



**Ministry of Education of the Slovak Republic
Managing Authority for the Operational Programme Research
and Development**

**Evaluation Plan of the
Operational Programme Research and Development
for the programming period 2007–2013**



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INTRODUCTION

The Managing Authority of the Operational Programme Research and Development (hereinafter “MA OP R&D”) performs evaluation under Articles 47 and 48 of Council Regulation (EC) No 1083/2006 of 11 July 2006 laying down general provisions on the European Regional Development Fund, the European Social Fund and the Cohesion Fund and repealing Regulation (EC) No 1260/1999 (hereinafter “Council Regulation (EC) No 1083/2006”). Evaluation is performed in accordance with the principle of proportionality stated in Article 13 of the above mentioned EC Regulation.

The Evaluation Plan is a qualitative instrument for increasing the efficiency and effectiveness of financial management, which are the principles of sound financial management established by Article 27 (1) of Council Regulation (EC, EURATOM) No 1605/2002 on the Financial Regulation applicable to the general budget of the European Communities.

The purpose of evaluations is to improve the quality, effectiveness and efficiency of management and financial management of the OP R&D, its preparatory and implementation processes, and at the same time to ensure the achievement of objectives set in operational programme, i.e. the global objective and specific objectives.

Evaluation involves an analysis of the implementation processes and an assessment of the appropriateness of the settings of the management and (management) control system. Evaluation is the means by which the Managing Authority verifies the functioning of that part of management and financial management for which it is responsible. Depending on the time of evaluation, the evaluation can be performed as ex-ante evaluation, on-going evaluation and ex-post evaluation.

Ex-ante evaluation of the OP R&D was performed from 22 December 2006 to 28 February 2007 in the programming phase of the OP R&D by an external evaluator before the programme was approved by the European Commission (hereinafter the “EC”); the Final Report of the ex ante evaluation of the OP RG represents the Annex 6 of the OP R&D.

Ex-post evaluation of the OP R&D will be performed after the end of the programming period 2007–2013 in 2015 and its objective will be to evaluate how successfully the objectives of the OP R&D have been achieved and to quantify how efficiently and effectively aid has been used, including an assessment of the sustainability of results.

For the above-mentioned reasons the Evaluation Plan relates to the ongoing evaluation of the OP R&D in the programming period 2007–2013.

Depending on the purpose of evaluation, evaluation can be performed as strategic or operational evaluation.

The purpose of strategic evaluation is to evaluate the operational programme in relation to Community and national priorities.

The purpose of operational evaluation is to evaluate the progress in the implementation of the operational programme or a particular area within the programme at a specific stage in order to assist the trouble-free implementation of the operational programme and its fulfilment of the objectives set for it.

The methodical rules for evaluation planning, evaluation performance and implementation of evaluation results are the guidelines published by the EC, the DG for Regional Policy, in particular the documents “Indicative guidelines on evaluation methods: evaluation during the programming period Working Document No. 5 of April 2007” and “Indicative guidelines on evaluation methods: monitoring and evaluation indicators working document no. 2 2006”.

The Evaluation Plan for the OP R&D was elaborated in accordance with the System of Management of the Structural Funds and Cohesion Fund for the programming period 2007–2013, version 2.0 (hereinafter the “System of Management”) and Methodical Directive No 5 of the CCA on the development of evaluation plans for operational programmes for the programming period 2007–2013.

1. The Evaluation Plan for the Operational Programme Research and Development

The subject of the Evaluation Plan is the ongoing evaluation performed during the implementation of the OP R&D in the programming period 2007–2013.

The Evaluation Plan for the OP R&D is approved by the Monitoring Committee for Knowledge Economy (hereinafter the “MC KE”) after being submitted to Central Coordinating Authority (hereinafter the “CCA”).

The obligation of the Evaluation Plan performance results from the “Indicative guidelines on evaluation methods: evaluation during the programming period Working Document No.5 published under Article 47 (5) of Council Regulation (EC) No 1083/2006.

The Evaluation Plan of the OP R&D is at the same time elaborated with respect to the MA OP R&D obligation set in the System of Management published under the supervision of the CCA, under which the Managing Authority is obliged to submit this Plan for approval to the CCA and subsequently to the MC KE within 12 months from approval of the operational programme by the European Commission.

The OP R&D was approved by the EC on 28 November 2007 with total allocated funds of EUR 1 422 841 617.00 **within which** the ERDF co-financing allocation is EUR 1 209 415 373.00 and the Slovak state budgetary allocation is EUR 213 426 244.00.

The objective of the Evaluation Plan for the OP R&D for the programming period 2007–2013 (herein the “Evaluation Plan for the OP R&D”) is to determine the material, time, organisational and financial framework for the ongoing evaluation of this operational programme. The Evaluation Plan for the OP R&D represents a framework that is designed to be flexible, allowing the plan to be updated and objectives to be set during evaluation.

2. Coordination in evaluation and in evaluation planning

2.1 Responsibility of the MA OP R&D for ongoing evaluation

The MA OP R&D is responsible for the evaluation of the OP R&D , tasks relating to which are performed by the department for the Operational Programme Research and Development in the European Affairs section of the Ministry of Education of the Slovak Republic (hereinafter “ME SR”).

The MA OP R&D responsibility arises from the principles of subsidiarity and proportionality laid down in Article 13 of Council Regulation (EC) No 1083/2006 under which the Member State is responsible for the monitoring of operational programmes, for the performance of ongoing evaluation and for the adoption of corrective measures in case of inadequacies that are necessary to eliminate.

The MA OP R&D is responsible for the coordination of ongoing evaluation of the OP R&D.

The MA OP R&D performs the following tasks:

- deciding on the structure and content of Evaluation Plan after the consultation with the Central Committee for evaluation established under CCA supervision and establishes administrative conditions for the performance of evaluation;
- ensuring the completeness and availability of monitoring data relating to physical and financial indicators;
- deciding on the performance of evaluation and providing funding for its performance;
- ensuring respect for the objectives of evaluation and compliance with quality standards during evaluation (Annex 4);
- submitting the results to the MC KE and the EC;
- deciding whether the evaluation of the OP R&D or parts thereof will be performed internally, i.e. by the MA’s own staff or externally, i.e. by another legal entity or natural person;
- ensuring adequate cooperation with evaluators so that the criteria of evaluation and the evaluation report specified in Annex 4 are satisfied;
- cooperating with horizontal priority coordinators in evaluation;

- provides data necessary for internal evaluation of horizontal priorities to the responsible horizontal priority coordinators in accordance with point 4.4.6. of the System of Management;
- the MA OP R&D submits the Evaluation Plan for the OP R&D to the CCA no later than the end of January of the relevant calendar year; the MA OP R&D shall inform the CCA of any changes in the Evaluation Plan for the relevant calendar year;
- the MA OP R&D shall submit an Annual Report on the results of OP R&D Evaluation for each calendar year to the CCA by the end of March of the following calendar year.

2.2 The status of the CCA in evaluation and the relationship between the CCA and MA

The CCA ensures and coordinates evaluation processes for the National Strategic Reference Framework (hereinafter the “NSRF”) and coordinates the evaluation processes of operational programmes.

Within above mentioned powers in the evaluation of operational programme, the CCA performs the following tasks:

- methodically guiding the MA in evaluation;
- coordinating the elaboration of Evaluation Plans for all operational programmes; coordination refers to their material, time, financial and organisational aspects;
- preparing an opinion on the Evaluation Plans of the individual operational programmes for the programming period 2007–2013;
- collecting the annual evaluation plans of all operational programmes for each calendar year;
- collecting the annual reports on the results of the evaluation of each operational programme for previous calendar year;

2.3 Status of the Central committee for Evaluation of the NSRF and its relation to the MA OP R&D

The Central Committee for Evaluation of the NSRF (hereinafter “CCE”) is an advisory body of the CCA. The members of the CCE are the leaders of the steering groups for evaluation in the managing authority of each operational programme.

In relation to the OP R&D, CCE performs the following tasks:

- participating in the resolution of conceptual questions relating to evaluation, including the planning of evaluations;
- submitting to the MA OP R&D its opinion on the theme of ongoing evaluation in terms of potential risk areas in the management and implementation of the OP R&D identified in the Annual Report on the OP R&D;
- negotiating on problematic aspects of the evaluation of the OP R&D and formulating proposals for solutions, submitting proposals for improvement of the evaluation system of the NSRF and operational programme to the CCA;
- participating in the resolution of disputed conceptual issues relating to evaluation.

2.4 EC powers to perform evaluations of the OP R&D and to issue guidelines relating to the evaluation of the OP

Pursuant to Article 49 of Council Regulation (EC) No 1083/2006, the EC is entitled to perform strategic evaluations and evaluations combined with monitoring of operational programmes, when the monitoring system of programme detects significant deviation from set objectives.

The EC can perform evaluations of OP R&D on its own initiative and in partnership with the MA OP R&D. The results of evaluation will be sent to the MC KE.

The EC issues guidelines for evaluation including evaluation types according to the periodicity of performance, the methods and techniques of evaluation used, evaluation standards and so on. At the same time as the above methodological activity, the EC also supports administrative capacity building in the area of monitoring and evaluation and the sharing of best practice in these areas between member states.

2.5 Relations between evaluation and monitoring

The monitoring tasks of the MA OP R&D are performed by monitoring managers from the department for the Operational Programme Research and Development in the European Affairs Section of the ME SR.

Monitoring and evaluation are closely related activities that interact with each other, i.e. data obtained through monitoring are used in evaluation and the results of evaluation can show where it is necessary to introduce new indicators or update or recalibrate existing indicators.

Regular monitoring provides information on the overall process or operational information. Monitoring makes it possible to perform evaluation and its results can reveal the emergence potential or actual problems.

Monitoring means the checking of outcomes against expectations. Monitoring makes use of a system of indicators; output indicators and result indicators. A list of core output, result and impact indicators divided according to the priority axes is given in Annex 1.

Indicators can be strategic – contextual, programming and project; indicators at the programme level can be core indicators, output indicators, result indicators and impact indicators. The indicators at the project level can be divided into output indicators, result indicators and impact indicators and they are measured in physical or monetary units.

Evaluation involves the interrogating information obtained from monitoring and from other resources (e.g. statistical data) to detect and explain the effects of EU financial aid. The data from ITMS including output and result indicators are used for evaluation.

Evaluation also makes use of impact indicators, which can be specific impact indicators or global impact indicators. Impact indicators are evaluation indicators. Specific impacts are those effects occurring after a certain lapse of time which are directly linked to the action taken and the direct beneficiaries. Global impacts are long-term effects that can have an influence on a wider population.

In strategic evaluations, a number of strategic aspects are assessed, such as the socio-economic impact on the Community or on its change, on national or regional priorities affecting the operational programme. Such information can be obtained only through the regular assessment of objectives by means of evaluation; they cannot be deducted from the ITMS. In this case the data gained from monitoring are considered as the source of initial or supplementary information that undergo further processing and serve for the performance of analysis and the elaboration of evaluation reports.

The inputs for evaluation can be:

- individual data from ITMS including the system of indicators (result and output indicators);
- regular monitoring reports of beneficiaries and IB/MA, whose results are compiled during the year;
- Annual reports on the implementation of the OP R&D;
- macroeconomic statistical data (for strategic evaluations) and statistical data relating to the specific area.

2.6 Main principles for the implementation of ongoing evaluations

In implementing ongoing evaluation the MA OP R&D and the persons responsible for evaluation respect following main principles:

Proportionality – principle laid down in Article 13 (1) (b) of Council Regulation (EC) No 1083/2006; this principle is taken into account in the Evaluation Plan in relation to the number and scope of evaluations proposed during programme implementation. The evaluations should be in proportion to the scale and resources of the operational programme and take into consideration potential risk areas associated with its implementation.

Independence – principle laid down in Article 47 (3) of Council Regulation (EC) No 1083/2006; according to this principle the evaluation can be performed only by experts (external legal entities or physical person) or internal or external divisions of MA OP R&D functionally independent of the bodies specified in Article 59 (b) and (c) of cited Regulation, i.e. of the certification and audit bodies; this principle is applied in order to ensure the objectivity and credibility of evaluation results.

Partnership – is necessary for planning and elaboration of the evaluation programme and the implementation of evaluation; partnership relies on consultation and participation of stakeholders and provides a basis for the sharing of knowledge, and experience, openness and transparency throughout evaluation process.

Transparency – in accordance with the transparency principle, the reports on the results of evaluation are published. The reports on the results of evaluation will be published on the OP R&D website.

2.7 Implementation of OP R&D evaluations

MA OP R&D performs the ongoing evaluation according to the **Evaluation Plan for the OP R&D** and in cases laid down in **Article 48 (3) of Council Regulation (EC) No 1083/2006**.

Evaluation is performed in accordance with European Community legislation, methodological guidelines issued by the EC and the methodology elaborated by the CCA.

According to the periodicity of their implementation, the evaluations will be performed in the following forms:

- strategic;
- operational (divided into regular, thematic and ad hoc).

2.7.1 Strategic OP R&D evaluations

For strategic evaluation of the OP R&D, the OP R&D development is assessed in relation to Community and national priorities. The MA OP R&D will decide when to perform strategic evaluation taking into consideration the progress in the implementation of the MA ORPD and social requirements. Strategic evaluation shall however be performed no later than 2011 after approval of Annual monitoring report on OP R&D for 2010 by the MC KE. Strategic evaluation can be also performed on the initiative of the EC pursuant to Article 49 of Council Regulation (EC) No 1083/2006.

In the Indicative Evaluation Plan for the OP R&D for the programming period 2007–2013 (Annex No 6) (hereinafter “Indicative Evaluation Plan of the OP R&D”) a strategic evaluation is planned for 2011 with the theme “Assessment of the relevance of OP R&D objectives and the prospects for their achievement”, the aim of which is to assess how successfully the OP R&D objectives have been achieved and what changes, if any, should be made to them.

2.7.2 Operational OP R&D evaluations

Operational evaluations will be performed as:

a) Regular evaluation of the whole OP R&D

Regular evaluation of the whole OP R&D will be performed **every 2 years starting in 2009**. Further evaluations of the whole OP R&D will be performed in 2011 and 2013.

b) Thematic evaluation of a certain part/area of the OP R&D

Thematic evaluation of a certain part/area of the OP R&D will be focused on those selected areas of the OP R&D in which a deviation from the desired state in the Annual Report approved by MC KE; and on the themes specified in the Indicative Evaluation Plan for the OP R&D (Annex No 6). The evaluation theme will be proposed by the Steering Group for the Evaluation of the OP R&D, assessed by the CCE, in which a representative of the MA OP R&D is a member, and approved by the MC KE. In years of programming period in which regular monitoring of OP R&D is planned, any part of the evaluated area that was identified as a potential risk area in the annual report for previous calendar year will be highlighted in the output materials on the evaluation.

The first thematic evaluation planned for the period 2009–2011 in the Indicative Evaluation Plan of the OP R&D (Annex 6) is: the Evaluation of the effectiveness of administrative functioning of the MA and IB/MA including financial management, the objective of which is to assess the effectiveness of the functioning of administration in the MA and IB/MA and the potential for improvement in cooperation between the MA and IB/MA. Another thematic evaluation is the „Assessment of the appropriateness of settings for the system of measurable indicators”, where the objective is to determine, or verify the appropriateness of settings for whole system of indicators. The third thematic evaluation is an assessment of monitoring of the achievement of the obligations from the Final Position of the Ministry of Environment of the Slovak Republic on SEA – Environmental impact whose objective is to assess success in fulfilment of the obligations towards Ministry of Environment and possible subsequent correction.

c) Ad hoc evaluation in terms of Article 48 (3) of Council Regulation (ES) No 1083/2006

Ad hoc evaluation is performed in the cases stipulated in Article 48 (3) of Council Regulation (EC) No 1083/2006 pursuant to which during the programming period the Member State is primarily obliged to carry out the evaluation of operational programme where monitoring of operational programmes reveals a significant departure from the goals initially set or when

operational programme revisions are proposed pursuant to Article 33 of the above mentioned Regulation. The results of this evaluation are sent to the MC KE and the EC.

ca) Elaboration of OP R&D evaluation where the monitoring system reveals a departure from the goals initially set for the OP R&D

Deviation from the set objectives of the programme is documented by means of qualitative analyses evaluating the process, the fulfilment of core objectives and also other matters that can have decisive influence on the implementation of the programme. The principle of qualitative evaluation must also be applied in cases when quantification is not possible.

Decisions will be taken based on these analyses in the event of the existence of a significant deviation from set objectives (existing or potential). This deviation requires examination of problems and their causes and the proposal of corrective measures. Analyses and data obtained from the monitoring system will be linked to the preparation of the Annual Report on the implementation of the OP R&D elaborated after each calendar year in accordance with Article 67 of Council Regulation (EC) No 1083/2006 and Annex XVIII of Commission Regulation No 1828/2006.

cb) Elaboration of OP R&D evaluation in the event of proposals to revise the OP R&D

Article 33 of Council Regulation (EC) No 1083/2006 establishes rules for the revision of operational programmes and one of the cases that may create grounds for revision of an operational programme is an evaluation pursuant to Article 48 (3) of the Regulation in question.

OP R&D revision can be carried out in response to socio-economic changes that have an impact on the operational programme, other important changes in EC, in national or regional priorities and of difficulties in OP R&D implementation.

The results of monitoring may be grounds for a proposal to revise the OP R&D. The EC recommends submitting the evidence of the evaluation only in the event that the proposals for revision of operational programmes relate to important changes, such as:

- financial changes (e.g. transfer of funds between different priority axes, financial transfers for which the approval of the EC is necessary);

- changes in content (e.g. revision of objectives at the level of operational programme or priority axis);
- the change or adjustment of measurable/monitoring indicators;
- or changes affecting implementation (e.g. implementation of new implementation processes or major restructuring of existing processes).

In the case of small or technical adjustments, proof of evaluation need not be submitted.

d) Ad hoc evaluation

Ad hoc evaluation may be performed on the initiative of the Minister of Education of the Slovak Republic as the highest representative of the MA OP R&D, based on a decision of the MA OP R&D or the MC KE, based on audits carried out by the EC, checks carried out by the Supreme Audit Office of the Slovak Republic, government audits carried out by the Ministry of Finance of the Slovak Republic and the Control department of ME SR and the financial control administrations.

Ongoing evaluation of the OP R&D or parts thereof can be performed as internal evaluation by employees of the MA OP R&D or other departments of the ME SR. In addition, ongoing evaluation of the OP R&D can be performed externally by other natural persons or legal entities.

The persons carrying out the internal or external evaluation have to be functionally independent from bodies specified in Article 59 (b) and (c) of Council Regulation (EC) No 1083/2006, i.e. from the certification and audit bodies. An external evaluator can perform ongoing evaluation of the OP R&D or part thereof subject to the conditions laid down in EC legislation, generally applicable legal regulations of the Slovak Republic and approved documents on the management, financial management and implementation of operational programmes.

2.8 Organisational conditions for the performance of evaluation of the OP R&D, quality standards for evaluation

Evaluation of the OP R&D is performed by evaluation managers of the MA, i.e. the department for the OP R&D, an organisational unit of the European Affairs section of the ME SR. Evaluation is performed in accordance with the Evaluation Quality Standard

published by the EC and the Evaluation Chart. The Evaluation Chart is elaborated by the CCA and approved by the Minister of Construction and Regional Development of the Slovak Republic.

Monitoring managers of the Intermediary body under the Managing Authority which is the Agency of ME SR for EU Structural Funds (herein “IB/MA”) prepare materials necessary for evaluation.

Evaluation of the OP R&D is performed according to the Timetable for ongoing evaluations of the OP R&D, which is included in Annex 2, by means of evaluation of the activities listed in Annex 3 and in accordance with the Indicative Evaluation Plan for the OP R&D given in Annex 6.

The choice of activities for evaluation pursuant to items I-III depends on the type of evaluation. All activities can be evaluated or just a selection.

The evaluation of the OP R&D consists of following stages:

- planning of implementation;
- performance of evaluation;
- processing of the results of evaluation, the final product of which is a Report on the results of evaluation/ the Evaluation Report, which must include recommendation on corrective measures to be taken in response to any deviations from the desired situation that are detected.

The report on the results of evaluation is elaborated by evaluation manager and is submitted to the Steering Group for the evaluation of the OP R&D. The evaluation report is approved by the MC KE. The MA OP R&D ensures that after being approved, the evaluation report is published on the website www.minedu.sk.

The quality standards for evaluation are divided into quality standards for the evaluation process and quality standards for the evaluation report . The quality standards for evaluation are listed in Annex 4 of this Plan.

2.9 Internal administrative capacity building for the evaluation of the OP R&D

Administrative capacity requirements in the area of evaluation include the creation of a sufficient number of functional places for evaluation managers, provision of training for evaluation managers, their material and technical equipment and appropriate pay conditions.

The training of evaluation managers working for the MA OP R&D in the area of evaluation will be carried out within the training of evaluation managers from all operational programmes and NSRF provided for by CCA and EC. Training of evaluation managers in other areas, such as legislation, the system of management or financial management of Structural Funds and Cohesion Fund for the programming period 2007–2013 that are subsequently used for evaluation, or in other specific areas will be arranged by the MA OP R&D.

Training and necessary information for the evaluation managers working for the MA and monitoring managers of working for the IB/MA who prepare the materials for evaluation *will be provided mainly through following activities:*

- participation in vocational training on evaluation, financial management and other areas relevant to the performed activity;
- sharing of best practice in the area of evaluation with evaluation staff of the MA of other OPs in Slovak Republic and other EU Member States, and with the representatives of the EC;
- cooperation with external evaluators;
- participation in seminars, conferences and other activities to exchange best practice in the area of evaluation of EU financial assistance tools.

Material and technical equipment of evaluation managers will be provided for using funds from the State budget chapter of the ME SR and within eligible OP R&D activities, i.e. from technical assistance of the OP R&D.

2.10 Establishment of the Steering Group for the evaluation of the OP R&D and its relationship with the Central Committee for Evaluation of the NSRF

The MA OP R&D shall establish a Steering Group for the evaluation of the OP R&D (hereinafter the “Steering Group”). The members of Steering Group shall organise and perform evaluation of the OP R&D. The Steering Group shall have at least four members, including one employee who shall be the leader of the group, two employees from MA and one member from the IB/MA. The head of the Group shall be the director of the department for the OP R&D , and two other members shall be two evaluation managers for OP R&D and there shall also be a monitoring manager from the IB/MA. A chart illustrating the status of the Steering Group is given in Annex 5 of this document.

2.11 Financing of OP R&D evaluations

Activities in the area of OP R&D evaluation will be financed within the OP R&D from the funds allocated for priority axis 6 Technical assistance for Convergence and priority axis 7 Technical assistance for Regional Competitiveness and Employment from the ERDF. Prices are fixed in EUR, in current prices.

Total financial allocation for the above mentioned priority axes 6 and 7 amounts to EUR 38 416 724, of which EUR 32 654 215 comes from the ERDF and EUR 5 762 509 from national resources.

The maximum resources required for evaluation and surveys (including surveys not included in this Evaluation Plan) the is expected to be EUR 1 900 000. Indicative distribution of resources for evaluation within the OP R&D is presented in Annex 2 for each type of evaluation.

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LIST OF ANNEXES:

Annex 1 List of indicators for OP R&D

Annex 2 Timetable of ongoing evaluations of the OP R&D 2007–2013

Annex 3 Activities performed within OP R&D evaluation

Annex 4 Quality standards for evaluation

Annex 5 Chart of Evaluation Bodies

Annex 6 Indicative Evaluation Plan for the OP R&D for the programming period 2007–2013

Annex 1 – LIST OF INDICATORS FOR THE OP R&D

Type of indicator	Name of indicator	Definition	Information resource	Units	Initial value	Target value/Year	
					Year 2007	2013	2015
OPERATIONAL PROGRAMME							
Core indicator: - output	Number of projects	Number of projects supported within the OP R&D	ITMS, ME SR	Number	0	1600	1600
Core indicator: - result	Number of cooperation projects of research and development institutions with practical social and economic application	Number of cooperation projects of research and development institutions with practical social and economic application	ITMS, ME SR	Number	0	800	800
Core indicator: - impact	Number of jobs created for researchers	Number of jobs created in research institutions as a result of project implementation; jobs that would not have been created if the project had not taken place .	ITMS, ME SR	Number	0	500	500
PRIORITY AXIS 1 – RESEARCH AND DEVELOPMENT INFRASTRUCTURE							
Core indicator: - result	Number of jobs created for researchers	Number of jobs created in research institutions as a result of project implementation; jobs that would not have been created if the project had not taken place .	ITMS, ME SR	Number	0	130	130
PRIORITY AXIS 2 – SUPPORT FOR RESEARCH AND DEVELOPMENT							
Core indicator: - result	Number of jobs created for researchers	Number of jobs created in research institutions as a result of project implementation; jobs that would not have been created if the project had not taken place .	ITMS, ME SR	Number	0	200	200

Core indicator: - output	Number of cooperation projects of research and development institutions with practical social and economic application	Number of cooperation projects of research and development institutions with practical social and economic application	ITMS, ME SR	Number	0	500	500
PRIORITY AXIS 3 – RESEARCH AND DEVELOPMENT INFRASTRUCTURE IN THE BRATISLAVA REGION							
Core indicator: - result	Number of jobs created for researchers	Number of jobs created in research institutions as a result of project implementation; jobs that would not have been created if the project had not taken place .	ITMS, ME SR	Number	0	70	70
PRIORITY AXIS 4 – SUPPORT FOR RESEARCH AND DEVELOPMENT IN THE BRATISLAVA REGION							
Core indicator: - result	Number of jobs created for researchers	Number of jobs created in research institutions as a result of project implementation; jobs that would not have been created if the project had not taken place .	ITMS, ME SR	Number	0	100	100
Core indicator: - output	Number of cooperation projects of research and development institutions with practical social and economic application	Number of cooperation projects of research and development institutions with practical social and economic application	ITMS, ME SR	Number	0	300	300

Annex 2 – TIMETABLE OF ONGOING EVALUATIONS OF THE OP R&D 2007 – 2013

Type of evaluation	First performance	Reason for performance/periodicity	Indicative budget (EUR)
Strategic evaluation	in 2011 at the earliest	according to the MA decision and occurred public demand	100 000
Operative evaluation			
Regular evaluation of whole OP	in 2009	Further regular evaluations will be performed in 2011 and 2013.	210 000 (3 x 70 000)
Thematic evaluation of a part of the OP	in 2009	The theme of evaluation will be an area identified as a potential risk area in Annual Monitoring Report for the previous calendar year.	120,000 (4 x 30 000)
Ad hoc evaluation pursuant to Article 48 (3) of Council Regulation No 1083/2006		Significant departure from the goals initially set	60 000 (2 x 30 000)
		Proposal for revision of the OP.	
Ad hoc evaluation of the whole OP R&D or a part thereof		On the initiative of relevant minister, the MA OP R&D; the Monitoring Committee for the Knowledge-based Economy, in response to a report of the Supreme Audit Office of the Slovak Republic, a report from a government audit performed by the Ministry of Finance of the Slovak Republic, the Control department of a competent ministry or the Financial Control Administration.	60 000 (2 x 30 000)

Annex 3 – ACTIVITIES PERFORMED WITHIN THE EVALUATION OF THE OPERATIONAL PROGRAMME RESEARCH AND DEVELOPMENT

The objective of evaluation is to perform evaluation of the fulfilment of the global, specific and partial objectives of the OP Research and Development (herein the “OP R&D”). The OP R&D evaluation is performed by means of evaluation of the following activities:

- I. Evaluation of activities under the priority axes and the measures under each priority axis, including the horizontal priorities,**
- II. Evaluation of the effectiveness of the OP R&D management system**
- III. Evaluation of fulfilment of the partial, specific and global objectives of the OP R&D.**

The choice of evaluation activities under items I–III depends on the type of evaluation. All activities or only chosen activities can be evaluated.

The content of evaluation is represented by physical and financial indicators; further, achievement of specific objectives of priority axes and partial objectives is evaluated.

- I. Evaluation of activities under the priority axes and the measures under each priority axis, including the horizontal priorities**

Priority axis 1– Research and Development Infrastructure:

Objective of Priority axis 1

The objective of Priority axis 1 is *the modernisation and improvement of technical infrastructure for research and development in 2007-2013 with the aim of increasing the ability of the research and development institutions to cooperate effectively with research institutions in the EU and other countries, as well as with subjects engaged in the social and economic application of research and development through the transfer of knowledge and technology.*

Activities under Priority Axis 1 of the OP R&D are evaluated according to the values of indicators relating to the following measures:

Measure 1.1 - *Modernisation and building of technical infrastructure for research and development*

The objective of this measure is to create a quality research and development infrastructure, which is a necessary condition for the growth in volume and quality of research and development activities in the Slovak Republic.

Task – to evaluate whether the objective of Measure 1.1 was achieved as a result of the performance/implementation of the following activities

Evaluated activities:

- Modernisation of research and development infrastructure and instruments in higher education institutions, research institutions, research centres and other research and development organisations;
- Support for research infrastructure in areas that are of strategic importance for continuing social and economic development (12 material priorities in the area of research and development in Slovakia, the needs of key industries in Slovakia, improvement in the quality of life and the need for sustainable development in the economy) with an emphasis on major interdisciplinary projects involving several educational or research institutions and joint research centres with the participation of the academic and business sectors (SMEs as well as large companies)
- Modernisation, building and sustainable development of ICT infrastructure for research and development in research and development facilities, including support for broadband networks connecting research and development centres of excellence

Priority axis 2– Support for Research and Development

Objective of Priority axis 2

The objective of Priority axis 2 is to make the support system for research and development more effective in order to strengthen the competitiveness of the economy, to reduce regional

disparities, to create new small and medium enterprises in innovative (high-tech) sectors and to create new jobs.

Activities under Priority Axis 2 of the OP R&D are evaluated according to the values of indicators relating to the following measures:

Measure 2.1 – Support for networks of research and development centres of excellence as pillars of regional development and support for trans-regional cooperation

The objective of this measure is to improve the quality of research and development centres and support for excellent research with an emphasis on areas of strategic importance for continuing social and economic development.

Task – to evaluate whether the objective of Measure 2.1 was achieved as a result of the performance/implementation of the following activities

Evaluated activities:

- support for exchange and joint research programmes involving Slovak research and development institutions and educational institutions and international cooperation with foreign research and development institutions
- support for major research and development projects in areas of strategic importance for further development of economy and society (12 material priorities in the area of research and development in Slovakia, the needs of key industries in Slovakia, improvement in the quality of life and the need for sustainable development in the economy)
- support for cooperation between regional institutions and research and development centres, including cooperation between research and development institutions and secondary schools
- support for international cooperation in the area of research and development
- support for Slovak researchers (including doctoral and post-doctoral students) working abroad who wish to return to pursue a career in Slovakia
- support for human resources in areas of strategic importance for continuing social and economic development.

Measure 2.2 – Practical application of knowledge and technologies acquired through research and development

The objective of the measure is *to increase the level of cooperation between research and development institutions and subjects engaged in the practical social and economic application of their output by means of knowledge and technology transfer thereby contributing to increased economic growth in regions and in Slovakia as a whole*

Task – to evaluate whether the objective of Measure 2.2 was achieved as a result of the performance/implementation of the following activities

Evaluated activities:

- growth of a culture of innovation in the academic sphere through the use of incubators
- support for and application of competition in business plans, incubators and so on in the environment of applied research and development
- increase in the quality of internal management of the transfer of knowledge and technology transfer into practice from the academic sphere, including activities to eliminate the barriers between research and development on one hand and society and the economy on the other.
- increase in the exploitation of the intellectual property rights by research and development centres in the academic sphere
- building of and support for regional centres

Priority axis 3 – Research and Development infrastructure in the Bratislava region

Objective of Priority axis 3

The objective of Priority axis 3 is *the modernisation and improvement of technical infrastructure for research and development in the Bratislava region in 2007–2013 with the aim of increasing the ability of the research and development institutions to cooperate effectively with research institutions in the EU and other countries, as well as with subjects engaged in the social and economic application of research and development through the transfer of knowledge and technology.*

Activities under Priority Axis 3 of the OP R&D are evaluated according to the values of indicators relating to the following measure:

Measure 3.1 - Innovation and building of technical infrastructure for research and development in the Bratislava region

The objective of this measure is the modernisation and improvement of technical infrastructure for research and development in the Bratislava region in 2007–2013 with the aim of increasing the ability of the research and development institutions to cooperate effectively with research institutions in the EU and abroad, as well as with subjects engaged in the social and economic application of research and development through the transfer of knowledge and technology.

Task – to evaluate whether the objective of Measure 3.1 was achieved as a result of the performance/implementation of the following activities

Evaluated activities:

- Modernisation of research and development infrastructure and instruments in higher education institutions, research institutions, research centres and other research and development organisations in the Bratislava region;
- Support for research infrastructure in areas that are of strategic importance for continuing social and economic development (12 material priorities in the area of research and development in Slovakia, the needs of key industries in Slovakia, improvement in the quality of life and the need for sustainable development in the economy) with an emphasis on major interdisciplinary projects involving several educational or research institutions and joint research centres with the participation of the academic and business sectors (SMEs as well as large companies) in the Bratislava region
- Modernisation, building and sustainable development of ICT infrastructure for research and development in research and development facilities, including support for broadband networks connecting research and development centres of excellence in the Bratislava region

Priority axis 4 – Support for Research and Development in the Bratislava region

Objective of Priority axis 4

The objective of Priority axis 4 *is to make the support system for research and development more effective in order to strengthen the competitiveness of the economy, to reduce regional disparities, to create new small and medium enterprises in innovative (high-tech) sectors and to create new jobs in the Bratislava region.*

Activities under Priority Axis 4 of the OP R&D are evaluated according to the values of indicators relating to the following measures:.

Measure 4.1 – Support for networks of research and development centres of excellence as pillars of regional development in Bratislava region

The objective of this measure *is to improve the quality of research and development centres and support for excellent research with an emphasis on areas of strategic importance for continuing social and economic development.*

Task – to evaluate whether the objective of Measure 4.1 was achieved as a result of the performance/implementation of the following activities

Evaluated activities:

- support for exchange and joint research programmes involving research and development institutions and educational institutions in the Bratislava region and international cooperation with foreign research and development institutions
- support for major research and development projects in the Bratislava region in areas of strategic importance for further development of economy and society (12 material priorities in the area of research and development in Slovakia, the needs of key industries in Slovakia, improvement in the quality of life and the need for sustainable development in the economy)
- support for cooperation between regional institutions and research and development centres, including cooperation between research and development institutions and secondary schools in the Bratislava region

- support for international cooperation in the area of research and development
- support for Slovak researchers (including doctoral and post-doctoral students) working abroad who wish to return to pursue a career in the Bratislava region
- support for human resources in areas of strategic importance for continuing social and economic development.

Measure 4.2 – *Practical application of knowledge and technologies acquired through research and development in Bratislava region*

The objective of the measure is *to increase the level of cooperation between research and development institutions in Bratislava region and subjects engaged in the practical social and economic application of their output by means of knowledge and technology transfer thereby contributing to increased economic growth in regions and in Slovakia as a whole*

Task – to evaluate whether the objective of Measure 4.2 was achieved as a result of the performance/implementation of the following activities

Evaluated activities:

- growth of a culture of innovation in the academic sphere in the Bratislava region through the use of incubators
- support for applied research and development in the Bratislava region
- increase in the quality of internal management of the transfer of knowledge and technology transfer into practice from the academic sphere in the Bratislava region, including activities to eliminate the barriers between research and development on one hand and society and the economy on the other.
- increase in the exploitation of the intellectual property rights by research and development centres in the academic sphere in the Bratislava region
- building of and support for regional centres in the Bratislava region

Priority axis 5– Higher Education Infrastructure

Objective of Priority axis 5

The objective of Priority axis 5 is to increase the quality of higher education by means of investment in material infrastructure for use in the educational process.

Activities under Priority Axis 5 of the OP R&D are evaluated according to the values of indicators relating to the following measure: Measure 5.1 – *Higher education infrastructure building and modernisation of internal equipment in order to improve conditions in the educational process.*

The objective of this measure is to increase the quality of higher education by means of investment in material infrastructure for use in the educational process.

Task – to evaluate whether the objective of Measure 5.1 was achieved as a result of the performance/implementation of the following activities

Evaluated activities:

- achievement of the desired levels of quantity and quality of equipment and standards of availability in higher education in line with the current needs of a modern education process.

Priority axis 6 – Technical assistance for the Convergence Objective

Objective of Priority axis 6

The objective of Priority axis 6 is to ensure that implementation of the OP R&D complies with the requirements for the management, implementation, control, audit, monitoring and evaluation of the operational programme and for the administrative bodies responsible for the implementation of the operational programme, the provision of support for project preparation as well as public information, promotion and the exchange of best practice.

Activities under Priority axis 6

- pay conditions for employees who participate in programming, management, implementation, audit and control of the OP R&D

- technical provision for programming, management, implementation, audit and control (technical provision and equipment, references, surveys, analyses, consultancy, software support, audit, control and so on)
- IT support systems for the needs of Managing Authority of the OP R&D
- information activities, publicity
- preparation for the next programming period
- provision for the activity of the monitoring committee and its subcommittees

Activities under Priority Axis 6 of the OP R&D are evaluated according to the values of indicators relating to this priority axis.

Task – to evaluate whether the objective of the priority axis was achieved as a result of the performance/implementation of the above activities.

Priority axis 7 – Research and development support

Objective of Priority axis 7

The objective of Priority axis 7 is to ensure that implementation of the OP R&D complies with the requirements for the management, implementation, control, audit, monitoring and evaluation of the operational programme and for the administrative bodies responsible for the implementation of the operational programme, the provision of support for project preparation as well as public information, promotion and the exchange of best practice..

Activities under Priority axis 7:

- technical provision for programming, management, implementation, audit and control (technical provision and equipment, references, surveys, analyses, consultancy, software support, audit, control and so on)
- IT support systems for the needs of Managing Authority of the OP R&D
- information activities, publicity

- preparation for the next programming period
- provision for the activity of the monitoring committee and its subcommittees

Activities under Priority Axis 7 of the OP R&D are evaluated according to the values of indicators relating to this priority axis.

Task – to evaluate whether the objective of the priority axis was achieved as a result of the performance/implementation of the above activities.

II. Evaluation of the effectiveness of the OP R&D management system

Evaluation of the effectiveness of the OP R&D management system includes the assessment of the activities of the Monitoring Committee for the Knowledge-based Society and fulfilment of the tasks specified in part 9.1.5 of the OP R&D, and the assessment of the activities of the MA OP R&D and fulfilment of the tasks specified in part 9.1.2 of the OP R&D at both the programme and project level.

Evaluation of the performance of management of the OP R&D by the MA considers the number of approved projects, the number of implemented projects, the smoothness of implementation of the projects and financial aspects of the implementation of the OP R&D.

II. Evaluation of fulfilment of the partial, specific and global objectives of the OP R&D

Global objective of the OP R&D

The global objective of the OP R&D is “modernisation and improvement of efficiency of the system for the support of research and development and improvement of higher education infrastructure so that they contribute to growth in the competitiveness of the economy, to the reduction of regional disparities, the creation of new, innovative (high-tech) small and medium-sized enterprises, job creation and improvement of the conditions for the educational process in higher education.”.

Specific objectives of the OP R&D

Specific objective 1: *“Modernisation and optimisation of the technical infrastructure for research and development in 2007–2013 to increase the ability of research and development institutions to cooperate effectively with the research and development institutions in the EU and other countries, as well as with subjects engaged in the social and economic application of research and development through the transfer of knowledge and technology.”*

Specific objective 2: *“To make the support systems for research and development more effective with the aim of contributing to growth in the competitiveness of the economy, the reduction of regional disparities, the creation of new, innovative (high-tech) small and medium enterprises and the creation of new jobs”.*

Specific objective 3: *“Modernisation and optimisation of the technical infrastructure for research and development in the Bratislava region in 2007–2013 to increase the ability of research and development institutions to cooperate effectively with the research and development institutions in the EU and other countries, as well as with subjects engaged in the social and economic application of research and development through the transfer of knowledge and technology.”*

Specific objective 4: *“To make the support systems for research and development more effective with the aim of contributing to growth in the competitiveness of the economy, the reduction of regional disparities, the creation of new, innovative (high-tech) small and medium enterprises and the creation of new jobs in the Bratislava region.”*

Specific objective 5: *“To improve the quality of higher education by means of investment in material infrastructure”*

Specific objective 6: *“To ensure that implementation of the OP R&D complies with requirements for the management, implementation, control, audit, monitoring and evaluation of the operational programme and for the administrative bodies responsible for the implementation of the operational programme, provision of support for project preparation as well as public information, promotion and the sharing of best practice.”*

Specific objective 7: *“To ensure that implementation of the OP R&D complies with requirements for the management, implementation, control, audit, monitoring and evaluation of the operational programme and for the administrative bodies responsible for the*

implementation of the operational programme, provision of support for project preparation as well as public information, promotion and the sharing of best practice.”

Annex 4 – QUALITY STANDARDS FOR EVALUATION

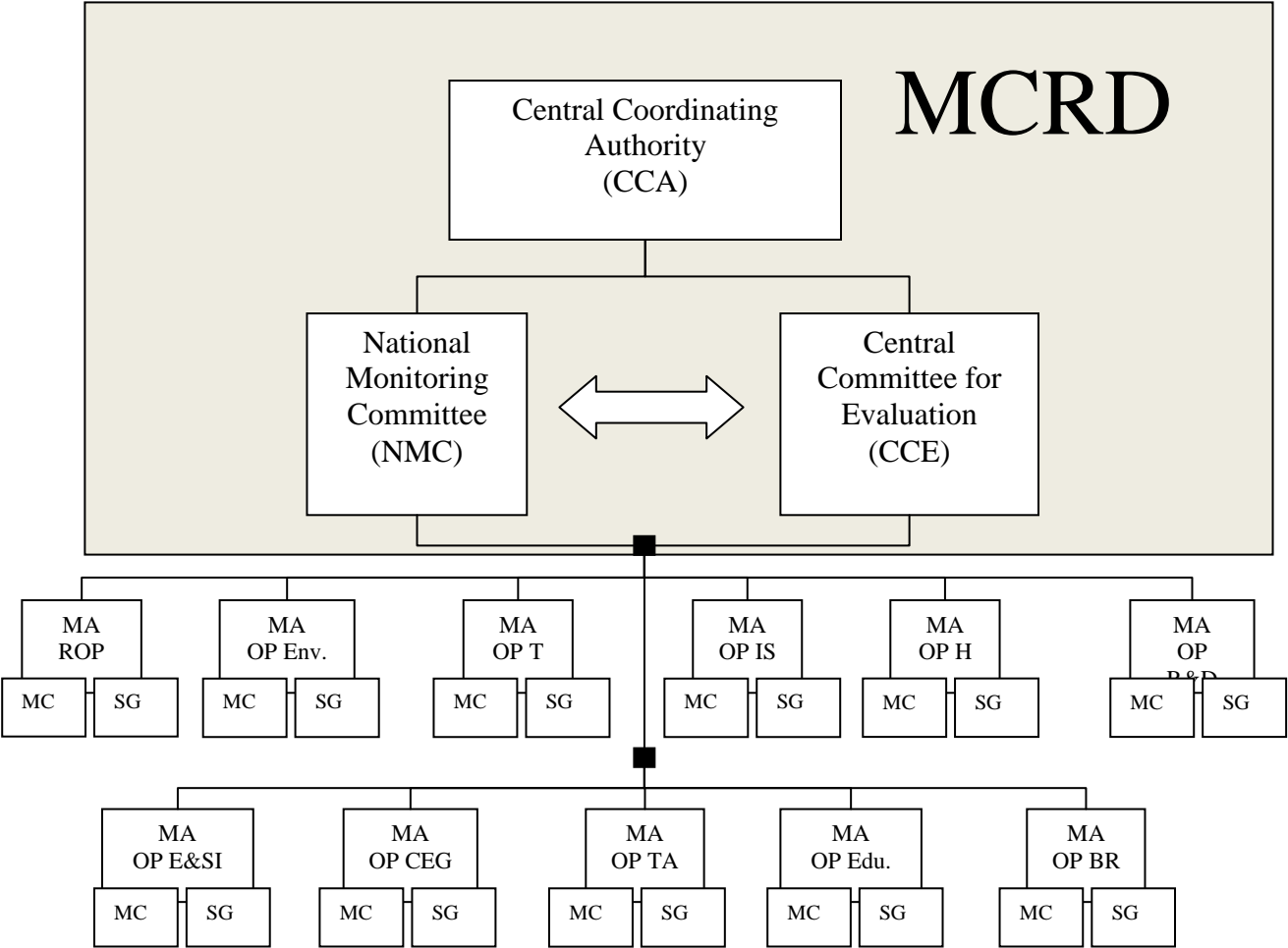
Quality Standards for Evaluation¹

Evaluation process quality	Evaluation report quality
Comprehensible (coherent) objectives The objectives of the NSFR and operational programmes must be - comprehensible, logical and clear enough to allow their evaluation.	Report factuality: The evaluation report suited to its audience, accurate; it correctly organises information which corresponds to terms of reference (TOR).
Appropriate terms of reference (TOR) Terms of reference shall be elaborated in such a way that it is not necessary to adjust them.	Material scope: Logic of outputs, results, impacts and interaction with other policies. Unexpected impacts shall be examined carefully (depending upon the scope of evaluation and questions posed for evaluation)
Selection of evaluator based on tender: The process of choosing shall comply with legislation in a manner that ensures that an evaluator is chosen who performs the evaluation in a professional way.	Open process: Competent responsible persons shall be involved in evaluation during the process of preparation and in discussion of the results of evaluation so that their arguments can be given proper consideration and they can explain their point of view.
Efficient dialogue and feedback: Evaluation shall be performed in the manner of a dialogue between partners, the evaluator engages in dialogue with competent persons and managers; the partners provide each other with feedback that improves the quality of the evaluation.	Adequacy of the subject matter of evaluation – the subject matter of evaluation must be such that the desired results can be achieved and the evaluation is able to answer the questions posed for it.
Adequate information: it is necessary to create a functioning monitoring system that contains data for evaluation available to manager and partners.	Reliable data: Gathered or selected primary and secondary data must be appropriate and reliable, materially relevant to their expected use.
Professional management of evaluation: The evaluation team must be managed professionally and adequate conditions must be created for the performance of evaluation.	Well-founded/thorough analyses: Quantitative and qualitative analysis must be carried out in accordance with the set conventions in a way that makes it possible to give correct answers to the questions posed in the evaluation.
Efficient provision of information to competent persons: Evaluation reports	Credible results: The results are logical and derived from the data produced by the performed

¹ Quality Standards were elaborated based on Communication for the Commission from the President and Mrs Schreyer, C (2002) 5267/1 of 23 December 2002, Evaluation Standards and Good Practice, and Communication for the Commission from Ms Grybauskaitė in agreement with the President, SEC (2007) 213 of 23 February 2007 Responding to Strategic Needs: Reinforcing the use of evaluation.

and evaluation results must be provided to the responsible and competent persons to whom they relate in a way that allows such persons to give an appropriate response and timely feedback	analyses and a reasonable interpretation of the hypotheses.
Efficient distribution of information to stakeholders, associates: Evaluation reports and the results of evaluation were properly distributed and communicated to all partners and targeted to support the spreading of knowledge and learning of lessons.	Objective conclusion: Conclusions must be documented and independent.
	Comprehensible report: The report must describe the context, objective, organisation and results of the operational programme in a way that provides sufficiently comprehensible information. The report must contain a comprehensible summary of the results of evaluation; results of evaluation shall be made available in the sharing of experience between member states and in compliance with the principles of good practice.
	Useful recommendations: The report contains recommendations that are useful in the decision-making process within the management of the programme and are sufficiently detailed to allow implementation.

Annex 5 CHART OF EVALUATION BODIES



NSRF 2007–2013

SG – Steering group for evaluation
MC – Monitoring committee
MA – Managing authority

Annex 6 INDICATIVE EVALUATION PLAN FOR THE OP R&D FOR THE PROGRAMMING PERIOD 2007 – 2013

Type of evaluation	Subject of the evaluation	Justification of need	Main questions for the evaluation	Method	Time schedule	Internally/Externally	Indicative budget (EUR)
Strategic evaluation	Evaluation of relevance of the objectives of the OP R&D with regard to their achievement	Evaluation of how successfully the OP R&D objectives have been achieved and what changes, if any, should be made to them	<ul style="list-style-type: none"> • Does the setting of objectives correspond to the real needs of beneficiaries? • Are the set objectives at the level of the OP R&D and the priority axes being fulfilled? • Are the set objectives still relevant? Does the actual situation require updating of the OP R&D objectives? • Does the structure of priority axes and the individual measures under the OP R&D require updating? 	Data analysis gained from monitoring, case studies	2011	E	100 000

Regular evaluation of the OP R&D	General evaluation of the implementation of the OP R&D	General evaluation of the OP R&D implementation and possible revision of problematic areas	<ul style="list-style-type: none"> • Are the set objectives at the level of the OP R&D and the priority axes set according to the real needs of beneficiaries and are being fulfilled? • Is the system of measurable indicators set effectively and relevantly with regard to the monitoring of achievement of objectives and to their possible modifying? • How has the implementation of the OP R&D ensured that it complements other operational programmes and creates opportunities for synergies? 	Data analysis gained from monitoring, case studies	2009 2011 2013	I	210 000
Thematic evaluation	Effectiveness of administrative functioning of the MA and IB/MA, including financial management	to assess the effectiveness of the functioning of administration in the MA and IB/MA	<ul style="list-style-type: none"> • Are the administrative capacities of the MA and the IB/MA used effectively? • Do the MA and the IB/MA sufficiently cooperate in management? • What opportunities are there for improvement in cooperation between the MA and the IB/MA? • Were the funds allocated until now used effectively and transparently? • What is the absorption capacity of the beneficiaries? 	analysis of internal functions	2010	E	30 000

	Assessment of the appropriateness of settings for the system of measurable indicators	identification/verification of appropriateness and adequacy of settings for the system of indicators	<ul style="list-style-type: none"> • Is the system of measurable indicators effectively and relevantly set with regard to monitoring of the achievement of objectives and to their possible modification? • Is it necessary to update the system of measurable indicators? • Does the system of measurable indicators take the needs of monitoring into consideration and to what extent? 	analysis of the system of indicators	2010	E	30 000
	Monitoring of the achievement of the obligations from the Final Position of the Ministry of Environment of the Slovak Republic on SEA - environmental impact	assessment of how successfully the OP R&D objectives have been achieved and what changes, if any, should be made to them	<ul style="list-style-type: none"> • How were the environmental criteria incorporated in the whole system of evaluation and selection of projects? • How was the impact of the OP R&D on the environment and health of population monitored and evaluated? • How and to what extent were the applicants provided with information on environmental issues and the possible impacts of individual projects on the environment? 	Data analysis gained from monitoring, case studies	2011	E	30 000
Ex-post evaluation	Ex-post evaluation of the OP R&D	assessment of how successfully the objectives of the OP R&D have been achieved and quantification of how efficiently and effectively aid has been used, including an assessment of the sustainability of results	<ul style="list-style-type: none"> • Were the set objectives and their updates fulfilled during the programming period? • Are the results achieved using the provided assistance proportionate to the allocated funds? 	Ex-post evaluation	2015	E (EC)	N/A

