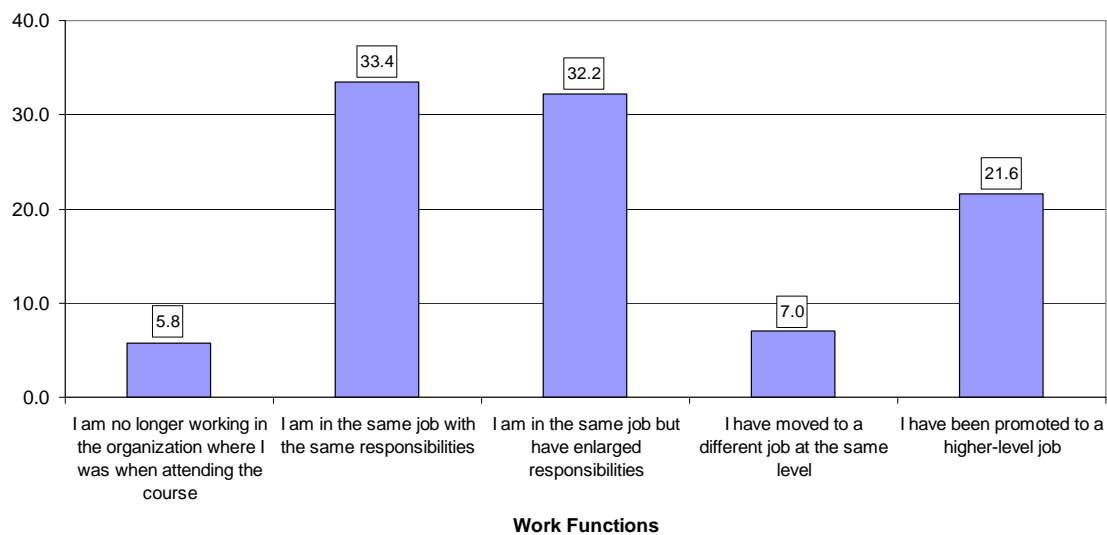
**Figure A8.1: Position Within the Organization—Face-to-Face Course Respondents (%)**



Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

7. Meanwhile, some self-selection might have been at work for the participants of the distance learning courses, especially when more than half (59%) filed an application to participate in these courses. About 19% were actually recommended by their supervisor and/or organization. This apparent skew in favor of the active course applicants indicates a need to look into the matching between the knowledge/skills acquisition and actual job responsibilities of the participants.

8. There was a general positive professional movement among the respondents of the face-to-face courses. Significantly, 22% had been promoted to a higher level job. Although still in the same job, about 32% of the respondents had expanded responsibilities. About 33% remained in the same job with the same responsibilities (Figure A8.2). The data, however, do not indicate whether promotions and/or expanded job responsibilities experienced by these respondents were in any way related to their course attendance. There was a similar positive professional movement among the respondents of the distance learning courses: Thirty-six percent of the survey respondents now had expanded job responsibilities. About 17% had been promoted to a higher level job.

**Figure A8.2: Current Work Functions of the Respondents from Face-to-Face Courses (%)**

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

9. The following section presents the general evaluation of the CBT courses in terms of relevance, effectiveness, and usefulness scores. Initial comparisons of the average scores would also be made in terms of selected participant characteristics as well as features of the CBT courses attended. Participant characteristics and course features have long been established in learning utilization and do impinge on the quality of learning acquisition.

10. Participant characteristics included the gender, educational attainment (postgraduate or not), organization (whether government or not), position within the organization (head/management level or not), and income level of the country of origin (low income or not). For the course characteristics, indicators included the mode of selection (invited or not), the mode of instruction (face to face or not),<sup>5</sup> whether an action plan<sup>6</sup> was utilized as part of the course design, and the length of the training period. The summary of descriptive statistics of variables used in the analysis is given in Table A8.21.

11. The important participant and course features were further tested in terms of their direct and indirect effects on relevance, effectiveness, and usefulness. This was done through the use of multiple regressions and its variant, path analysis. It is emphasized that the analysis is not an attempt to establish causal factors of relevance, effectiveness, and usefulness. Rather, it is an initial attempt to identify important factors that influence the perceived relevance, usefulness, and effectiveness of CBT courses. In this way, recommendations for improving the CBT program are sufficiently anchored on the data provided by the survey respondents.

<sup>5</sup> For the distance learning courses, the indicator used is whether the course was a distance learning or not.

<sup>6</sup> An action plan is a work plan mapping out the steps and procedures that will be adopted once the participants are back in their home organization in order to apply the knowledge and skills acquired from the CBT courses. Training success is more likely with the use of appropriate pedagogic design that would allow participants to practice the skills learned.

### C. Assessment of Capacity Building and Training Courses: Relevance, Effectiveness, and Usefulness

#### 1. Relevance

12. Using a scale of 1 to 5, where 1 means strongly disagree and 5 means strongly agree, survey respondents were asked to rate the relevance of the course content to their organization/country context. As shown in Table A8.3, the majority of the respondents in both the face-to-face (60%) and distance learning (50%) courses agreed that the content of the training sufficiently fit the needs of their organization and/or country. The average rating was 4.04 for the face-to-face and 4.15 for the distance learning courses. Activities like the Developing Asia Journalism Awards program were quite relevant, especially the networks that were established through interactions of the participants with foreign journalists and other regional development officials.

**Table A8.3: Overall Assessment of the Relevance of the Course Content with Reference to the Country/Organization of the Participants**

Indicator of Relevance		Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total <sup>a</sup>
<b>Face-to-Face Courses</b>							
The course content was sufficiently relevant to my organization/country context for me to apply the knowledge and skills I acquired from the activity.	Count	1	11	36	182	72	302
	%	0.3%	3.6%	11.9%	60.3%	23.8%	100%
	<b>Mean</b>						<b>4.04</b>
<b>Distance Learning Courses</b>							
The course content was sufficiently relevant to my organization/country context for me to apply the knowledge and skills I acquired from the activity.	Count	4	12	38	184	127	365
	%	1.1%	3.3%	10.4%	50.4%	34.8%	100%
	<b>Mean</b>						<b>4.15</b>

<sup>a</sup> Included only respondents who provided a valid response for these indicators.

Source: ADB Independent Evaluation Department 2010 survey of capacity building and training courses.

13. The survey of CBT participants also measured the appropriateness of the course level relative to the needs of the participants. Although 30% found the course levels to be either too high or too low for their needs, the concentration of scores suggests that the majority of the survey respondents for the face-to-face (70%) and the distance learning (69%) courses considered the course levels to be just appropriate for their needs (Table A8.4).

**Table A8.4: Appropriateness of the Level of Difficulty of the Course According to the Participants' Needs**

Indicators of Appropriateness		Much Too Low	Slightly Too Low	Just Right	Slightly Too High	Much Too High	Total <sup>a</sup>
<b>Face-to-Face- Courses</b>							
The level of the course was appropriate for my needs.	Count	1	28	225	53	15	322
	%	.3%	8.7%	69.9%	16.5%	4.7%	100%
	<b>Mean</b>						<b>3.16</b>
<b>Distance Learning Courses</b>							
The level of the course was appropriate for my needs.	Count	2	28	285	69	31	385
	%	.5%	6.7%	68.7%	16.6%	7.5%	100%
	<b>Mean</b>						<b>3.24</b>

<sup>a</sup> Included only respondents who provided a valid response for these indicators.

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

14. Using a scale of 1 to 5, where 1 represents strongly disagree and 5 means strongly agree, the survey respondents were further presented with situational statements pertaining to the appropriateness of course design and participant composition. The results of these appropriateness indicators are summarized in Tables A8.5 and A8.6.

15. The highest average scores among the various indicators of appropriateness concerned the correct mixture of participants vis-à-vis stated course objectives. The computed average for the respondents of the face-to-face courses was 4.27, while for the distance learning courses, the average score was computed to be 4.29. Overall, these average scores indicate that the survey respondents agreed on the courses having the appropriate composition of participants relative to the stated course objectives. As illustrated further in Tables A8.5 and A8.6, the average scores for both face-to-face and distance learning courses indicate high scores for the other indicators of appropriateness.

**Table A8.5: Various Measures of Appropriateness in the Conduct of the Face-to-Face Courses**

Indicators		Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Total <sup>a</sup>
Course participants were given sufficient opportunities in the course to practice skills being taught.	Count	2	46	45	168	58	319
	%	0.6%	14.4%	14.1%	52.7%	18.2%	100%
	<b>Mean</b>						
Course participants were given sufficient opportunities to discuss in the course their needs, experiences, and perspectives.	Count	2	19	25	170	105	321
	%	0.6%	5.9%	7.8%	53.0%	32.7%	100%
	<b>Mean</b>						
Course participants were given sufficient course materials to support learning.	Count	1	15	27	158	120	321
	%	0.3%	4.7%	8.4%	49.2%	37.4%	100%
	<b>Mean</b>						
The mix of participants attending was appropriate for course goals.	Count	4	9	13	163	129	318
	%	1.3%	2.8%	4.1%	51.3%	40.6%	100%
	<b>Mean</b>						

<sup>a</sup> Included only respondents who provided a valid response for these indicators.

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

**Table A8.6: Various Measures of Relevance (Appropriateness)  
in the Conduct of Distance Learning Courses**

Indicators		Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Do not Remember	Total <sup>a</sup>
Course participants were given sufficient opportunities in the course to practice skills being taught.	Count	2	46	45	168	58	3	322
	%	.6%	14.3%	14.0%	52.2%	18.0%	0.9%	100%
	<b>Mean</b>							<b>3.75</b>
Course participants were given sufficient opportunities to discuss in the course their needs, experiences, and perspectives.	Count	2	19	25	170	105	1	321
	%	.6%	5.9%	7.8%	52.8%	32.6%	0.3%	100%
	<b>Mean</b>							<b>4.12</b>
Course participants were given sufficient course materials to support learning.	Count	1	15	27	158	120	1	322
	%	.3%	4.7%	8.4%	49.1%	37.3%	0.3%	100%
	<b>Mean</b>							<b>4.19</b>
The mix of participants attending was appropriate for course goals.	Count	4	9	13	163	129	4	322
	%	1.2%	2.8%	4.0%	50.6%	40.1%	1.2%	100
	<b>Mean</b>							<b>4.29</b>

<sup>a</sup> Included only respondents who provided a valid response for these indicators.

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

16. Based on the results of the independent samples t-tests<sup>7</sup> and one-way analysis of variance (F-test),<sup>8</sup> the groupings according to selected participant characteristics did not have a significant effect on the average relevance scores for the respondents of both the face-to face and the distance learning courses. Meanwhile, among the selected course features tested for significance, it is only the use of an action plan that had a significant effect on the average relevance scores. For the face-to-face courses, the average relevance score for those with an action plan was computed at 4.21, while for those with no action plan, the average relevance score was 3.91 ( $t = 3.643$ ,  $p < .01$ ). For the distance learning courses, the average relevance score for those with an action plan was computed at 4.29, while for those with no action plan, the average relevance score was 4.04 ( $t = 2.912$ ,  $p < .05$ ) (Tables A8.7 and A8.8). This finding further supports the importance of integrating the use of action plans in future courses of ADBI.

<sup>7</sup> The independent samples t-test is used to determine if there is a significant difference between the means of two groups.

<sup>8</sup> The one-way analysis of variance (F-test) is a statistical test used to determine if there is a significant difference between the means of three or more groups.

**Table A8.7: Ratings of Relevance by Course Characteristics (mean score):  
Face to Face Courses**

<b>Course Features</b>	<b>Yes</b>	<b>No</b>	<b>T-Statistics</b>	
Mode of selection <sup>a</sup> (Invited)	4.08	3.98	1.130	
Mode of instruction <sup>b</sup> (Face-to-Face Course) With Action Plan	4.02	4.08	-0.700	
	4.21	3.91	3.643 <sup>c</sup>	
<b>Length</b>	<b>1–3 days</b>	<b>4–7 days</b>	<b>More than a week</b>	<b>F-Statistics</b>
	4.09	3.97	4.05	0.927

<sup>a</sup> There are several categories of participant selection: invited, recommended, or blended (combination). For the purpose of this statistical analysis, the default category (Yes) is the invited. The other categories were collapsed into the No category.

<sup>b</sup> There are several categories of course instruction: face-to-face, distance learning, or a combination. For the purpose of this statistical analysis, the default category (Yes) is the face-to-face. The other categories were collapsed into the No category.

<sup>c</sup>  $p < 0.01$  indicates that the coefficient is statistically significant at the 1% level.

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

**Table A8.8: Ratings of Relevance by Course Characteristics (mean score):  
Distance Learning Courses**

<b>Course Features</b>	<b>Yes</b>	<b>No</b>	<b>T-Statistics</b>	
Mode of selection <sup>a</sup> (Invited)	4.39	4.12	1.739	
Mode of instruction <sup>b</sup> (distance learning) With action plan	4.14	4.21	-.578	
	4.29	4.04	2.912 <sup>c</sup>	
<b>Length</b>	<b>Less than 3 months</b>	<b>3–6 months</b>	<b>More than 6 months</b>	<b>F-Statistics</b>
	3.99	4.16	4.32	2.183

<sup>a</sup> There are several categories of participant selection: invited, recommended, or blended (combination). For the purpose of this statistical analysis, the default category (Yes) is the invited. The other categories were collapsed into the No category.

<sup>b</sup> There are several categories of course instruction: face-to-face, distance learning, or a combination. For the purpose of this statistical analysis, the default category (Yes) is distance learning. The other categories were collapsed into the No category.

<sup>c</sup>  $p < 0.01$  indicates that the coefficient is statistically significant at the 1% level.

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

## 2. Effectiveness (Outcomes)

17. Written surveys reflected good levels of satisfaction with the CBT courses. On a scale of 1 to 5, with 1 being the lowest and 5 being the highest, ADBI's CBT courses averaged about 4.23 (for both face-to-face and distance learning courses) in terms of perceived quality (Table A8.9). For the face-to-face courses, the highest average score of 4.29 (above average) was given to courses on Tax Administration, while for the distance learning course, the highest average of 4.30 was given to courses on Community/Public Information Services.

18. The high scores in terms of course quality were likewise observed for the most frequently cited face-to-face and distance learning courses (i.e., courses on Tax Administration and Microfinance Training). It is not a case whereby one course is clearly preferred over the others. Clearly, the courses regardless of the themes were rated as above average by the



survey respondents. Many of the participants were also highly appreciative of the opportunity to interact with their peers from various countries, and felt that such regional courses were an important learning opportunity.

**Table A8.9: Overall Evaluation of the Participants Regarding the Quality of the Courses**

Indicators of Quality		Very Poor Quality	Below Average	Average	Above Average	Excellent	Total <sup>a</sup>
<b>Face-to-Face Courses</b>							
The quality of the CBT course attended by the respondents in relation to the other professional training courses they had attended.	Count	4	1	38	155	126	
	%	1.2%	0.3%	11.7%	47.8%	38.9%	100%
	<b>Mean</b>						<b>4.23</b>
<b>Distance Learning Courses</b>							
The quality of the CBT course attended by the respondents in relation to the other professional training courses they had attended.	Count	2	8	45	201	163	419
	%	0.5%	1.9%	10.7%	48.0%	38.0%	100%
	<b>Mean</b>						<b>4.23</b>

<sup>a</sup> Included only respondents who provided a valid response for these indicators.

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

19. Respondents' attitudes toward course effectiveness were measured in terms of changed attitudes, knowledge, and skills. On a scale of 1 to 5, with 1 meaning strongly disagree and 5 meaning strongly agree, respondents were asked to rate a series of situational statements pertaining to the effectiveness of the courses that they had attended. In general, both the face-to-face and the distance learning courses rated very well in terms of effectiveness. The average scores for the face-to-face (4.1) and the distance learning (4.2) courses suggest that respondents found the ADBI courses quite effective in imparting relevant knowledge and skills (Table A8.10).

**Table A8.10: Average Effectiveness for the Face-to-Face and Distance Learning Courses**

Type of Course	N	Minimum	Maximum	Mean	Std. Deviation
Face-to-Face Courses	312	1.00	5.00	4.10	.606
Distance Learning Courses	408	1.00	5.00	4.16	.573

N = sample size.

Note: Using six separate indicators on effectiveness (eight for the distance learning courses), an index score of effectiveness was constructed. A factor analysis resulted in only one factor with an eigenvalue of more than 1. The eigenvalue for a given factor measures the variance in all the variables accounted for by that factor. The factor with the highest eigenvalue accounts for the greatest variance among the component variables. The default cut-off value is for a factor to have an eigenvalue of 1 or better. This factor is comprised of all the six (eight) indicators used for effectiveness. The combined results of factor and reliability analysis using Cronbach's Alpha support the use of aggregate measure of effectiveness. This was done by computing the average score for the six (eight) indicators of effectiveness. The actual factor loadings and the value for Cronbach's Alpha are found in Table A8.24.

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

20. As shown in Tables A8.11 and A8.12, the acquisition of new knowledge scored higher than the acquisition of skills and strategies. In other words, more participants found courses to be informative than those who believed that they had acquired practical skills or strategies that could be used at work. According to the participants of the face-to-face courses, the courses were most effective in providing new knowledge (4.31), new insights (4.25), and useful contacts (4.15). Slightly lower were the average scores for new strategies (4.01), new skills (4.02), and new attitudes (3.83) (Table A8.11). The effectiveness scores for the distance learning courses

were also equally high. The acquisition of knowledge relevant to the job (4.32) and knowledge about tools and technology related to distance learning (4.31) averaged the highest in terms of effectiveness. Items pertaining to insights (4.25), skills (4.18), and attitudes (4.09) likewise scored high. Meanwhile, items on establishing networks and strategies for the improvement of the participant's organization scored lowest with an average of 3.98 (Table A8.12).

**Table A8.11: Various Measures of Effectiveness of the Face-to-Face Courses**

Indicators		Strongly Disagree	Disagree	Neither	Agree	Strongly Agree	Total <sup>a</sup>	
				Agree nor Disagree				
The activity changed my attitude towards issues discussed in training.	Count	1	15	50	180	35	281	<b>3.83</b>
	%	0.4%	5.3%	17.8%	64.1%	12.5%	100%	
	<b>Mean</b>							
The activity provided new knowledge which is relevant to my current job.	Count	3	6	19	146	134	308	<b>4.31</b>
	%	1.0%	1.9%	6.2%	47.4%	43.5%	100%	
	<b>Mean</b>							
The activity provided new skills which are relevant to my current job.	Count	4	11	46	145	87	293	<b>4.02</b>
	%	1.4%	3.8%	15.7%	49.5%	29.7%	100%	
	<b>Mean</b>							
The activity provided new strategies to improve the operations of my organization.	Count	4	10	49	140	85	288	<b>4.01</b>
	%	1.4%	3.5%	17.0%	48.6%	29.5%	100%	
	<b>Mean</b>							
The activity provided new insights and understanding of the development challenges faced by my country.	Count	2	10	16	156	117	301	<b>4.25</b>
	%	0.7%	3.3%	5.3%	51.8%	38.9%	100%	
	<b>Mean</b>							
The activity provided useful contacts, links or networks with professional and specialists who are in the same line of work.	Count	2	9	33	159	103	306	<b>4.15</b>
	%	0.7%	2.9%	10.8%	52.0%	33.7%	100%	
	<b>Mean</b>							

<sup>a</sup> Included only respondents who provided a valid response for these indicators.

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

**Table A8.12: Various Measures of Effectiveness of the Distance Learning Courses**

Indicators		Strongly Disagree	Disagree	Neither	Agree	Strongly Agree	Total <sup>a</sup>	
				Agree nor Disagree				
The activity changed my attitude toward issues discussed in training.	Count	3	8	51	204	111	377	
	%	.8%	2.1%	13.5%	54.1%	29.4%	100%	
	<b>Mean</b>							<b>4.09</b>
The activity provided new knowledge that is relevant to my current job.	Count	2	4	27	195	165	393	
	%	.5%	1.0%	6.9%	49.6%	42.0%	100%	
	<b>Mean</b>							<b>4.32</b>
The activity provided new skills that are relevant to my current job.	Count	3	10	44	187	144	388	
	%	.8%	2.6%	11.3%	48.2%	37.1%	100%	
	<b>Mean</b>							<b>4.18</b>
The activity improved my knowledge about tools and technology used in distance learning such as computers, e-mail, CD-ROM, webcasts, video conferencing, courseware, etc.	Count	5	8	28	177	184	402	
	%	1.2%	2.0%	7.0%	44.0%	45.8%	100%	
	<b>Mean</b>							<b>4.31</b>
The activity improved my skills about tools and technology used in distance learning such as computers, e-mail, CD-ROM, webcasts, video conferencing, courseware, etc.	Count	5	15	48	159	171	398	
	%	1.3%	3.8%	12.1%	39.9%	43.0%	100%	
	<b>Mean</b>							<b>4.20</b>
The activity provided new strategies to improve the operations of my organization.	Count	4	17	61	199	101	382	
	%	1.0%	4.5%	16.0%	52.1%	26.4%	100%	
	<b>Mean</b>							<b>3.98</b>
The activity provided new insights and understanding of the development challenges faced by my country.	Count	4	8	37	184	162	395	
	%	1.0%	2.0%	9.4%	46.6%	41.0%	100%	
	<b>Mean</b>							<b>4.25</b>
The activity provided useful contacts, links, or networks with professionals and specialists who are in the same line of work.	Count	5	23	61	192	113	394	
	%	1.3%	5.8%	15.5%	48.7%	28.7%	100%	
	<b>Mean</b>							<b>3.98</b>

<sup>a</sup> Included only respondents who provided a valid response for these indicators.

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

21. The aggregate effectiveness scores for both the face-to-face and the distance learning courses were also tested to see if significant differences existed according to the characteristics of the survey respondents and features of the courses that they had attended. As shown in Table A8.13, participants of face-to-face courses who utilized action plans had a higher average effectiveness score (4.20) than those with no action plans, 4.03 ( $t = 2.397$ ,  $p < 0.05$ ). Further, participants attending a course that lasted for more than a week had a higher average effectiveness score (4.49) than those who attended 1–3 day courses (4.13) or 4–7 day courses (4.03)  $F = 6.246$ ,  $p < 0.01$ ). For the distance learning courses (Table A8.14), respondents who were invited (4.38) tended to give higher average effectiveness scores than those who actively applied (4.14  $t = 2.320$ ,  $p < 0.05$ ).

**Table A8.13: Ratings of Effectiveness by Course Characteristics (mean score):  
Face-to-Face Courses**

<b>Course Features</b>	<b>Yes</b>	<b>No</b>	<b>T-Statistics</b>
Mode of Selection <sup>a</sup> (Invited)	4.11	4.10	0.205
Mode of Instruction <sup>b</sup> (Face-to-Face)	4.07	4.20	(1.820)
With Action Plan	4.20	4.03	2.397 <sup>c</sup>
<b>Length</b>	<b>1–3 Days</b>	<b>4–7 Days</b>	<b>F-Statistics</b>
	4.13	4.03	6.246 <sup>d</sup>

<sup>a</sup> There are several categories of participant's selection: invited, recommended, or blended (combination). For the purpose of this statistical analysis, the default category (Yes) is the invited. The other categories were collapsed into the No category.

<sup>b</sup> There are several categories of course instruction: face-to-face, distance learning, or a combination. For the purpose of this statistical analysis, the default category (Yes) is the face-to-face. The other categories were collapsed into the No category.

<sup>c</sup>  $p < 0.05$  Indicates that the coefficient is statistically significant at the 5% level.

<sup>d</sup>  $p < 0.01$  Indicates that the coefficient is statistically significant at the 1% level.

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

22. Meanwhile, as shown in Table A8.14, the average effectiveness rating for courses with an action plan was computed at 4.28 compared with those with no action plan at 4.07 ( $t = 3.616$ ,  $p < 0.01$ ). The statistical significance, however, may have limited practical significance, as respondents for both the face-to-face and the distance learning courses agreed on the overall effectiveness of the CBT courses that they had attended.

**Table A8.14: Ratings of Effectiveness by Course Characteristics (mean score):  
Distance Learning Courses**

<b>Course Features</b>	<b>Yes</b>	<b>No</b>	<b>T-Statistics</b>
Mode of Selection <sup>a</sup> (Invited)	4.38	4.14	2.320 <sup>c</sup>
Mode of Instruction <sup>b</sup> (Distance Learning)	4.17	4.06	1.333
With Action Plan	4.28	4.07	3.616 <sup>d</sup>
<b>Length</b>	<b>Less than 3 Months</b>	<b>3–6 Months</b>	<b>F-Statistics</b>
	4.13	4.15	0.401

<sup>a</sup> There are several categories of participant selection: invited, recommended, or blended (combination). For the purpose of this statistical analysis, the default category (Yes) is the invited. The other categories were collapsed into the No category.

<sup>b</sup> There are several categories of course instruction: face-to-face, distance learning, or a combination. For the purpose of this statistical analysis, the default category (Yes) is the distance learning. The other categories were collapsed into the No category.

<sup>c</sup>  $p < 0.05$  indicates that the coefficient is statistically significant at the 5% level.

<sup>d</sup>  $p < 0.01$  Indicates that the coefficient is statistically significant at the 1% level.

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

23. Aside from the averages, the actual recommendations and suggestions of the survey respondents are also important considerations to further improve ADBI's CBT program. The following were the most common suggestions for improvements of the course design: (i) more time for class discussion and more opportunities to share experience among participants, (ii) more case studies and practical examples presented in course, (iii) more work on practical skills associated with the policies presented, (iv) more field visits, and (v) more follow-up contacts in

order to disseminate recent knowledge on course topics and facilitate ongoing dialogue among course participants. There was a consensus for a more hands-on field experience rather than just straightforward lectures and presentations by invited experts. These suggestions apply equally to both face-to-face and distance learning courses. It is also evident from participant comments that, while the high level of theoretical information provided in the courses was valuable to them, there was a general lack of translation of those theories into more practice-oriented sessions. As cited above, participants claimed to have gained more knowledge than useful skills.

### 3. Usefulness

24. The real test of CBT usefulness would be the actual application of the skills and knowledge acquired from the courses attended. In this survey, usefulness was measured primarily in terms of perceived usefulness of knowledge and skills acquired from the training attended. Given the organizational and professional profile of the respondents, a series of activity items were presented to them. The respondents were then requested to rank these items in terms of their frequency of application. A score of 1 indicates that the activity was not applied at all, while at the other end of the continuum, a score of 5 indicates that the activity was practiced very often. The overall usefulness scores for both the face-to-face (2.9) and the distance learning (2.8) courses indicate that the participants applied the knowledge and skills “occasionally” to their respective jobs. The usefulness scores are at best “average,” indicating some room for improvement. Again, there is no noticeable difference in the average usefulness scores for the face-to-face and the distance learning courses (Table A8.15).

**Table A8.15: Average Usefulness for the Face-to-Face and Distance Learning Courses<sup>a</sup>**

Type of Course	N	Minimum	Maximum	Mean	Standard Deviation
Face-to-Face Courses	310	1.00	5.00	2.85	0.902
Distance Learning Courses	395	1.00	5.00	2.77	0.997

N = sample size.

<sup>a</sup> Using nine separate indicators of usefulness, an index score of effectiveness was constructed. Factor analysis resulted in only one factor with an *eigenvalue* of more than 1. This factor is comprised of all the nine indicators of usefulness. The combined results of factor and reliability analysis using Cronbach’s Alpha support the use of an aggregate measure of effectiveness. This was done by computing the average score for the nine indicators of usefulness. The actual factor loadings and the value for Cronbach’s Alpha is found in Table A8.24.

Source: ADB Independent Evaluation Department 2010 survey of capacity building and training courses.

25. Based on the concentration of scores for the face-to-face courses (Table A8.16), activities like conducting a seminar, accessing of additional resources, training members of the organization, conducting research, and designing projects were done occasionally by the respondents. For the distance learning courses (Table A8.17) some respondents admitted never having a chance to use the knowledge and skills from the training to design regulations (48%), write an article (41%), or access additional technical resources (39%).

26. The middling scores for the usefulness of both the face-to-face and the distance learning courses indicate that there seems to be no automatic conversion of knowledge and skills into actual practice. If anything, the lower usefulness scores stress once again the importance of after-training follow-ups and refresher courses. An arrangement could be instituted to assist the participants to put into practice the knowledge and skills acquired in a few days of training. The need for these follow-up courses is actually one of the most frequent suggestions made by the respondents to improve the design of both the face-to-face and the distance learning courses of ADBI.

27. The current performance of ADBI seems to be an improvement compared with the results of the 2005 ADBI training impact evaluation.<sup>9</sup> According to the study (footnote 10), about 36% of the participants said they conducted a seminar on the training they attended. The percentage was much better for the face-to-face (79%) and the distance learning (71%) survey respondents who claimed to have conducted a seminar at least once after returning from the ADBI courses. Another 80% of the face-to-face and 59% of the distance course survey respondents also wrote an article or report about their respective training (Tables A8.16 and A8.17).<sup>10</sup>

**Table A8.16: Usefulness of the Face-to-Face Courses**

Indicators		Frequency					Total <sup>a</sup>	Mean
		Not at All	Once or Twice	Occasionally	Often	Very Often		
Conducted seminar in my organization on the training I attended	Count	49	54	66	59	7	235	<b>2.66</b>
	%	20.9%	23.0%	28.1%	25.1%	3.0%	100%	
	<b>Mean</b>							
Wrote an article or report about the workshop	Count	56	99	63	41	16	275	<b>2.50</b>
	%	20.4%	36.0%	22.9%	14.9%	5.8%	100%	
	<b>Mean</b>							
Shared training materials with others	Count	7	47	71	118	56	299	<b>3.57</b>
	%	2.3%	15.7%	23.7%	39.5%	18.7%	100%	
	<b>Mean</b>							
Trained members of other organizations and/or clients of my organization	Count	62	39	67	64	16	248	<b>2.73</b>
	%	25.0%	15.7%	27.0%	25.8%	6.5%	100%	
	<b>Mean</b>							
Designed and implemented policies, strategies, or business plans within my own organization	Count	38	37	73	78	38	264	<b>3.16</b>
	%	14.4%	14.0%	27.7%	29.5%	14.4%	100%	
	<b>Mean</b>							
Designed and implemented regulations and/or legislation in my own country	Count	50	36	63	69	26	244	<b>2.94</b>
	%	20.5%	14.8%	25.8%	28.3%	10.7%	100%	
	<b>Mean</b>							
Accessed resources such as technical experts, as well as funds	Count	66	30	82	45	15	238	<b>2.63</b>
	%	27.7%	12.6%	34.5%	18.9%	6.3%	100%	
	<b>Mean</b>							
Designed projects or programs patterned after the best models presented during the activity	Count	67	39	75	51	16	248	<b>2.64</b>
	%	27.0%	15.7%	30.2%	20.6%	6.5%	100%	
	<b>Mean</b>							
Conducted research or other forms of knowledge production (website and courseware design)	Count	71	33	70	49	21	244	<b>2.66</b>
	%	29.1%	13.5%	28.7%	20.1%	8.6%	100%	
	<b>Mean</b>							

<sup>a</sup> Included only respondents who provided a valid response for these indicators.

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

<sup>9</sup> ADBI. 2005. *Training Impact Evaluation and Training Needs Assessment Studies*. Tokyo.

<sup>10</sup> The sum of all the respondents who wrote an article, once or twice to very often, after returning to their respective home organizations.

**Table A8.17: Usefulness of the Distance Learning Courses**

Indicators		Frequency					Total <sup>a</sup>	
		Not at All	Once or Twice	Occasionally	Often	Very Often		
Conducted seminar in my organization on the training I attended	Count	96	60	79	64	29	328	
	%	29.3%	18.3%	24.1%	19.5%	8.8%	100%	
	Mean							2.60
Wrote an article or report about the workshop	Count	139	77	54	43	23	336	
	%	41.4%	22.9%	16.1%	12.8%	6.8%	100%	
	Mean							2.21
Shared training materials with others	Count	27	51	100	113	91	382	
	%	7.1%	13.4%	26.2%	29.6%	23.8%	100%	
	Mean							3.50
Trained members of other organizations and/or clients of my organization	Count	78	53	85	75	58	349	
	%	22.3%	15.2%	24.4%	21.5%	16.6%	100%	
	Mean							2.95
Designed and implemented policies, strategies, or business plans within my own organization	Count	57	50	90	92	49	338	
	%	16.9%	14.8%	26.6%	27.2%	14.5%	100%	
	Mean							3.08
Designed and implemented regulations and/or legislation in my own country	Count	132	28	54	35	24	273	
	%	48.4%	10.3%	19.8%	12.8%	8.8%	100	
	Mean							2.23
Accessed resources such as technical experts, as well as funds	Count	125	49	66	57	22	319	
	%	39.2%	15.4%	20.7%	17.9%	6.9%	100%	
	Mean							2.38
Designed projects or programs patterned after the best models presented during the activity	Count	89	75	62	79	38	343	
	%	25.9%	21.9%	18.1%	23.0%	11.1%	100%	
	Mean							2.71
Conducted research or other forms of knowledge production (website and courseware design)	Count	97	54	66	64	58	339	
	%	28.6%	15.9%	19.5%	18.9%	17.1%	100%	
	Mean							2.80

<sup>a</sup> Included only respondents who provided a valid response for these indicators.

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

28. Utilizing the aggregate measure of usefulness, the same participant characteristics and course features were utilized to test whether average usefulness scores varied systematically among specific groups of survey respondents. For the face-to-face courses (Table A8.18), respondents coming from low-income countries (2.98) had a higher average usefulness score than those from non-low-income countries (2.67,  $t = 3.00$ ,  $p < 0.015$ ). Respondents who had been invited also had a higher average usefulness score (2.98) than those who were not invited (2.67,  $t = 3.012$ ,  $p < 0.01$ ). Participants who used action plans (3.14) had a higher average usefulness score than those with no action plans (2.65,  $t = 4.91$ ,  $p < 0.01$ ). For the participants of the distance learning courses (Table A8.19), the use of action plans was also a significant factor affecting average usefulness scores. Those who used action plans had an average usefulness of 3.16, while those who did not use action plans in their training averaged 2.49 ( $t = 7.03$ ,  $p < 0.01$ ). On the average, participants with action plans were able to use more often the knowledge and skills acquired from the ADBI training.

**Table A8.18: Ratings of Usefulness by Course Characteristics (mean score):  
Face-to-Face Courses**

Course Features	Yes	No	T-Statistics	
Mode of selection <sup>a</sup> (Invited)	2.98	2.67	3.00 <sup>c</sup>	
Mode of instruction <sup>b</sup> (Face-to-Face)	2.81	2.96	(1.44)	
With action plan	3.14	2.65	4.91 <sup>c</sup>	
Length	1–3 Days	4–7 Days	More than a Week	F-Statistics
	2.87	2.77	3.19	2.185

<sup>a</sup> There are several categories of participant selection: invited, recommended, or blended (combination). For the purpose of this statistical analysis, the default category (Yes) is the invited. The other categories were collapsed into the No category.

<sup>b</sup> There are several categories of course instruction: face-to-face, distance learning, or a combination. For the purpose of this statistical analysis, the default category (Yes) is the face-to-face. The other categories were collapsed into the No category.

<sup>c</sup>  $p < 0.01$  Indicates that the coefficient is statistically significant at the 1% level.

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

**Table A8.19. Ratings of Usefulness by Course Characteristics (mean score):  
Distance Learning Courses**

Course Features	Yes	No	T-Statistics	
Mode of selection <sup>a</sup> (Invite)	2.91	2.73	0.966	
Mode of instruction <sup>b</sup> (Distance Learning)	2.78	2.64	0.891	
With action plan	3.16	2.49	7.030 <sup>c</sup>	
Length	Less than 3 Months	3–6 Months	More than 6 Months	F-Statistics
	2.83	2.69	2.97	1.36

<sup>a</sup> There are several categories of participant's selection: invited, recommended, or blended (combination). For the purpose of this statistical analysis, the default category (Yes) is the invited. The other categories were collapsed into the No category.

<sup>b</sup> There are several categories of course instruction: face-to-face, distance learning, or a combination. For the purpose of this statistical analysis, the default category (Yes) is the distance learning. The other categories were collapsed into the No category.

<sup>c</sup>  $p < 0.01$  Indicates that the coefficient is statistically significant at the 1% level.

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

29. The actual utilization of the learning from the courses depends on a number of factors. There are instances wherein courses are highly relevant, are quite effective in the transmission of the needed knowledge and skills, and for the most part are also perceived as useful. All of these, however, may be compromised by an unsupportive working environment. While ADBI, as a training institute, is not in a position to address these challenges directly, better collaboration with, and flow of information to, ADB might help address these issues by enabling ADB to provide support such as policy advice and resources where ADBI cannot.

30. A more holistic approach for a successful training program should seriously take into consideration the variety of challenges faced by the participants, once they are back in their respective home organizations. With this in mind, a variety of questions were again posed to the respondents in order to gauge the level of support found at the workplace. Using a scale of 1 to 5, where 1 means strongly disagree and 5 means strongly agree, respondents accorded the



highest ratings with regard to support from managers and superiors for application of training in the face-to-face (4.00) and the distance learning (3.82) courses, 3.82. There was likewise significant support coming from workplace colleagues of both face-to-face (3.97) and distance learning (3.92) courses (Table A8.20).

**Table A8.20: Various Support Mechanisms for the Implementation of Knowledge and Skills**

Indicators		Strongly Disagree	Disagree	Neither Agree nor Disagree		Strongly Agree	Total <sup>a</sup>	
				Disagree	Agree			
<b>A. Face-to-Face Courses</b>								
My managers and superiors supported the application of knowledge and skills acquired from the activity.	Count	0	8	42	181	58	289	4.00
	%	0.0%	2.8%	14.5%	62.6%	20.1%	100%	
	Mean							
The policy environment in my organization facilitated the use of knowledge and skills acquired from the activity.	Count	2	9	47	184	46	288	3.91
	%	0.7%	3.1%	16.3%	63.9%	16.0%	100%	
	Mean							
There were sufficient resources in my organization for the use of new knowledge and the skills acquired from the activity.	Count	7	39	77	139	27	289	3.48
	%	2.4%	13.5%	26.6%	48.1%	9.3%	100%	
	Mean							
My colleagues supported the use of new knowledge and skills acquired from the activity.	Count	1	6	48	181	54	290	3.97
	%	0.3%	2.1%	16.6%	62.4%	18.6%	100%	
	Mean							
<b>B. Distance Learning Courses</b>								
My managers and superiors supported the application of knowledge and skills acquired from the activity.	Count	8	17	64	190	62	341	3.82
	%	2.3%	5.0%	18.8%	55.7%	18.2%	100%	
	Mean							
The policy environment in my organization facilitated the use of knowledge and skills acquired from the activity.	Count	8	14	75	178	66	341	3.82
	%	2.3%	4.1%	22.0%	52.2%	19.4%	100%	
	Mean							
There were sufficient resources in my organization for the use of new knowledge and the skills acquired from the activity.	Count	13	40	81	158	60	352	3.60
	%	3.7%	11.4%	23.0%	44.9%	17.0%		
	Mean							
My colleagues supported the use of new knowledge and skills acquired from the activity.	Count	5	11	62	195	73	346	3.92
	%	1.4%	3.2%	17.9%	56.4%	21.1%	100%	
	Mean							

<sup>a</sup> Included only respondents who provided a valid response for these indicators.

Source: ADB Independent Evaluation Department 2010 survey of capacity building and training courses.

31. Many of the participants interviewed were also very appreciative of the opportunity to share policy issues and experiences with their counterparts in other countries. This appears to be an extremely positive aspect of ADBI's courses. According to the CBT course survey, 73% of participants in both the face-to-face and distance learning courses communicated at least twice a year with another participant. In terms of frequency and number of contacts, fewer communicated with the course speakers and organizers. Few also maintained regular contact with other course participants or course organizers.

32. Based on the results of the CBT surveys and the examination of pertinent training documents, ADBI has already instituted the assignment of tutors and facilitators for the participants of the distance learning courses as a way of maintaining regular contact with former course participants. Thirty-five of 43 participants who mentioned their course tutors and facilitators said that their tutors were helpful and quite accessible. The rest, however, had a low quality of interaction with the tutors assigned to them. As there is already a viable network existing among the former participants, ADBI just needs to work on expanding this network to also actively involve course speakers and organizers, not only for the distance learning but also for the face-to-face courses. There must also be a concerted effort to maintain the viability of these networks after the formal ending of courses with ADBI. These networks can serve as the platform for sharing of resources and additional technical support as expressed not only by the survey respondents but also by the interviewees in the field study. As pointed out succinctly by one of the survey respondents, the relevance of the courses can be further enhanced by working on this network not only before but also prior to the actual conduct of the training.

33. Specifically, one respondent suggested creating “an avenue or forum for participants to share development issues and experiences relating to the activities,” and asked that ADBI “conduct follow-on training/workshops for participants to make presentations on in-country experiences to continue to learn from each other.” Another survey respondent asked that ADBI “continue to send us relevant information/material for our reference” and “invite participants to other related subjects of interest from time to time.”

#### **D. Regression Analysis of the Factors of Effectiveness and Usefulness**

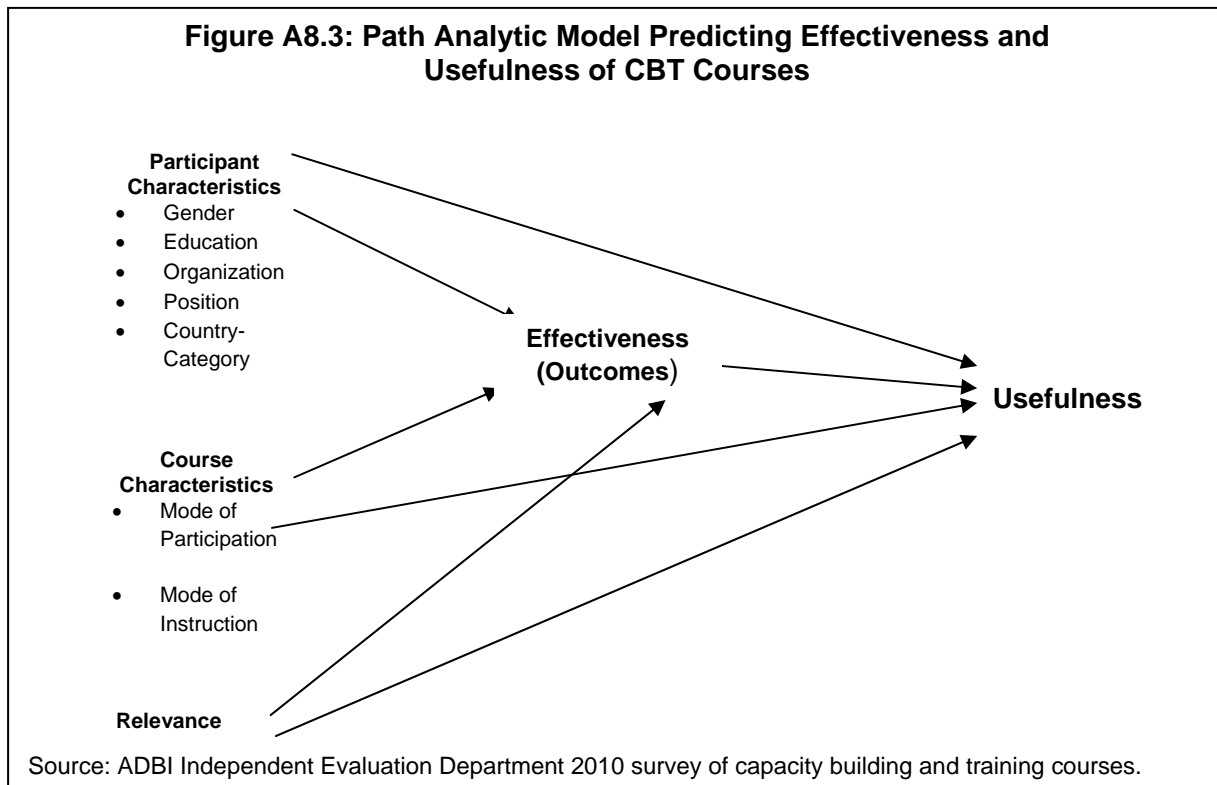
34. The comparison of means between groups of those surveyed illustrates the unique effect of participant characteristics and course features on the perceived effectiveness and usefulness of the CBT courses attended. At any given time, only one variable was tested for its effect on the perceived effectiveness and usefulness. In actuality, however, these variables affected course effectiveness and usefulness in a combined fashion. The characteristics of the participants combined with selected course features to affect the perceived effectiveness and usefulness scores of the CBT courses attended.

35. The basic conceptual framework guiding the following regression analysis is shown in Figure A8.3. The key outcome variables used were effectiveness and usefulness. Based on models applied in earlier evaluation studies,<sup>11</sup> it was hypothesized that the usefulness of the CBT program was a function of both effectiveness and relevance.<sup>12</sup> At the same time, selected

<sup>11</sup> Khattri, N and Quizon, J. 2002. *Impact Evaluation of WBI Client Programs, FY00–01*. No. EG03-63. The World Bank Institute. The World Bank, Washington, DC; Liu, Chaoying, Jha, Sireyasi, and Van Praet, Stephan. 2004. *Impact Evaluation of WBI Sector and Thematic Programs in FY 02–03: Poverty and Growth*. No. EG05-105. The World Bank Institute. The World Bank, Washington, DC; Quizon, J., Chard, C., and Lockheed, M. 2004. *The Effectiveness and Use in FY03 of WBI FY01–02 Activities: A Baseline Assessment in Five Countries*. No. EG04-86. The World Bank Institute. The World Bank, Washington, DC; Ling, C.M., Zia, H.S., Dasgupta, B., Yenice, I. 2007. *The Effectiveness and Impact of WBI FY01–05 Activities: Results from 25 Focus Countries*. No. EG07-126. The World Bank Institute. The World Bank, Washington, DC.

<sup>12</sup> The specific questions on relevance and effectiveness refer to indicators pertaining to the actual conduct of the ADBI courses. Meanwhile, usefulness indicators pertain to activities conducted after participants have returned to their respective home organizations. The proper time-ordering of the variables mitigate any possible problems of endogeneity. Further the use of path analysis was an attempt to measure the effects rather than to establish the causal connections of variables such as relevance and effectiveness, which chronologically precede usefulness. This is based on the theoretical model utilized in earlier training evaluation studies conducted by the World Bank Institute (WBI). See, for example, Liu, Chaoying, et. al., 2004. *Impact Evaluation of WBI Sector and Thematic Programs in FY 02–03: Poverty and Growth*. Washington, DC: The WBI, WBI Evaluation Studies, No. EG05-105.

participant and course characteristics also affected effectiveness and usefulness. The economic standing<sup>13</sup> of the participant's country was also considered as a factor included under the category of participant characteristics. As discussed in the previous section on the CBT course survey, the absence of supportive mechanisms can drastically reduce the utilization of skills and knowledge acquired from the CBT courses. In parallel fashion, participants from low-income countries may find different use potential (including limitations) in comparison with participants from higher income countries.



36. Although usefulness is affected by effectiveness scores, participant and course characteristics are also hypothesized to have separate and independent effects on course usefulness. This is illustrated by the direct lines connecting participant characteristics and course features to usefulness (Figure A8.3). As illustrated further in the same figure, effectiveness scores act as a direct factor influencing usefulness as well as an intervening (mediating) variable for the effects that course and participant characteristics may have on usefulness. The last factor hypothesized to influence usefulness pertains to the perceived relevance of course content. As with most studies on behavioral change, knowledge and skills perceived to be more relevant are also used more often.<sup>14</sup>

37. The predicted effect of relevance on usefulness is both direct and indirect, as mediated by the perceived effectiveness of the courses (Figure A8.3). The proposed models (Figure A8.4) hypothesizing the direct and indirect effect on usefulness were tested through a series of

<sup>13</sup> As a proxy measure of economic standing, World Bank's classification of low-income economies (\$995) was utilized. <http://data.worldbank.org/about/country-classifications/country-and-lending-groups>.

<sup>14</sup> Ajzen, Icek. 1991. "The Theory of Planned Action." *Organizational Behavior and Human Decision Processes*: 50 (179–211). Academic Press, Inc.

multiple regressions known as path analysis. The summary of descriptive statistics of variables used in the analysis is given in Table A8.21.

**Figure A8.4: Summary of Regression Models Utilized in Predicting the Effectiveness and Usefulness of CBT Courses**

Model 1: effectiveness = f (participant characteristics + course characteristics)
Model 2: effectiveness = f (participant characteristics + course characteristics + relevance)
Model 3: usefulness = f (participant characteristics + course characteristics + relevance + effectiveness)

**Table A8.21: Descriptive Statistics of Variables Used in the Test of Means and Multiple Regression**

Variables	Item Composition	Face-to-Face		Distance Learning	
		Mean	Standard Deviation	Mean	Standard Deviation
Usefulness <sup>a</sup>	Aggregated score of 9 variables, 1–5, not at all to very often	2.85	0.902	2.77	0.997
Effectiveness <sup>b</sup> (Outcomes)	Score on 6 variables, 1–5, strongly disagree to strongly agree	4.10	0.606	4.16	0.574
Relevance	Score on 1 variable on course relevance to organization/country context, 1–5, strongly disagree to strongly agree	4.04	0.730	4.15	0.814
<b>Course Features</b>					
Mode of Participation	1 = invited, 0 = other	0.593	0.492	0.082	0.274
Mode of Instruction	1 = face to face, 0 = other	0.668	0.472	0.880	0.326
Duration	1 = 1–3 days, 2 = 4–7 days, 3= more than 1 week	1.730	0.544	2.01	0.515
Action Plan	1 = yes, 0 = no	0.417	0.494	0.407	0.491
<b>Participant Characteristics</b>					
Gender	1 = female, 0 = male	0.323	0.469	0.316	0.465
Education	1 = postgraduate, 0 = other	0.789	0.409	0.786	0.410
Organization	1 = government, 0 = other	0.848	0.360	0.239	0.427
Position	1 = head/supervisory, 0 = other	0.603	0.490	0.4936	0.500
Country Category	1 = low income, 0 = other	0.236	0.425	0.209	0.407

<sup>a</sup> Mean (usefulness scores in designing projects, designing policies, training members of own/other organizations, accessing resources, designing regulations, conducting research, sharing training materials, conducting seminar, and writing an article).

<sup>b</sup> Mean (effectiveness scores in the acquisition of new knowledge, skills, insights, strategies, changed attitude, and establishing useful contacts). For the distance learning courses, two additional variables on technical knowledge and skills were also included.

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

38. Borrowing from an earlier evaluation study of the World Bank Institute,<sup>15</sup> the analysis using ordinary least squares regressions was conducted in three steps. As illustrated in the model (Figure A8.3), objective measures that included participant characteristics and course features were first regressed against effectiveness. This step allowed us to measure the effects of these objective measures on the aggregate effectiveness score. Together with the first two objective variables (participant characteristics and course features), the relevance score was introduced in the second round of regression against aggregate effectiveness scores. Compared with participant characteristics and course features, relevance score is a perception variable. The last step included the regression of aggregate effectiveness scores, relevance scores, participant characteristics, and course features against the aggregate usefulness scores.

39. Aside from its direct effects on usefulness, the analysis also attempted to look into any mediating effects that the effectiveness scores may have had on the effects of participant characteristics, course features, and relevance score on the utilization of skills and knowledge acquired from the CBT courses. By utilizing path analysis, it was possible to identify not only the direct effects on usefulness but also the indirect effects as mediated by effectiveness scores.

40. The results of the multiple regressions indicated that the proposed participant characteristics and course features had minimal effect on effectiveness. For the face-to-face courses, significant variables included education and mode of participant selection. Participants with postgraduate degrees tended to give higher average effectiveness ratings than participants with no postgraduate degrees. Invited participants also gave higher average effectiveness ratings by as much as 24% (see Model 2, Table A8.22) compared with those who were not invited. Relevance scores also have a significant effect on effectiveness. A unit increase on the relevance scores increases the average effectiveness scores by as much as 45% (Model 2, Table A8.22).

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<sup>15</sup> Liu, Chaoying, Jha, Sireyasi, and Van Praet, Stephan. 2004. *Impact Evaluation of WBI Sector and Thematic Programs in FY02–03: Poverty and Growth*. Washington, DC: The WBI, WBI Evaluation Studies, No. EG05-105.

**Table A8.22. Regression of Effectiveness and Usefulness Against Selected Variables of the Face-to-Face Courses**

Summary Statistics	Indicator	Model 1 Beta <sup>a</sup>	Model 2 Beta <sup>a</sup>	Model 3 Beta <sup>a</sup>
N		223	218	216
R <sup>2</sup> <sup>b</sup>		0.078	0.277	0.309
Adjusted R <sup>2</sup> <sup>c</sup>		0.039	0.243	0.272
Course Characteristics				
	Mode of Participation	0.032	0.240 <sup>d</sup>	0.175 <sup>d</sup>
	Mode of Instruction	(0.097)	(0.031)	0.026
	Length	0.065	0.077	(0.047)
	Action Plan	0.101	0.168	0.144 <sup>e</sup>
Participant Characteristics				
	Gender	(0.111)	(0.074)	0.038
	Education	0.136 <sup>e</sup>	0.084 <sup>e</sup>	0.062
	Organization	(0.042)	(0.060)	0.018
	Position	0.058	0.096	0.029
	Country Category	0.051	0.067	
Relevance			0.451 <sup>d</sup>	0.251 <sup>d</sup>
Effectiveness				0.259 <sup>d</sup>

N = sample size.

<sup>a</sup> Beta is the standardized regression coefficient, which employs the same standard of measurement across variables. The standardized coefficient for each variable is directly comparable with one another to determine which among the independent variables are more important in relation to the dependent variable.

<sup>b</sup> R<sup>2</sup> is the multiple coefficient of determination, which measures the collective effect of all the independent variables on the dependent variable.

<sup>c</sup> Adjusted R<sup>2</sup> is the adjusted multiple coefficient of determination, which takes into account the number of subjects and the number of independent variables. The magnitude of R<sup>2</sup> is bound to be inflated by the number of independent variables associated with the regression equation. The adjusted R<sup>2</sup> corrects for this by adjusting the level of R<sup>2</sup> to take account of the number of independent variables.

<sup>d</sup> p < 0.01 Indicates that the coefficient is statistically significant at the 1% level.

<sup>e</sup> p < 0.05 indicates that the coefficient is statistically significant at the 5% level.

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

#### Box A8.1: Technical Note

Regression Model 1 indicates that none of the proposed course characteristics had a significant effect on the aggregate effectiveness scores. Among the participant characteristics, only the level of education had a significant effect on effectiveness scores. All other things being equal, respondents with postgraduate degrees tended to give higher effectiveness scores to the face-to-face courses that they had attended. Overall, the combined participant and course characteristics were able to explain a very small percentage of the variation in the model (R<sup>2</sup> = 0.078).

The regression coefficients of Model 2 indicate that participants who were invited tended to give higher effectiveness scores to the courses that they had attended. Relevance scores were also a very good predictor of effectiveness. Courses that were deemed more relevant received higher effectiveness scores from the respondents. With the inclusion of relevance scores, the explanatory power of the model increased significantly (R<sup>2</sup> = 0.277).

In Model 3, two course characteristics, namely mode of participation and courses with action plans, were found to be significant predictors of overall course usefulness. Courses with invited participants and that utilized action plans tended to have higher usefulness scores. Relevance scores and effectiveness scores were also found to be significant predictors of usefulness. Overall, the variables were able to account for an acceptable 31% of the variation in the model (R<sup>2</sup> = 0.309).

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

41. The model predicting usefulness (model 3) maintained the significance of the mode of participation in predicting usefulness scores. The emerging difference between invited and non-invited participants may have implications on the proper targeting of CBT participants. Participants who were preselected because of their qualifications seemed to better appreciate the CBT courses compared with those who were self-selected to participate.

42. Also significant in predicting usefulness were the effectiveness and relevance scores. In the presence of these additional variables, the use of action plans became a significant factor in predicting usefulness.<sup>16</sup> This result indicates some form of intercorrelation among the use of action plans, relevance, and effectiveness. Those who attended courses that utilized action plans gave a higher average usefulness scores by as much as 14% (see Model 3, Table A8.22). In terms of improving course designs, the regression analysis confirms the importance of including the use of action plans in the future courses of ADBI.

43. Very few of the proposed variables on participant characteristics and course features (e.g., mode of participation, educational attainment of the participant, and action plan) had a significant effect on predicted effectiveness scores. The models (Models 1–3, Table A8.22) predicting usefulness also indicated that, more than participant characteristics and course features, the average relevance and effectiveness scores were the more important factors influencing the usefulness of the knowledge and skills acquired from the CBT courses.

44. A similar pattern was observed for the models predicting effectiveness and usefulness of the distance learning courses (Table A8.23). The mode of participation (whether invited or not) is also a significant predictor of effectiveness. This significance of the mode of participation disappears with the inclusion of relevance scores into the equation. This indicates the more important effect of relevance on effectiveness that cancelled out any of the initial effect that the mode of participant selection may have on effectiveness.

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<sup>16</sup> The action plan is defined in footnote 8 of this appendix. In WBI training evaluation studies, the use of action plans is one of the significant predictors of usefulness of knowledge and skills acquired from WBI-sponsored training courses. See Liu, Chaoying, et. al. 2004. *Impact Evaluation of WBI Sector and Thematic Programs in FY 02–03: Poverty and Growth*. Washington, DC: The WBI, WBI Evaluation Studies, No. EG05-105.

**Table A8.23. Regression of Effectiveness and Usefulness Against Selected Variables of the Distance Learning Courses**

Summary Statistics	Indicators	Model 1 Beta <sup>a</sup>	Model 2 Beta <sup>a</sup>	Model 3 Beta <sup>a</sup>
N		376	343	337
R <sup>2b</sup>		0.064	0.213	0.261
Adjusted R <sup>2c</sup>		0.041	0.190	0.236
<b>Course Characteristics</b>				
	Mode of Participation	0.114 <sup>d</sup>	0.063	(0.018)
	Mode of Instruction	0.062	0.048	(0.003)
	Length	0.038	(0.033)	(0.045)
	Action Plan	0.174 <sup>e</sup>	0.121*	0.257 <sup>e</sup>
<b>Participant Characteristics</b>				
	Gender	(0.014)	(0.040)	(0.123) <sup>d</sup>
	Education	0.020	0.028	(0.071)
	Organization	0.072	0.065	0.061
	Position	0.026	(0.023)	0.024
	Country Category	(0.033)	(0.085)	
<b>Relevance</b>			0.406 <sup>e</sup>	0.179 <sup>e</sup>
<b>Effectiveness</b>				0.246 <sup>e</sup>

N = sample size.

<sup>a</sup> Beta is the standardized regression coefficient, which employs the same standard of measurement across variables. The standardized coefficient for each variable is directly comparable with one another to determine which among the independent variables are more important in relation to the dependent variable.

<sup>b</sup> R<sup>2</sup> is the multiple coefficient of determination, which measures the collective effect of all the independent variables on the dependent variable.

<sup>c</sup> Adjusted R<sup>2</sup> is the adjusted multiple coefficient of determination, which takes into account the number of subjects and the number of independent variables. The magnitude of R<sup>2</sup> is bound to be inflated by the number of independent variables associated with the regression equation. The adjusted R<sup>2</sup> corrects for this by adjusting the level of R<sup>2</sup> to take account of the number of independent variables.

<sup>d</sup> p < 0.05 indicates that the coefficient is statistically significant at the 5% level.

<sup>e</sup> p < 0.01 indicates that the coefficient is statistically significant at the 1% level.

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.

#### Box A8.2: Technical Note

As shown in Model 1, two of the course characteristics were found to be significant predictors of course effectiveness. Participants who were not invited and who attended courses with action plans gave higher effectiveness scores to the distance learning courses that they attended. These two variables were able to explain only a small amount of the variation in the model (R<sup>2</sup> = 0.064).

The significance of the mode of participation (invited or not) disappears with the inclusion of the relevance scores predicting effectiveness (Model 2). Together with the relevance scores, the use of action plans in the courses remained a significant predictor of effectiveness scores. The standardized regression coefficients also revealed the importance of relevance scores in predicting effectiveness ratings. Although still low, the capacity of the two variables to explain the overall variation in the model predicting effectiveness improved, with R<sup>2</sup> = 0.213.

The final model (Model 3) predicting course usefulness indicates the significance of the use of an action plan, relevance scores, and effectiveness scores in predicting usefulness scores of the distance learning courses. In summary, courses that utilized action plans were deemed relevant and effective, and were also perceived as more useful by the respondents. Together, these variables were able to explain about 26% of the total variation in the model predicting usefulness (R<sup>2</sup> = 0.261).

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.



45. Those who attended courses that used action plans gave a higher average usefulness score by as much as 26%. (see Model 3, Table A8.23) The consistently significant effect of action plans on effectiveness and usefulness supports, albeit in a limited fashion, the mediating role of effectiveness as hypothesized in the model (Figure A8.3). In this particular instance, effectiveness mediated the effect that action plans might have had on usefulness. On top of this, action plans also had a direct significant effect on usefulness.

46. Based on the preceding discussion regarding the regression results for the distance learning courses, the characteristics of the participants and the features of the courses they attended had limited effect on effectiveness. The few significant factors indicated the need for proper targeting of participants (invited or not) and the importance of action plans in the course designs. The same factors were actually mentioned in the field interviews as a way of improving the quality of CBT courses. Relevance scores were consistently a significant predictor for the effectiveness of both the face-to-face and the distance learning courses.

47. The overall results of the regression analyses support the results of the comparison of means conducted earlier in this evaluation study. Course features such as the mode of participant selection and the use of action plans are important factors for both course effectiveness and usefulness. The regression analyses further highlights the significance of these variables to usefulness even in the presence of additional variables like relevance and effectiveness (see Model 3 in Tables A8.22 and A8.23).

48. More than the participant characteristics, the relevance scores and effectiveness scores proved to be the more significant predictors of usefulness. Thus, to be able to improve the long-term usefulness of the CBT courses, it is important to ensure that CBT courses are sufficiently relevant to the needs of the participants and their organizations. At the same time, such courses should be sufficiently effective in the transmission of needed knowledge and skills by the participants. The follow-on courses should likewise address these relevance and effectiveness issues to improve the long term usefulness of the CBT program. Because of the proven mediating effect of effectiveness on usefulness, factors influencing effectiveness (e.g., the use of action plans and the mode of participant selection) should also be given due consideration.

## **E. Synthesis for the Capacity Building and Training Course Surveys**

49. According to data from the e-surveys of the CBT courses, ADBI courses are appreciated by participants, who value the opportunity to interact with both regional and global experts on issues of concern, and with peers from other countries. There is no marked difference in the evaluation results for the face-to-face and the distance learning courses. The results of the e-survey indicate above-average scores for the relevance, quality, and effectiveness of ADBI courses regardless of modality. The level of the courses was also considered quite appropriate by the majority of the respondents.

50. To a limited degree, some survey respondents were actually able to put into good use the learning from the ADBI courses, specifically in the formulation of policies, training of the members of their own organizations, and accessing of additional resources for their own projects. There are nevertheless indications that ADBI needs to work further on the wider applicability and actual usage of the learning acquired from its courses. To better fulfill its intended role as a disseminator of knowledge to mid- and senior-level officials, ADBI needs to

improve its training management processes, including an improved participant selection process, more flexible instructional designs, and a dynamic follow-up support system.

51. The comparison of mean scores for the effectiveness and usefulness of the CBT courses provided an initial indication as to which component of course designs should be given much attention to improve course effectiveness and usefulness. These features included the use of action plans and the mode of participant selection. It may be helpful for ADBI to reconsider the integration of action plans in the designs of its forthcoming courses. At the same time, real limitations about participant selection should be addressed adequately.

52. The regression analyses further support the importance of selected course features together with the effect of perception variables such as relevance and effectiveness on usefulness. The models regarding the mediating role of effectiveness are likewise supported, though, in a limited fashion. The regression analyses further illustrate that effectiveness and usefulness are affected by a combination of factors (i.e., course features and relevance scores). As such, steps for the improvement of the CBT program should consider addressing jointly (rather than individually) all the significant factors affecting course relevance, effectiveness, and usefulness. At the same time, the design of the CBT courses should be flexible enough to vary in accordance with the needs of the participants. For example, although the use of action plans is a significant predictor of usefulness, it may not be the appropriate strategy for high level government officials, who are mostly involved in policy planning and decision making rather than actual implementation.

**Table A8.24: Factor Loading for Effectiveness and Use with Reliability Statistics (Cronbach's Alpha)<sup>a</sup>**

Type of Course	Indicators	Loading <sup>b</sup>	Reliability <sup>c</sup>
<b>A. Face-to-Face Courses</b>			
Outcomes (Effectiveness)	Knowledge	0.852	0.865
	New skills	0.832	
	New insights	0.815	
	New strategies	0.814	
	Attitude	0.675	
	Useful contacts	0.642	
Usefulness	Designed projects	0.812	0.896
	Designed policies	0.799	
	Trained members	0.789	
	Accessed resources	0.756	
	Designed regulations	0.744	
	Conducted research	0.711	
	Shared training materials	0.705	
	Conducted seminar	0.700	
	Wrote an article	0.635	
<b>B. Distance Learning Courses</b>			
Outcomes (Effectiveness)	Attitude	0.676	0.871
	Knowledge	0.676	
	New skills	0.763	
	New tech knowledge	0.760	
	New tech skills	0.771	
	New strategies	0.773	
	New insights	0.741	
	Useful contacts	0.607	
Usefulness	Designed projects	0.776	0.906
	Designed policies	0.776	
	Trained members	0.611	
	Accessed resources	0.764	
	Designed regulations	0.765	
	Conducted research	0.780	
	Shared training materials	0.763	
	Conducted seminar	0.849	
	Wrote an article	0.704	

<sup>a</sup> Cronbach's Alpha is a test of reliability of the internal consistency of all the indicators in measuring a single idea. It is computed by splitting the group of indicators into two halves, and the correlation between the two halves is then computed. This is called the split-half reliability coefficient. The higher the correlation is, the higher the internal reliability of the indicators comprising the scale. Cronbach's Alpha calculates the average of all the possible split-half reliability coefficients. The rule of thumb is that the Cronbach's Alpha value should be 0.8 or better.

<sup>b</sup> Loadings are the correlation coefficients between row and column variables. It is analogous to Pearson's; the squared factor loading is the percent of variance in that indicator variable explained by the factor.

<sup>c</sup> Reliability using Cronbach's Alpha measures whether the indicators that make up a scale are internally consistent in measuring a single idea.

Source: Independent Evaluation Department 2010 survey of capacity building and training courses.