 

**Plan for the Evaluation of the European Structural and Investment Funds for the 2014–2020 Programming Period**

|  |  |
| --- | --- |
| **Addressed to:****For the attention of:** **Issued by:** **Number of annexes:****Issued on (date):****Approved on (date):****Approved by:** | Central Coordinating AuthorityGovernment Office of the Slovak RepublicManaging authoritiesBodies in charge of the management of horizontal principlesEuropean CommissionCentral Coordinating Authority Government Office of the Slovak Republic In line with Chapter 4.2.2 of the Management System of the European Structural and Investment Funds0 4 December 2015, Bratislava 3 December 2015, Bratislava National Monitoring Committee for the European Structural and Investment Funds, by NMC Resolution ESIF/2015/1  |
|  |

Table of Contents

[1 Introduction 1](#_Toc440005347)

[2 Legislative and methodological basis 2](#_Toc440005348)

[2.1 Legislation of the Slovak Republic and of the Commission 2](#_Toc440005349)

[2.2 Other supporting documents issued by Slovakia and the Commission 3](#_Toc440005350)

[3 ESIF Evaluation Plan 3](#_Toc440005351)

[3.1 ESIF Evaluation Plan objectives 3](#_Toc440005352)

[3.2 Scope of the ESIF Evaluation Plan 5](#_Toc440005353)

[4 Framework for ESIF evaluation 5](#_Toc440005354)

[4.1. Coordination at national level 5](#_Toc440005355)

[4.2. National Monitoring Committee 6](#_Toc440005356)

[4.3 European Commission 7](#_Toc440005357)

[4.4 Types of evaluations 7](#_Toc440005358)

[4.5 Ongoing evaluation of ESIF implementation 8](#_Toc440005359)

[4.6 Organisational arrangements for the performance of evaluations 8](#_Toc440005360)

[4.7 Capacity building 8](#_Toc440005361)

[4.8 Use of evaluations 8](#_Toc440005362)

[4.9 Budget for evaluations 9](#_Toc440005363)

[4.10 Timetable of evaluations 9](#_Toc440005364)

[4.11 Quality management of the evaluation process 9](#_Toc440005365)

[4.12 Information and publicity (transparency) 10](#_Toc440005366)

[5 Data collection 10](#_Toc440005367)

[6 Annual Overview of ESIF Evaluations in the 2014-2020 Programming Period 11](#_Toc440005368)

[7 Indicative summary list of ESIF evaluations in the 2014–2020 programming period 22](#_Toc440005369)

[8 List of acronyms used 42](#_Toc440005370)

[9 Bibliography 43](#_Toc440005371)

1 Introduction

In the beginning of the 2007–2013 programming period, Slovakia had little experience and limited professional capacities to evaluate the implementation of Structural Funds and the Cohesion Fund (“SF” and “CF”).

When plans for the evaluation of the entire the 2007–2013 programming period were prepared, the responsible authorities lacked sufficient experience in evaluation and, having had only a rough idea about the course of implementation, found it difficult to setup the evaluation framework. Basically all evaluation plans were modified through updates or through annual evaluation plans. As the main factors behind the delay in evaluation the managers listed: time-consuming preparation of public procurement, changes in management as consequence of political cycles, or irrelevance from the viewpoint of the stage of implementation.

During the 2007–2013 programming period, the NSRF evaluation activities were preformed within the framework of the OP Technical Assistance under Action 1.2 “Evaluation and Studies”. The number of evaluations under the NSRF reached 14, covering EUR 2 522 345.16. In terms of thematic concentration, these evaluations focused mainly on the Cohesion Policy, administrative capacities, Cohesion Policy impact on Slovakia’s development, reduction of regional disparities, youth unemployment, elimination of administrative burdens, activities in the area of information and publicity, contribution towards the EU 2020 strategy in the field of education, research and development, climate change, energy sustainability, etc.

In the 2014–2020 programming period, the European Commission (“Commission”) puts emphasis on the implementation of evaluations focusing on the assessment of the economic, social and environmental impacts of the Cohesion Policy on the life of citizens. The emphasis on evaluation is placed mainly in order to ensure that the creation of policies and the adoption of decisions are consistently justified and based on facts.

Evaluation is a qualitative management tool contributing towards better quality, effectiveness and efficiency of the implementation of the European Structural and Investment Funds (“ESI Funds” of “ESIF”) in the 2014–2020 programming period and thereby strengthening the Cohesion Policy, Common Agricultural Policy and Integrated Maritime Policy of the EU.

The evaluation of ESI Funds is performed in line with the ESIF Evaluation Plan for the 2014–2020 Programming Period.

The ESIF Evaluation Plan for the 2014–2020 Programming Period (“ESIF Evaluation Plan”) is one of the basic steps in the process of evaluating ESI Funds during the 2014-2020 programming period and sets out a framework plan of the evaluation activities to be performed or coordinated by the authorities responsible for evaluation.

2 Legislative and methodological basis

The main basis for the preparation of the ESIF Evaluation Plan is Regulation (EU) No 1303/2013 of the European Parliament and of the Council of 17 December 2013 laying down common provisions on the European Regional Development Fund, the European Social Fund, the Cohesion Fund, the European Agricultural Fund for Rural Development and the European Maritime and Fisheries Fund and laying down general provisions on the European Regional Development Fund, the European Social Fund, the Cohesion Fund and the European Maritime and Fisheries Fund and repealing Council Regulation (EC) No 1083/2006.

2.1 Legislation of the Slovak Republic and of the Commission

1. Regulation (EU) No 1303/2013 of the European Parliament and of the Council of 17 December 2013 laying down common provisions on the European Regional Development Fund, the European Social Fund, the Cohesion Fund, the European Agricultural Fund for Rural Development and the European Maritime and Fisheries Fund and laying down general provisions on the European Regional Development Fund, the European Social Fund, the Cohesion Fund and the European Maritime and Fisheries Fund and repealing Council Regulation (EC) No 1083/2006 (hereinafter the “Common Provisions Regulation”).
2. Regulation (EU) No 1301/2013 of the European Parliament and of the Council of 17 December 2013 on the European Regional Development Fund and on specific provisions concerning the Investment for growth and jobs goal and repealing Regulation (EC) No 1080/2006;
3. Regulation (EU) No 1300/2013 of the European Parliament and of the Council of 17 December 2013 on the Cohesion Fund and repealing Council Regulation (EC) No 1084/2006;
4. Regulation (EU) No. 508/2014 of 15 May 2014 on the European Maritime and Fisheries Fund (EMFF);
5. Regulation (EU) No 1305/2013 of the European Parliament and of the Council of 17 December 2013 on support for rural development by the European Agricultural Fund for Rural Development (EAFRD) and repealing Council Regulation (EC) No 1698/2005;
6. Act No. 292/2014 Coll. on contributions provided from the European Structural and Investment Funds and on amendments to certain acts.

2.2 Other supporting documents issued by Slovakia and the Commission

1. CCA Methodological Instruction No. 20 on the Preparation of the Operational Programmes’ Evaluation Plan for the 2014–2020 Programming Period, Version 1;
2. Management System of the European Structural and Investment Funds for the 2014–2020 Programming Period;
3. Guidance document for Programming period 2014 – 2020 Monitoring and Evaluation of European Cohesion Policy, European Regional Development Fund and Cohesion Fund[[1]](#footnote-2);
4. Guidance document for Programming period 2014 – 2020 Monitoring and Evaluation of European Cohesion Policy, European Social Fund[[2]](#footnote-3);
5. Guidance document on Evaluation Plans (Terms of reference for Impact evaluations, Guidance on Quality Management of External Evaluations)[[3]](#footnote-4) ;
6. Working Paper on Elements of strategic programming for the period 2014 – 2020 issued by the Commission in December 2012;
7. EVALSED The resource for the evaluation of Socio-Economic Development[[4]](#footnote-5).
8. Guidance document on *Establishing and implementing the evaluation plan of 2014-2020 RDPs[[5]](#footnote-6)*

3 ESIF Evaluation Plan

3.1 ESIF Evaluation Plan objectives

The main objective of evaluation is to continuously monitor and assess the situation and progress in ESIF implementation and, on that basis, analyse the results and outputs in terms of their longer-term impact. This objective also determines the content and objectives of the ESIF Evaluation Plan, as set out in the draft of evaluation activities to be performed across different stages of ESIF implementation.

The ESIF Evaluation Plan and the underlying timetable for the entire programming period represent key elements to enhancing the quality of ESIF implementation.

The purpose of the ESIF Evaluation Plan is to obtain relevant and reliable information on the implementation of ESI Funds and, at the same time, improve the quality of evaluation during the 2014-2020 programming period. The evaluations will be performed with a view to improving ESIF implementation and assessing the effectiveness, efficiency and impacts of ESI Funds.

The ongoing evaluation to be performed during the programming period will focus on implementation and on the assessment of relevance, effectiveness, efficiency and impact of ESI Funds. The evaluations focusing on the administrative and procedural aspects of ESIF implementation will be carried out in the initial phase of implementation. At later stages of implementation, the evaluations will focus on the assessment of intervention logic, analysis of physical progress and the effects of interventions – outputs, results and impacts/effects.

The evaluations set out in the ESIF Evaluation Plan are of a general/indicative nature. They will be further specified and evaluation questions will be formulated as part of the evaluation preparation at the stage of drafting the terms of reference. Although the ESIF Evaluation Plan indicates the data and their sources, prior to each evaluation the entity which has commissioned it must provide or ensure the availability of relevant data (in the appropriate structure and form) that can be used for the evaluation.

Particular attention needs to be paid to the proper configuration a system for the collection of data necessary for evaluation through measurable indicators. The CCA will ensure that the set of data necessary for individual evaluations is collected systematically from the beginning of the programming period and is available at the time of evaluation, including data from public registers. The CCA will ensure the collection and processing of the data necessary for the evaluation of ESIF implementation in cooperation with the Statistical Office of the Slovak Republic, Social Insurance Agency, Financial Directorate of the Slovak Republic and other relevant institutions.

Evaluation teams may present their findings and recommendations to NMC members, as well as to the general and professional public. In addition to the evaluations set out in the ESIF Evaluation Plan, the CCA may order additional ad hoc evaluations.

The ESIF Evaluation Plan facilitates the sharing of knowledge and information through the evaluation of the communication and information activities in the 2014–2020 programming period, publication of the results of evaluations at [www.partnerskadohoda.gov.sk](http://www.partnerskadohoda.gov.sk), and through the exchange of information at meetings of the Evaluation Working Group and the National Monitoring Committee for ESI Funds.

The ESIF Evaluation Plan provides a comprehensive time axis for the complete set of evaluations to be used as a basis for the deliverables to be submitted in the course of the 2014–2020 programming period under the applicable EU law. They provide basis for evaluations implemented at national level as a feedback for the management of ESI Funds in the 2014–2020 programming period.

3.2 Scope of the ESIF Evaluation Plan

The scope of the ESIF Evaluation Plan is determined by the CCA. The ESIF Evaluation Plan includes the evaluations of ESIF and HP implementation. The CCA updates the planned evaluations for each calendar year of the 2014–2020 programming period.

During the 2014–2020 programming period, the CCA carries out evaluations focusing on the processes of evaluation in ESIF implementation and on results in order to assess the progress achieved and evaluate the effectiveness and efficiency of ESI Funds and the impacts which the contribution from EU funds has had on meeting the Cohesion Policy objectives. The detailed scope for individual evaluations will be specified in the terms of reference.

**3.3 Structure of proposed evaluations**

The evaluations which the CCA plans to perform during the 2014–2020 programming period are specified in Chapter 6 “Annual Overview of ESIF Evaluations in the 2014-2020 Programming Period”, which contains the title of evaluation, subject/objective and justification of the need for evaluation, source of data, timetable of evaluations, budget (EUR), form of evaluation and identification of the entity commissioning the evaluation. Chapter 7 “Indicative Summary of ESIF Evaluations for the 2014–2020 Programming Period” contains a detailed description of planned evaluations, including the title of evaluation, subject/objective and justification of the need for evaluation, data required for evaluation, the source of data for evaluation, basic evaluation questions, proposed methods, timetable of evaluation, form of evaluation, responsibility for the preparation of the terms of reference for evaluation, responsibility for the takeover and acceptance of the Works, evaluation coordinator, entities invited to comment, and the project’s financial management.

4 Framework for ESIF evaluation

4.1. Coordination at national level

The responsibility for ESIF evaluation rests with the CCA. The CCA’ tasks in the evaluation of ESI Funds are performed by the Evaluation Unit of Foreign Financial Assistance of the Department of the Monitoring and Evaluation of Foreign Financial Assistance under the Central Coordinating Authority Section of the Government Office of the Slovak Republic. The terms of reference are prepared and the process of evaluation is implemented in cooperation with relevant units and departments, members of the Evaluation Working Group, members of the Evaluation Supervision Working Group, as well as invited representatives of partners, such as self-governing regions, the Slovak Academy of Sciences, Slovak Statistical Office, etc.

As part of its competences in the evaluation of ESIF implementation, the CCA performs mainly the following tasks:

1. Prepares the ESIF Evaluation Plan for the 2014–2020 Programming Period and updates the plan of evaluations for each calendar year of the 2014–2020 programming period always by the end of February of the respective calendar year;
2. Assesses OP Evaluation Plans submitted by managing authorities (“MA”) prior their approval by the respective OP Monitoring Committees;
3. In the course of the programming period, prepares and updates methodological guidelines for the processes of evaluation at national level, which are necessary to ensure high-quality evaluations in line with the relevant guidance issued by the Commission;
4. Ensures the sources of data and the collection and processing of data necessary for the evaluation of ESIF implementation in cooperation with the Statistical Office of the Slovak Republic, Social Insurance Agency and other relevant institutions;
5. Prepares the Summary Report on Evaluation Activities and on the Results of ESIF Evaluations for the previous calendar year by 31 May of the current calendar year and submits the report for information to members of the NMC and partners;
6. Prepares, in compliance with Article 114(2) of the Common Provisions Regulation, a summary report on evaluations in the 2014–2020 programming period which summarises all findings of the evaluations carried out during the entire programming period, and submits the report to the Commission by 31 December 2022;
7. Includes into the ESIF Evaluation Plan the evaluations focusing on HP;
8. Establishes, determines the scope of activities and puts in place the organisational arrangements for the work of the Evaluation Working Group, the members and observers of which include representatives of the CCA, MA, HP coordinators, partners, invited representatives of other relevant institutions, as well as experts in individual topics and themes; the working group serves as a platform for coordination and exchange of experiences among MAs in the area of evaluation;
9. Cooperates with the relevant units of DGs within the European Commission involved in the process of evaluation and participates, on a regular basis, in the activities of working parties for evaluation organised by the relevant DGs;
10. During the programming period, performs the evaluation of ESIF implementation with particular emphasis on the relevance, effectiveness and efficiency of ESIF implementation;
11. Carries out an evaluation which serves as a basis for the preparation of a proposal for the reallocation of corresponding amounts of the performance reserve from those priorities where milestones have not been met (in line with Article 22(4) of the Common Provisions Regulation) and submits the proposal to the Commission; this evaluation will be carried out by 30 June 2019 and will reflect the needs and priorities of the Slovak Republic and the implementation capacities of individual OPs;
12. Submits to the members of the NMC and partners in the Commission the final evaluation reports, prepared for each calendar year and containing information on the progress achieved in the implementation of the evaluation plan and the outcomes of evaluations.

4.2. National Monitoring Committee

1. The NMC is a body established by the CCA.
2. The main task of the NMC is to monitor and evaluate, on a regular basis, the implementation of Cohesion Policy objectives during the 2014–2020 programming period and evaluate the effectiveness of activities connected with the provision of contributions from the ESI Funds.
3. In connection with evaluation activities, the NMC performs mainly the following tasks:
4. Monitors the progress achieved in the meeting of the target values of measurable indicators, including the milestones set within the performance framework as of 31 December 2018, and proposes measures designed to increase the effectiveness and efficiency of ESIF implementation, including the OPs and HPs;
5. Takes note of the Implementation Report of the ESI Funds;
6. Takes note of the Progress Report as of 31 December 2016, which the CCA will submit to the Commission by 31 August 2017, and the Progress Report as of 31 December 2018, which the CCA will submit to the Commission by 31 August 2019;
7. Approves the ESIF Evaluation Plan for the 2014–2020 Programming Period, prepared by the CCA;
8. Approves the Update of Planned Evaluations for the Year N of the 2014–2020 Programming Period, prepared by the CCA no later than by the end of February of the respective calendar year;
9. Takes note of the information on the Summary Report on the Results of OP Evaluations for each calendar year – outcomes of strategic evaluations and of the evaluations performed under individual OPs and HPs in relation to the Cohesion Policy objectives for the 2014-2020 programming period;
10. Takes note of the proposed reallocations of funds and the subsequent revisions of the PA and the OPs concerned;

 4.3 European Commission

The Commission is authorised (pursuant to Article 56(4) of the Common Provisions Regulation) to carry out evaluations, at its own initiative, in partnership with the CCA and/or MA OP. The Commission shall inform the CCA on the evaluation and send the results to the NMC.

The Commission issues guidance for evaluation, including the types of evaluation according to periodicity, methods and techniques of evaluation, standards of evaluation, etc. As part of its methodological input the Commission also supports the building of administrative capacities in the area of monitoring and evaluation and the exchange of experiences between Member States in these fields.

The Commission also coordinates the process of evaluation by organising regular meetings with representatives of Member States and other bodies – Evaluation Network Meeting and Evaluation Partnership Meeting – which usually take place twice a year.

The Commission is interested to cooperate in evaluations with Member States and, where necessary, provide the necessary assistance.

4.4 Types of evaluations

During the 2014–2020 programming period, the evaluations are performed ex ante, during the programming period, and ex post. The purpose of ex ante evaluation is to improve the quality of the design of each programme and verify the achievability of its objectives. The purpose of ex post evaluation is to examine the effectiveness and efficiency of the ESI Funds and their impact on the overall ESIF objectives and contribution to the Union strategy for smart, sustainable and inclusive growth. Ex post evaluation is carried out after the end of the programming period in cooperation with the Commission.

4.5 Ongoing evaluation of ESIF implementation

Ongoing evaluation is carried out during the programming period and focuses on the implementation, assessment of relevance, effectiveness, efficiency, and impact of each OP/HP and impact assessment. It is carried out according to the ESIF Evaluation Plan in line with Articles 56 and 114 of the Common Provisions Regulation and the updated evaluation plan for the respective year.

The purpose of ongoing evaluations of ESI Funds is to provide relevant information to the CCA responsible for the efficient implementation of ESI Funds, to the Managing Authorities of OPs responsible for the meeting of OP objectives and to the HP coordinators responsible for the meeting of HP objectives, as well as to professional and general public.

4.6 Organisational arrangements for the performance of evaluations

The evaluation of ESI Funds may be carried out as internally or externally.

CCA employees perform internal evaluations of ESI Funds subject to meeting the condition for functional separation of their evaluation activities from the activities connected with the implementation and monitoring of OPs, at least at the level of job positions. The plan of internal evaluations takes into account the CCA’s evaluation capacities.

External evaluations of ESI Funds are performed by natural or physical persons functionally independent of the bodies responsible for the implementation of ESI Funds.

The CCA of the Government Office of the Slovak Republic outsources external evaluations in line with Act No. 25/2006 on Public Procurement, as amended.

4.7 Capacity building

Within the CCA, the evaluation activities are performed by the staff of the Evaluation Unit of Foreign Financial Assistance. The Evaluation Unit of Foreign Financial Assistance comprises four evaluation managers and one head of unit.

The Evaluation Unit of Foreign Financial Assistance cooperates with other units within the CCA in the preparation and design of the 2014–2020 programming period. In the area of evaluation, the Evaluation Unit of Foreign Financial Assistance also coordinates and gives methodological guidance to the MAs of individual Operational Programmes and to Horizontal Principles Coordinators.

In order to strengthen CCA evaluation capacities, all evaluation managers undergo continuous specialised training aimed at enhancing their qualifications and professional skills.

4.8 Use of evaluations

The main purpose of evaluations is to provide information on the relevance, effectiveness, efficiency and impact of the ESI Funds and, on that basis, ensure their more efficient management and implementation.

The CCA will prepare an evaluation which will serve a basis for the preparation of the progress reports which the Slovak Republic, in line with Article 52 of the Common Provisions Regulation, shall submit to the Commission by 31 August 2017 and 31 August 2019.

The CCA will perform an evaluation which will serve as a basis for the preparation of a proposal for the reallocation of performance reserve funds from those priority axes which have not reached their milestones. This evaluation will be carried out by 30 June 2019 and will reflect the needs and priorities of the Slovak Republic and the implementation capacities of individual OPs.

The CCA will prepare, in compliance with Article 114(2) of the Common Provisions Regulation, a summary report on evaluations in the 2014–2020 programming period which will summarise all findings of the evaluations carried out throughout the programming period; the report will be submitted to the Commission by 31 December 2022;

4.9 Budget for evaluations

Pursuant to Article 54(2) of the Common Provisions Regulation, in planning the financial allocation for evaluations, the CCA will take into account, apart from the cost of external evaluations, also the resources necessary to collect the data necessary for evaluations. The cost of the ESIF evaluation activities, including the underlying arrangements, will be financed from OP Technical Assistance – Priority Axis 1 “Management, Control and Audit of ESI Funds” through Intervention 122 “Evaluation and Studies”.

The total indicative allocation for “Evaluation and Studies” represents EUR 4 000 000.

At the same time, the CCA will also allocate adequate funds for the strengthening of administrative capacities in the area of education (training, wages), also because some evaluations will be carried out by internal evaluators.

4.10 Timetable of evaluations

Individual evaluations are planned in a manner which takes into account the obligations and needs of the CCA to perform evaluations during the 2014–2020 programming period. Evaluations are planned well ahead so that their conclusions and findings feed timely into the preparation of relevant reports. The recommendations from evaluations could be implemented during the 2014–2020 programming period.

In terms of timing, specific attention needs to be paid to the evaluation of impacts; they should be planned in a manner which provides sufficient time for interventions to produce results.

The timetable of implementation is provided in Chapter 5 “Indicative Timetable of ESI Funds Evaluation for the 2014–2020 Programming Period”. The timetables of individual evaluations may be adjusted to reflect the actual CCA needs.

4.11 Quality management of the evaluation process

The CCA is responsible for the quality of evaluations carried out during the implementation of the ESI Funds. The quality of evaluations depends on the quality of individual components of the evaluation process – planning and commissioning of evaluations, implementation of evaluations, monitoring, availability of data, and communication.

The quality of the evaluation process is mainly influenced by the terms of reference, which must be prepared with particular care and attention. The terms of reference should at least define the following: purpose and target group of evaluation, objectives and scope of evaluation, source of data, evaluation questions, methods of evaluation, outputs, timetable for the submission of evaluation reports, composition of the evaluation team (minimum qualification requirements of evaluators/team members) and the expected budget of the evaluation. Particular attention needs to be paid to the preparation of the standards for evaluation and checklists; to this end, the CCA will issue guidelines designed to enhance the quality of evaluation processes. The National Monitoring Committee will assess the quality of the evaluation reports and evaluation plans.

4.12 Information and publicity (transparency)

The CCA publishes the ESIF Evaluation Plan and the updated plans of evaluation for respective calendars year on its website at [www.partnerskadohoda.gov.sk](http://www.partnerskadohoda.gov.sk).

The CCA will publish all final evaluation reports from both external and internal evaluations within one month of the completion of the evaluation process on its website at [www.partnerskadohoda.gov.sk](http://www.partnerskadohoda.gov.sk) so as to inform the public and the social and economic partners, as well as other stakeholders, on the results of evaluation.

The CCA will set up a publicly accessible database of final evaluation reports on its website at [www.partnerskadohoda.gov.sk](http://www.partnerskadohoda.gov.sk) containing all final evaluation reports, including their brief summaries in the English language.

5 Data collection

In cooperation with the managing authorities, the CCA will ensure systemic collection of primary and secondary data from the beginning of the programming period, and shall configure the system of data collection to also capture additional data beyond those obtained in the monitoring of individual measurable indicators of operational programmes.

The sources of information for the so-called primary data include: individuals, households, companies, etc. Information will be obtained, for example, through questionnaires, interviews, surveys, ITMS, etc. It is recommended to compile a representative sample in line with the rules of statistics.

The so-called secondary data will be obtained from: the Statistical Office of the Slovak Republic, Eurostat, etc., and from other surveys, analysis and/or evaluations.

The CCA will ensure the protection of personal data and sensitive information in full compliance with EU legislation governing the protection of personal data, in particular Directive 95/46/EC on the protection of individuals with regards to the processing of personal data and on the free movement of such data, and compliance with the national laws through which the directive is transposed, as well as Regulation (EC) No.  45/2001 on the protection of individuals with regard to the protection of personal data by the Community institutions and bodies and on the free movement of such data.

6 Annual Overview of ESIF Evaluations in the 2014-2020 Programming Period

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **No.**  | **Title of evaluation** | **Subject, objective and justification of the need for evaluation** | **Source of data** | **Timetable** | **Form** | **Commissioned by** |
| **YEAR 2015** |
|  | [Qualitative analysis of recommendations from performed evaluations NSRF/OP/HP in the 2007–2013](#metahodnotenie) programing period and from the meta-evaluation performed  | The purpose of the evaluation is to elaborate on the findings and recommendations and specify the needs for the evaluation system, particularly when it comes to the implementation of the results of evaluation and the CCA tasks. The evaluation will be used to set up an efficient system for the taking of recommendations into account and for making the evaluation system run by the CCA more efficient, which is one of the conclusions of the meta-evaluation performed. | CCA, MA, HP coordinators, Summary reports and final reports from evaluations carried out in the 2007–2013 programming period, evaluator’s questionnaire survey  | 10/2015 – 02/2016  | internally/externally | CCA (DMEFFA) |
| **YEAR 2016** |
| **No.** | **Title****of evaluation** | **Subject, objective and justification of the need for evaluation** | **Source of data** | **Timetable** | **Form** | **Commissioned by** |
|  | [Evaluation of communication and information activities in the 2014 – 2020 programming period (first phase)](#komunikácia) | Initial public opinion survey which will serve as an input for the evaluation of the communication and information activities in the 2014–2020 programming period.Justification of the need:Recommendations from the evaluation of information and publicity activities in the 2007-2013programming period | ITMSMA for OP,CCA,Communication strategy OP TA for PA for the 2014-20 programming period,Annual communication plans | 2016 | externally | CCA (IPD) |
|  | [Structuralization of the ESIF evaluation system](#štrukturalizácia) | Verification of evaluation system components (quality of reports, cooperation, terms of reference, data collection, coordination) Identification of the elements which the evaluation should contain (principles, triangulation, timetable, etc.).Objective:Unification of processes and outputs in the area of evaluation. | ESIF Management System for the 2014–2020 programming period,MI CCA,ITMSMA for OP, | 01/2016 – 06/2016 | internally/externally | CCA (DMEFFA) |
| 4. | [Evaluation of the appropriateness of the setup of administrative capacities](#kapacity)  | Need to evaluate the setup of administrative capacities in connection with Slovak Government Resolution No. 519/2014, point B.6 “to reconsider and update the proposed increase in administrative capacities for the implementation of the European Structural and Investment Funds” by 31 December 2016 and in connection with MI CCA No. 21 and MI CCA No. 22.  | Annual reports on the implementation of OPs,CCA, MA, IB staffITMSSO SRInternal audits | 03/2016 – 05/2016 | externally | CCA (DMEFFA) |
| 5. | [Evaluation of the results of evaluation and of the ESIF/OP/HP evaluation activities for 2015](#súhrnná_správa) | Evaluation will serve as an input for the Summary Report on Evaluation Activities and on the Results of ESIF Evaluation/OP/HP for the respective calendar year  | ITMSSummary reports on evaluation activities and on the results of OP/HP evaluations performed by the CCA  | 04/2016 – 05/2016 | internally | CCA (DMEFFA) |
| 6. | [Methodology for the evaluation of synergic effects and interventions of ESIF](#synergie_metódy) | Need to develop a methodological manual for the evaluation of complementarities and synergies of interventions from ESIF and other support instruments, and specification of the themes subject to further evaluation. | CCA,MA for OP,HP coordinatorsEVALSED | 02/2016 – 09/2016 | externally | CCA (DMEFFA) |
| 7. | [Evaluation of the efficiency of the setup of ESIF processes](#procesy)   | The evaluation is needed in order to simplify the existing ESI Funds Management System and make it more efficient. | ITMSCCA, MA, IB | 01/2016 – 09/2016 | externally | CCA (DMC) |
| 8. | [Evaluation of the progress achieved in the implementation of Partnership Agreement](#správa_pokroku)  I | Input for the preparation of Progress Report in the Implementation of Partnership Agreement. Strategické monitorovanie dosiahnutého pokroku v hospodárskom, sociálnom a územnom rozvoji regiónov v SR s priemetom na tematickú koncentráciu EŠIF. | PA SR for 2014-2020,Legislative, strategic and concept documents of the EU and SR,National Regional Development Strategy,National Reform Programme ITMS,Annual reports on the implementation of OPs,Reports on the implementation of the ESI Funds,SO SROECD | 2016 - 2017 | externally | CCA (OPS) |
| **YEAR 2017** |
| **No.** | **Title of evaluation** | **Subject, objective and justification of the need for evaluation** | **Source of data** | **Timetable** | **Form** | **Commissioned by**  |
| 9. | [Evaluation of the ESIF contribution towards meeting the Europe 2020 strategy objectives](#strategické_monitorovanie) | In 2017, Slovakia will submit to the Commission a report which should also contain the evaluation of ESI Funds contribution towards EU 2020.The objective is to measure the contribution of ESI Funds towards meeting the Europa 2020 objectives. | ITMS,Annual reports on the implementation of OPs,SO SREurostat,OECD | 2017 | externally | CCA (HPD) |
| 10. | [Evaluation of the impacts of NSRF implementation on meeting the NSFR strategic objective](#expost2013)  | Need for ex post evaluation of the NSRF strategic objective for 2007–2013 “To significantly increase, by 2013, the competitiveness and performance of Slovak regions, the economy and employment, respecting the principles of sustainable development”. Need to evaluate the efficiency of implementation of the SF and CF financial instruments. | Document “NSRF for 2007-2013”,ITMS,COLSAF,MA for OP / HP coordinators,Annual reports on the implementation of OPs | 01/2017 – 12/2017 | externally | CCA (DMEFFA) |
| 11. | [Assessment of compliance with milestones of the performance framework for 2016](#výkonnostný_rámec)  | Interim evaluation of the meeting of milestones to monitor the performance framework.  | ITMS,ESI Funds Management System,MA for OP,MI CCA,Risk analysis “Traffic Lights”,Independent monitoring entity | 03/2017 – 06/2017 | internally | CCA (DMEFFA) |
| 12. | [Evaluation of the results of evaluations and of the evaluation activities of ESIF/OP/HP for 2016](#súhrnná_správa) | Evaluation will serve as an input for the Summary Report on Evaluation Activities and on the Results of ESIF Evaluation/OP/HP for the respective calendar year | Summary reports on evaluation activities and on the results of OP/HP evaluations performed by the CCA  | 04/2017 – 05/2017 | internally | CCA (DMEFFA) |
| 13. | [Interim evaluation of progress in the implementation of HP at OP level for the year 2016](#HP_priebežné) | Interim evaluation of progress in HP implementation at the level of OPs. The purpose is to evaluate the meeting of the HP EMaWaND objectives in the 2014–2020 programming period.  | Annual reports on the implementation of OP/HP,ITMS,MA for OP/HP coordinators | 02/2017 – 04/2017 | externally | CCA and HP EMaWaND/HP SD  |
| **YEAR 2018** |
| **No.** | **Title of evaluation** | **Subject, objective and justification of the need for evaluation** | **Source of data** | **Timetable** | **Form** | **Commissioned by** |
| 14. | [Evaluation of the Integrated Framework of Information and Advisory Centres](#poradenské_centrá) | The Government Office will support, in line with the PA, the Integrated Network of Information and Advisory Centres (IN IAC) which will provide information on ESI Funds. Evaluation will be carried out 2.5 years into the IN IAC functioning. The results of the evaluation will serve as a basis for the decision on whether or not the IN IAC will be supported further and, if so, the evaluation will identify options for streamlining the IN IAC operation. | ITMS, semi-annual evaluation by the MA of the activities of individual IACs, semi-annual evaluation of the activities of the IN IAC coordinator, staff of the CCA, MA, IB, public, database of those interested in information on ESI Funds, Annual Reports of IACs  | 07/2018 – 08/2018 | externally | CCA (DMC) |
| 15. | [Assessment of compliance with milestones of the performance framework for 2017](#výkonnostný_rámec)  | Interim evaluation of the meeting of milestones to monitor the performance framework. | ITMS,ESI Funds Management System,MA for OP,MI CCA,Risk analysis “Traffic Lights”,Independent monitoring entity | 03/2018 – 05/2018 | internally | CCA (DMEFFA) |
| 16. | [Evaluation of the results of evaluations and of the evaluation activities of ESIF/OP/HP for 2017](#súhrnná_správa) | Evaluation will serve as an input for the Summary Report on Evaluation Activities and on the Results of ESIF Evaluation/OP/HP for the respective calendar year | Summary reports on evaluation activities and on the results of OP/HP evaluations performed by the CCA  | 04/2018 – 05/2018 | internally | CCA (DMEFFA) |
| 17. | [Evaluation of communication and information activities in the 2014 – 2020 programming period (second phase)](#komunikácia) |  Comparison-based public opinion survey, analysis of data, preparation of an interim evaluation report | ITMS,MA for OP,CCA,Communication strategy OP TA for PA for the 2014–20 programming period,Annual communication plans | 2018 | externally | CCA (IPD) |
| 18. | [Interim evaluation of progress in the implementation of HP at OP level for the year 2017](#HP_priebežné) | Interim evaluation of progress in HP implementation at the level of OPs. The purpose is to evaluate the meeting of the HP EMaWaND objectives in the 2014–2020 programming period.  | Annual reports on the implementation of OPs,ITMS,MA for OP/HP coordinators  | 02/2018 – 04/2018 | externally | CCA and HP EMaWaND/HP SD |
| 19. | [Evaluation of the progress achieved in the implementation of Partnership Agreement II.](#správa_pokrokuII) | Strategic monitoring of the progress achieved in the economic, social and territorial development of Slovak regions with emphasis on the thematic concentration of ESIF by 31 December 2018. The outputs will serve as a basis for the preparation of the progress report in the implementation Partnership Agreement. | PA SR for 2014–2020Legislative, strategic and concept documents of the EU and SR,National Regional Development Strategy, ITMS,Annual reports on the implementation of OPs,Reports on the implementation of the ESI Funds,SO SROECD | 2018 - 2019 | externally | CCA (OPS) |
| **YEAR 2019** |
| **No.** | **Title of evaluation** | **Subject, objective and justification of the need for evaluation** | **Source of data** | **Timetable** | **Form** | **Commissioned by** |
| 20. | [Assessment of compliance with milestones of the performance framework for 2018](#výkonnostný_rámec)  | Interim evaluation of the meeting of milestones to monitor the performance framework and propose the reallocation of funds in the performance reserve. The objective is to continuously monitor milestones, prepare final evaluation and verify the proposal for the reallocation of funds in the performance reserve. | ITMS,ESI Funds Management System,MA for OP,MI CCA,Risk analysis “Traffic Lights”,Independent monitoring entity | 03/2019 – 06/2019 | internally/externally | CCA (DMEFFA) |
| 21. | [Evaluation of the results of evaluations and of the evaluation activities of ESIF/OP/HP for 2018](#súhrnná_správa) | Evaluation will serve as an input for the Summary Report on Evaluation Activities and on the Results of ESIF Evaluation/OP/HP for the respective calendar year | Summary reports on evaluation activities and on the results of OP/HP evaluations performed by the CCA  | 04/2019 – 05/2019 | internally | CCA (DMEFFA) |
| 22. | [Evaluation of the meeting of objectives/action plans of the strategic document SD 2015+](#TUR2015) | According to PA SR 2014–2020, the strategic document SD 2015+ is mandatory for the implementation of the horizontal principle “Sustainable Development”. The coordinator of HP “Sustainable Development” is to evaluate its implementation and submit reports to the government. It will therefore be appropriate to perform at least one external evaluation during the period of implementation. The objective is to assess compliance with the strategic document SD 2015+. | ITMS,MA for OP,SO SREurostat,OECD | 2019 | externally | CCA (HPD) |
| 23. | [[Evaluation of the ESIF contribution towards meeting the Europe 2020 strategy objectives](#strategické_monitorovanie)](#strategické_monitorovanie) | In 2019, Slovakia will submit to the Commission a report which should also contain the evaluation of ESI Funds’ contribution towards EU 2020.The objective is to measure the contribution of ESI Funds towards meeting the Europa 2020 strategy objectives.  | ITMS,Annual reports on the implementation of OPs,SO SREurostat,OECD | 2019 | externally | CCA (HPD) |
| 24. | Interim impact evaluation of the meeting of HP objectives according to OP priorities at the level of Partnership Agreement. | Interim impact evaluation of the meeting of HP objectives according to OP priorities and at the level of Partnership Agreement. The objective is to obtain information on the meeting of HP objectives and formulate recommendations should problems occur. Required under EU Regulation. | ITMS,Annual reports on the implementation of OPs,HP coordinatorsMA for OP,SO SREurostat | 2019 | externally | CCA and HP EMaWaND/HP SD |
| **YEAR 2020** |
| **No.** | **Title of evaluation** | **Subject, objective and justification of the need for evaluation** | **Source of data** | **Timetable** | **Form** | **Commissioned by** |
| 25. | [Evaluation of the meeting of milestones and indicators of the performance framework for 2019](#výkonnostný_rámec) | Interim evaluation of the meeting of objectives to monitor the performance framework. The objective is to achieve 100-% compliance with the performance framework indicators at the end of the programming period. | ITMS,ESI Funds Management System,MA for OP,MI CCA,Risk analysis “Traffic Lights”,Independent monitoring entity | 03/2020 – 05/2020 | internally | CCA (DMEFFA) |
| 26. | [Evaluation of the results of evaluations and of the evaluation activities of ESIF/OP/HP for 2019](#súhrnná_správa) | Evaluation will serve as an input for the Summary Report on Evaluation Activities and on the Results of ESIF Evaluation/OP/HP for the respective calendar year | Summary reports on evaluation activities and on the results of OP/HP evaluations performed by the CCA  | 04/2020 – 05/2020 | internally | CCA (DMEFFA) |
| 27. | [Interim evaluation of progress in the implementation of HP at OP level for the year 2019](#HP_priebežné) | Interim evaluation of the progress in HP implementation at the level of OPs. The purpose is to evaluate the meeting of the HP EMaWaND objectives in the 2014–2020 programming period.  | Annual reports on the implementation of OPs,ITMS,MA for OP/HP coordinators  | 02/2020 – 04/2020 | externally | CCA and HP EMaWaND/HP SD |
| 28. | [ESIF contribution towards the creation of jobs with emphasis on sustainable, inclusive and smart growth](#zamestnanosť)  | Evaluation of the impact of ESIF interventions on the labour market, opportunities for job creation, and their impact on sustainable, inclusive and smart growth of the economy.  | SO SRITMS,COLSAF,OP and their annual reports,EU and Slovak legislation | 2020 | externally | CCA (DMEFFA) |
| **YEAR 2021** |
| **No.** | **Title of evaluation** | **Subject, objective and justification of the need for evaluation** | **Source of data** | **Timetable** | **Form** | **Commissioned by** |
| 29. | [Evaluation of the meeting milestones and indicators of the performance framework for the year 2020](#výkonnostný_rámec_post2019) | Interim evaluation of the meeting of objectives to monitor the performance framework. The objective is to achieve 100-% compliance with the performance framework indicators at the end of the programming period. | ITMS,ESI Funds Management System,MA for OP,MI CCA,Risk analysis “Traffic Lights”,Independent monitoring entity | 03/2021 – 05/2021 | internally | CCA (DMEFFA) |
| 30. | [Evaluation of the results of evaluations and of the evaluation activities of ESIF/OP/HP for 2020](#súhrnná_správa) | Evaluation will serve as an input for the Summary Report on Evaluation Activities and on the Results of ESIF Evaluation/OP/HP for the respective calendar year | Summary reports on evaluation activities and on the results of OP/HP evaluations, Evaluations performed by CCA  | 04/2021 – 05/2021 | internally | CCA (DMEFFA) |
| 31. |  [Evaluation of communication and information activities in the 2014–2020 programming period (third phase)](#komunikácia)  | Evaluation of effectiveness and efficiency of information and communication in the 2014–2020 programming period. Final opinion survey, analysis of data and preparation of the final evaluation survey. | ITMS,MA for OP,CCA,Communication strategy OP TA for PA for the 2014–20 programming period,Annual communication plans | 2021 | externally | CCA (OIP) |
| 32. | [Interim evaluation of progress in the implementation of HP at OP level for the year 2020](#HP_priebežné) | Interim evaluation of the progress in HP implementation at the level of OPs. The purpose is to evaluate the meeting of the HP EMaWaND objectives in the 2014–2020 programming period.  | Annual reports on the implementation of OPs,ITMS,MA for OP/HP coordinators | 02/2021 – 04/2021 | externally | CCA and HP EMaWaND/HP SD |
| **YEAR 2022** |
| **No.** | **Title of evaluation** | **Subject, objective and justification of the need for evaluation** | **Source of data** | **Timetable** | **Form** | **Commissioned by** |
| 33. | [Evaluation of the meeting milestones and indicators of the performance framework for the year 2021](#výkonnostný_rámec_post2019) | Interim evaluation of the meeting of objectives to monitor the performance framework. The objective is to achieve 100-% compliance with the performance framework indicators at the end of the programming period. | ITMS,ESI Funds Management System,MA for OP,MI CCA,Risk analysis “Traffic Lights”,Independent monitoring entity | 03/2022 – 05/2022 | internally | CCA (DMEFFA) |
| 34. | [Evaluation of the results of evaluations and of the evaluation activities of ESIF/OP/HP for 2021](#súhrnná_správa) | Evaluation will serve as an input for the Summary Report on Evaluation Activities and on the Results of ESIF Evaluation/OP/HP for the respective calendar year | Summary reports on evaluation activities and on the results of OP/HP evaluations performed by the CCA  | 04/2022 – 05/2022 | internally | CCA (DMEFFA) |
| 35. | [Evaluation of the findings from the ESIF evaluations carried out in the 2014-2020](#metahodnotenie2022) programming period | The evaluation will serve as a basis for the preparation of the Summary Report on the Evaluation of ESIF Implementation in the 2014–2020 programming period. | Summary reports on evaluation activities and on the results of OP/HP evaluations  | 09/2022 – 12/2022 | internally/externally | CCA (DMEFFA) |
| 36. | [Evaluation of the impacts of ESIF implementation](#synergie_dopady) | Evaluation of synergic effects and of the impacts of ESI Funds on meeting the Europe 2020 Strategy objectives. Cross-sectoral evaluation based in the evaluation of the results of the programmes and operations funded from ESIF since 2014. The evaluation will also cover the effectiveness, efficiency and cost savings during the 2014–2020 programming period. | ITMS,Monitoring reports of OPs, SO SRMA for OP, CCA and HP coordinators | 2022 (ending in 2023) | externally | CCA (DMEFFA) |
| 37. | [Evaluation of the meeting of objectives/action plans of the strategic document SD 2015+](#TUR2015) | According to PA SR 2014–2020, the strategic document SD 2015+ is mandatory for the implementation of the horizontal principle “sustainable development”. The coordinator of HP “Sustainable Development” is to evaluate its implementation and submit reports to the government. It will therefore be appropriate to perform at least one external evaluation during the period of implementation. | ITMS,Annual reports on the implementation of OPs,MA for OP,SO SREurostat,OECD | 2022 | externally | CCA (HPD) |
| 38. | [Interim evaluation of progress in the implementation of HP at OP level for the year 2021](#HP_priebežné) | Interim evaluation of the progress in HP implementation at the level of OPs. The purpose is to evaluate the meeting of the HP EMaWaND objectives in the 2014–2020 programming period.  | Annual reports on the implementation of OPs,ITMS,MA for OP/HP coordinators | 02/2022 – 04/2022 | externally | CCA and HP EMaWaND/HP SD |
| **YEAR 2023** |
| **No.** | **Title of evaluation** | **Subject, objective and justification of the need for evaluation** | **Source of data** | **Timetable** | **Form** | **Commissioned by** |
| 39. | [Final evaluation of progress in the implementation of HP at OP level](#HP_záverečné) | Final evaluation of the meeting of the HP EMaWaND objectives in the 2014–2020 programming period.  | Annual reports on the implementation of OPs,ITMS,MA for OP,HP coordinators | 02/2023 – 04/2023 | externally | CCA and HP EMaWaND/HP SD |

7 Indicative summary list of ESIF evaluations in the 2014–2020 programming period

|  |  |
| --- | --- |
| **1.** | **Qualitative analysis of recommendations from performed evaluations of NSRF/OP/HP in the 2007–2013 programing period and from the meta-evaluation performed**  |
| **Subject, objective and justification of the need for evaluation** | The objective of this evaluation is to elaborate on the findings and recommendations and specify the needs for the evaluation system, particularly when it comes to the implementation of the results of evaluation and the CCA tasks. The evaluation will be used to set up an efficient system for the taking of recommendations into account and for making the evaluation system run by the CCA more efficient, which is one of the conclusions of the meta-evaluation performed. |
| **Required data** | Texts and statistical data on performed evaluations, recommendations from meta-evaluation, responses from internal survey  |
| **Source of data** | CCA, MA, HP coordinators, Summary reports and final reports from evaluations carried out in the 2007–2013 programming period, evaluator’s questionnaire survey |
| **Basic evaluation questions** | What are the challenges and risks identified by evaluations (including the process and use of outputs) on which the future activities should focus?Where and how the evaluation system needs to be developed further with a view to the tasks and positon of the CCA?What is the efficient mode of communication and support for the use of the findings and recommendations from evaluations?  |
| **Proposed methods** | Desk research, questionnaire survey, multi-criteria methods, SWOT analysis  |
| **Timetable** | 10/2015 – 02/2016 |
| **Form** | internally/externally |
| **Responsible for the preparation of the terms of reference** | Foreign Financial Assistance Evaluation Unit |
| **Responsible for the takeover and acceptance of the Works** | Central Coordinating Authority Section |
| **Evaluation coordinator** | Foreign Financial Assistance Evaluation Unit |
| **Invited to comment** | Members of the Evaluation Supervision Working Group (set up within the CCA),Members of the Working Group for Evaluation |
| **Financial management of the project**  | Project Preparation and Implementation Unit, CCA |
| **2.** | **Evaluation of communication and information activities in the 2014-2020 programming period**  |
| **Subject, objective and justification of the need for evaluation** | To provide a basis for the evaluation of the effectiveness and efficiency of information and communication activities in the 2014–2020 programming period |
| **Required data** | Measurable indicators, results of OP opinion survey, recommendations from the evaluation of information and publicity activities in  the 2007-2013 programming period |
| **Source of data** | ITMS,MA for OP,CCA,Communication strategy OP TA for PA for the 2014–20 programming period,Annual communication plans |
| **Basic evaluation questions** | How effective are the communication and information activities in the area of ESI Funds?To what extent have individual types of communication and information activities contributed towards raising awareness on the ESI Funds among professional/general public?Have the communication and information activities in the area of ESI Funds contributed towards raising awareness on their benefits among the population? |
| **Proposed methods** | Analysis of time series, public opinion survey |
| **Timetable** | 1st phase - Year 2016 (public opinion survey – initial)2nd phase – Year 2018 (1/ public opinion survey. – comparison-based; 2/.analysis of data; 3/ interim evaluation report)3rd phase – Year 2021 (1/ public opinion survey. – final; 2/ analysis of data; 3/ final evaluation report) |
| **Form** | externally |
| **Responsible for the preparation of the terms of reference** | Foreign Financial Assistance Evaluation Unit in cooperation with the Information and Publicity Department  |
| **Responsible for the takeover and acceptance of the Works** | Pursuant to a partial Contract for Works or under the Public Procurement Act or the EU directive on public procurement |
| **Evaluation coordinator** | Foreign Financial Assistance Evaluation Unit |
| **Invited to comment** | Members of the Evaluation Supervision Working Group (set up within the CCA),Members of the Working Group for Evaluation – communication managers from the MA for the OP concerned |
| **Financial management of the project**  | Project Preparation and Implementation Unit, CCA |
| **3.** | **Structuralization of the ESIF evaluation system;** |
| **Subject, objective and justification of the need for evaluation** | Verification of the system of evaluation (quality of reports, cooperation, terms of reference, data collection, coordination) and identification of the elements which evaluation should contain (principles, triangulation, time schedule, etc.).Objective:Unification of processes and outputs in the area of evaluation.  |
| **Required data** | Tasks and competencies of the bodies involved in the ESI Funds  management system, MA plans of evaluation, outputs from meta-evaluation and analysis of the evaluations performed  |
| **Source of data** | ESIF Management System for the 2014–2020 programming period,MI CCA,ITMS,MA for OP  |
| **Basic evaluation questions** | How are the indicators linked to investment priorities, thematic objectives, horizontal principles and the EU2020 Strategy designed and evaluated?How do the proposed common evaluation questions reflect the need to coordinate evaluation in strategic areas (synthesis of several MAs)?What are the subsequent needs in terms of ensuring the availability of data on a continuous basis? |
| **Proposed methods** | benchmarking, brainstorming, delphi, focus group |
| **Timetable** | 01/2016 – 06/2016 |
| **Form** | internally/externally |
| **Responsible for the preparation of the terms of reference** | Foreign Financial Assistance Evaluation Unit |
| **Responsible for the takeover and acceptance of the Works** | Central Coordinating Authority Section |
| **Evaluation coordinator** | Foreign Financial Assistance Evaluation Unit |
| **Invited to comment** | Members of the Evaluation Supervision Working Group (set up within the CCA),Members of the Working Group for Evaluation |
| **Financial management of the project** | Project Preparation and Implementation Unit, CCA |
| **4.** | **Evaluation of the appropriateness of the setup of administrative capacities** |
| **Subject, objective and justification of the need for evaluation** | Need to evaluate the setup of administrative capacities in connection with Slovak Government Resolution No. 519/2014, point B.6 “to reconsider and update the proposed increase in administrative capacities for the implementation of the European Structural and Investment Funds” by 31 December 2016 and in connection with MI CCA No. 21 and MI CCA No. 22.  |
| **Required data** | Approved numbers of administrative capacities in the bodies involved in the implementation, management and control of ESI Funds during the 2014–2020 programming period,Actual numbers of administrative capacities in the bodies involved in the implementation, management and control of ESI Funds during the 2014–2020 programming period,Proposed numbers of administrative capacities in all bodies involved in the implementation, management and control of ESI Funds during the 2014–2020 programming period based on the analysis of administrative capacities  |
| **Source of data** | ITMS,CCA, MA, IB staffAnnual reports on the implementation of OPs,SO SRInternal audits |
| **Basic evaluation questions** | Are the administrative capacities for the ESI Funds in the 2014–2020 programming period sufficient?Are the planned numbers actually fulfilled?What is the fluctuation of administrative capacities?What are the opportunities for the development of administrative capacities?Can the administrative capacities be further streamlined?  |
| **Proposed methods** | SWOT analysis, interview, calculation of indicators and indices |
| **Timetable** | 03/2016 – 05/2016 |
| **Form** | externally  |
| **Responsible for the preparation of the terms of reference** | Foreign Financial Assistance Evaluation Unit in  cooperation with the Foreign Financial Assistance Monitoring Unit and Analytical Unit of the CCA |
| **Responsible for the takeover and acceptance of the Works** | Pursuant to a partial Contract for Works |
| **Evaluation coordinator** | Foreign Financial Assistance Evaluation Unit |
| **Invited to comment** | Members of the Evaluation Supervision Working Group (set up within the CCA),Members of the Working Group for Evaluation |
| **Financial management of the project** | Project Preparation and Implementation Unit, CCA |
| **5.** | **Evaluation of the results of evaluations and of the evaluation activities of the ESI Funds/OP/HP for respective calendar years**  |
| **Subject, objective and justification of the need for evaluation** | The evaluation will serve as an input for the Summary Report on Evaluation Activities and on the Results of the ESIF /OP/HP Evaluation for the respective calendar year. |
| **Required data** | Measurable indicators, outputs and results of evaluation in the calendar year  |
| **Source of data** | ITMS,Summary reports on evaluation activities and on the results of OP/HP evaluations performed by the CCA  |
| **Basic evaluation questions** | Have the planned evaluations been actually performed? If not, what was the reason?Have ad hoc evaluations been performed?Is the quality of evaluations in line with requirements? |
| **Proposed methods** | desk research |
| **Timetable** | 2016 to 2022  |
| **Form** | internally |
| **Responsible for the preparation of the terms of reference** | Foreign Financial Assistance Evaluation Unit |
| **Responsible for the takeover and acceptance of the Works** | Central Coordinating Authority Section |
| **Evaluation coordinator** | Foreign Financial Assistance Evaluation Unit |
| **Invited to comment** | Members of the Working Group for Evaluation |
| **Financial management of the project** | **-** |
| **6.** | **Methodology for the evaluation of synergic effects and interventions of ESIF**  |
| **Subject, objective and justification of the need for evaluation** | Need to develop a methodological manual for the evaluation of complementarities and synergies of interventions from ESIF and other support instruments, and specification of the themes subject to further evaluation.  |
| **Required data** | Programme indicatorsStatistical data Results of three pilot evaluations of SF&CF synergies in the 2007-2013 period (education, R&D, sustainable growth) and of other evaluations performed in the relevant area |
| **Source of data** | CCA,MA for OP,HP coordinatorsEVALSED |
| **Basic evaluation questions** | What are the synergic effects produced by the interventions supported from EU funds? How are the synergic effects contributing towards meeting the national objectives of Europa 2020 and the main objectives of the smart, inclusive and sustainable growth?Which areas of ESIF implementation are key to evaluating the contribution of interventions towards meeting the objectives of the EU2020 Strategy? |
| **Proposed methods** | Survey, interview, questionnaires, quantitative and qualitative methods, desk research |
| **Timetable** | 02/2016 – 09/2016 |
| **Form** | externally |
| **Responsible for the preparation of the terms of reference**  | Foreign Financial Assistance Evaluation Unit |
| **Responsible for the takeover and acceptance of the Works** | Pursuant to a partial Contract for Works |
| **Evaluation coordinator** | Foreign Financial Assistance Evaluation Unit |
| **Invited to comment** | Members of the Evaluation Supervision Working Group (set up within the CCA),Members of the Working Group for Evaluation |
| **Financial management of the project** | Project Preparation and Implementation Unit, CCA |
| **7.** | **Evaluation of the efficiency of the setup of ESIF processes**  |
| **Subject, objective and justification of the need for evaluation** | The purpose of the evaluation is to assess the efficiency of the setup of selected processes within the ESI Funds Management System and propose measures to increase their efficiency. At the moment, the following processes appear to be suitable: 1. Phase of the publication of calls, 2. Preparation of applications by potential beneficiaries, 3. Formal evaluation of applications for grants, 4. Evaluation of the content of grant applications and of the system for project selection, plus other processes. The objective is to provide detailed analysis of selected ESIF processes based on the data from the processes implemented within the 2007–2013 operational programmes and compared against the presently applicable management documentation for the 2014-2020 programming period. Due to the implementation of new projects, the analysis will also include the processes implemented during the 2014-2020 programming period. The main output will be a proposal for measures to be adopted by the managing authorities in order to fine-tune their processes and, where necessary, proposals to do away with inefficient processes.The evaluation is needed in order to simplify the existing ESI Funds  Management System and make it more efficient. |
| **Required data** | Administrative data, qualitative data from a questionnaire survey and from a field qualitative survey, managing documentation  |
| **Source of data** | ITMS< CCA, MA, IB |
| **Basic evaluation questions** | What is the efficiency of the selected processes?How can the efficiency of the selected processes be increased?What are the recommendations and proposals to improve the performance of the ESI Funds Management System?Further questions will be formulated depending on the selection of processes. |
| **Proposed methods** | SWOT analysis, Balanced Scorecard, questionnaire surveys, field qualitative research |
| **Timetable** | 01/2016 – 09/2016 |
| **Form** | externally |
| **Responsible for the preparation of the terms of reference** | DMC |
| **Responsible for the takeover and acceptance of the Works** | DMC |
| **Evaluation coordinator** | DMC |
| **Invited to comment** | Members of the Evaluation Supervision Working Group (set up within the CCA),All OP managing authorities  |
| **Financial management of the project**  | Project Preparation and Implementation Unit, CCA |
| **8.** | **Evaluation of the progress achieved in the implementation of Partnership Agreement I;**  |
| **Subject, objective and justification of the need for evaluation** | The purpose is strategic monitoring of the progress achieved in the economic, social and territorial development of Slovak regions with emphasis on the thematic concentration of ESIF by 31 December 2016. The outputs will serve as a basis for the preparation of the Progress report in the implementation Partnership Agreement.  |
| **Required data** | Programme indicators,Statistical data,Results/outputs from the already implemented evaluations  |
| **Source of data** | PA SR for 2014–2020, legislative, strategic and concept documents of the EU and Slovakia, National Regional Development Strategy, National Reform Programme, ITMS, annual implementation reports of OPs, reports on progress in the implementation of the ESI Funds, SOSR, OECD |
| **Basic evaluation questions** | What was the progress achieved in the PA implementation during the period under consideration?To what extent have the development needs of Slovakia’s regions been met since the approval of the PA?What changes in the development needs of Slovakia and its regions have occurred since the approval of the PA?What progress has been achieved in the economic, social and territorial development of regions in Slovakia?What progress has been achieved in the meeting of thematic objectives?What progress has been achieved in the PA implementation in the areas defined in Article 52 of the Common Provisions Regulation?To what extent have the results expected in the PA actually been achieved? Have the results achieved been adequate to the funds spent? |
| **Proposed methods** | Analysis of time series, desk research, regression analysis |
| **Timetable** | 2016 – 2017 |
| **Form** | externally |
| **Responsible for the preparation of the terms of reference** | Cohesion Policy Department  |
| **Responsible for the takeover and acceptance of the Works** | Cohesion Policy Department |
| **Evaluation coordinator** | Cohesion Policy Department |
| **Invited to comment** | CCA departments,“Partnership for Cohesion Policy” working groupCentral authorities of state administration |
| **Financial management of the project**  | Project Preparation and Implementation Unit, CCA |
| **9.** | **Evaluation of the ESIF contribution towards meeting the Europe 2020 strategy objectives** |
| **Subject, objective and justification of the need for evaluation** | In 2017 and 2019, Slovakia will submit to the Commission the reports which should also contain information of the contribution of ESI Funds towards EU 2020.The objective is to measure the contribution of ESI Funds towards meeting the Europe 2020 objectives. |
| **Required data** | Measurable indicators, Statistical data |
| **Source of data** | ITMS,Annual reports on the implementation of OPs,SO SREurostat,OECD |
| **Basic evaluation questions** | To what extent have the ESI Funds contributed towards meeting the objectives of the Europe 2020 Strategy in line with the national objectives (Fiscal Policy and Public Finances; Education, Science and Innovation; Employment and Social Inclusion; Business Environment; Transparency and Law Enforcement; Health; Environmental Sustainability)? |
| **Proposed methods** | Qualitative analysis, comparison of the Cohesion Policy and EU2020 Strategy |
| **Timetable** | 2017 and 2019 |
| **Form** | internally/externally |
| **Responsible for the preparation of the terms of reference** | Foreign Financial Assistance Evaluation Unit in cooperation with the Horizontal Priorities Department, Analytical Unit of the Government Office, and other central bodies of state administration (CBSA)  |
| **Responsible for the takeover and acceptance of the Works** | Pursuant to a partial Contract for Works or under the Public Procurement Act or the EU directive on public procurement |
| **Evaluation coordinator** | Foreign Financial Assistance Evaluation Unit |
| **Invited to comment** | Members of the Evaluation Supervision Working Group (set up within the CCA),Working Group for the Implementation of HP SD,Members of the Working Group for Synergies,Members of the Working Group for EvaluationCoordination Committee for HP EMaWaND |
| **Financial management of the project** | Project Preparation and Implementation Unit, CCA |
| **10.** | **Evaluation of the impacts of NSRF implementation on meeting the NSFR strategic objective** |
| **Subject, objective and justification of the need for evaluation** | Need for ex post evaluation of the NSRF strategic objective for 2007–2013 “*To significantly increase, by 2013, the competitiveness and performance of Slovak regions, the economy and employment, respecting the principles of sustainable development*”.Need to evaluate the efficiency of implementation of the SF and CF financial instruments. |
| **Required data** | Programme indicators, statistical data,Results/outputs from the already implemented evaluations  |
| **Source of data** | Document “NSRF for 2007–2013”, ITMS,COLSAF,MA for OP,HP coordinatorsAnnual reports on the implementation of OPs/HPs |
| **Basic evaluation questions** | Was the strategic objective of the NSFR properly defined? Have there been any significant changes compared with the baseline conditions prevailing at the time of the NSRF preparation? If so, have these changes had any significant impact on the implementation of the NSRF?Has the NSRF strategic objective been met? If not, for what reasons?Which objectives have not been met?Were the allocated funds used for their intended purpose, effectively and economically?What were the most frequent irregularities and mistakes in the implementation of projects and what where their causes? |
| **Proposed methods** | Time series analysis, regression analysis |
| **Timetable** | 01/2017 – 10/2017 |
| **Form** | externally |
| **Responsible for the preparation of the terms of reference**  | Foreign Financial Assistance Evaluation Unit  |
| **Responsible for the takeover and acceptance of the Works** | Pursuant to a partial Contract for Works or under the Public Procurement Act or the EU directive on public procurement  |
| **Evaluation coordinator** | Foreign Financial Assistance Evaluation Unit |
| **Invited to comment** | Members of the Evaluation Supervision Working Group (set up within the CCA),Members of the Working Group for EvaluationMembers of the Working Group for Monitoring |
| **Financial management of the project**  | Project Preparation and Implementation Unit, CCA |
| **11.** | **Assessment of compliance with the performance framework milestones**  |
| **Subject, objective and justification of the need for evaluation** | Interim evaluation of the meeting of milestones to monitor the performance framework (and propose reallocation of funds in the performance reserve - year 2019). The objective is to continuously monitor the milestones, prepare final evaluation and verify the proposal for the reallocation of funds in the performance reserve. |
| **Required data** | Performance indicators under the performance framework |
| **Source of data** | ITMS,ESI Funds Management System,MA for OP,MI CCA,Risk analysis “Traffic Lights”,Independent monitoring entity |
| **Basic evaluation questions** | Have the performance framework milestones been achieved?Is there a possibility and are there reasons for the reallocation of the performance reserve? |
| **Proposed methods** | Time series analysis, regression analysis, calculation of indicators and indices |
| **Timetable** | 03/2017 – 06/201703/2018 – 05/201803/2019 – 06/2019 |
| **Form** | internally/externally |
| **Responsible for the preparation of the terms of reference** | Department for the Monitoring and Evaluation of Foreign Financial Assistance |
| **Responsible for the takeover and acceptance of the Works** | Central Coordinating Authority Section |
| **Evaluation coordinator** | Foreign Financial Assistance Evaluation Unit |
| **Invited to comment** | Members of the Evaluation Supervision Working Group (set up within the CCA),Members of the Working Group for EvaluationMembers of the Working Group for Monitoring |
| **Financial management of the project** | Project Preparation and Implementation Unit, CCA |
| **12.** | **Interim evaluation of progress in the implementation of HP at OP level** |
| **Subject, objective and justification of the need for evaluation** | Interim evaluation of progress in the implementation of HP at OP level. The purpose is to evaluate the meeting of the HP EMaWaND objectives in the 2014–2020 programming period.  |
| **Required data** | Measurable indicators of HP,Published calls,Examples of good practice,Evaluation process of calls,Information on OP’s contribution to HP,Checklists to published calls |
| **Source of data** | Annual reports on the implementation of OPs/HPs,ITMS,MA for OP,HP coordinators |
| **Basic evaluation questions** | What progress has been achieved based on the values of measurable HP indicators and meeting of targets (results achieved and progress analysis)?How efficient are the coordination mechanisms in HP implementation?To what extent the calls published under OP contribute towards meeting HP objectives? What are the problem areas and proposed solutions?How relevant are the monitored HP objectives in the OP and is there a need for their redefinition and reprioritisation at the level of the PA and OP? |
| **Proposed methods** | Analysis of administrative data, case studies, interview, benchmarking |
| **Timetable** | 02/2017 – 04/2017, 02/2018 – 04/2018, 02/2020 – 04/2020, 02/2021 – 04/2021, 02/2022 – 04/2022 |
| **Form** | externally  |
| **Responsible for the preparation of the terms of reference** | Foreign Financial Assistance Evaluation Unit in cooperation with representatives of Horizontal Principle “Equality of Men and Women and Non-discrimination” and Horizontal Principle “Sustainable Growth” |
| **Responsible for the takeover and acceptance of the Works** | Pursuant to a partial Contract for Works or under the Public Procurement Act or the EU directive on public procurement |
| **Evaluation coordinator** | Foreign Financial Assistance Evaluation Unit |
| **Invited to comment** | Members of the Evaluation Supervision Working Group (set up within the CCA),Members of the Working Group for EvaluationCoordination Committee for HP EMaWaND |
| **Financial management of the project** | Project Preparation and Implementation Unit, CCA |
| **13.** | **Evaluation of the progress achieved in the implementation of Partnership Agreement II;** |
| **Subject, objective and justification of the need for evaluation** | Strategic monitoring of the progress achieved in the economic, social and territorial development of Slovak regions with emphasis on the thematic concentration of ESIF by 31 December 2018. The outputs will serve as a basis for the preparation of the progress report in the implementation Partnership Agreement.  |
| **Required data** | Information from OP annual implementation reports,Statistical data,Results/outputs from the already implemented evaluations  |
| **Source of data** | PA SR for 2014–2020, legislative, strategic and concept documents of the EU and Slovakia, National Regional Development Strategy, ITMS, annual implementation reports of OPs, reports on progress in the implementation of the ESI Funds, SO SR, OECD |
| **Basic evaluation questions** | What was the progress achieved in the PA implementation during the period under consideration?To what extent have the development needs of Slovakia’s regions been met since the approval of the PA?What changes in the development needs of Slovakia and its regions have occurred since the approval of the PA?What progress has been achieved in the economic, social and territorial development of regions in Slovakia?What progress has been achieved in the meeting of thematic objectives?What progress has been achieved in the PA implementation in the areas defined in Article 52 of the Common Provisions Regulation?To what extent have the results expected in the PA actually been achieved?Have the results achieved been adequate to the funds spent? |
| **Proposed methods** |  Analysis of time series, desk research, regression analysis |
| **Timetable** | 2018 – 2019 |
| **Form** | externally |
| **Responsible for the preparation of the terms of reference** | Cohesion Policy Department  |
| **Responsible for the takeover and acceptance of the Works** | Cohesion Policy Department |
| **Evaluation coordinator** | Cohesion Policy Department |
| **Invited to comment** | CCA departments,“Partnership for Cohesion Policy” working groupCentral authorities of state administration |
| **Financial management of the project** | Project Preparation and Implementation Unit, CCA |
| **14.** | **Evaluation of the Integrated Framework of Information and Advisory Centres** |
| **Subject, objective and justification of the need for evaluation** | The Government Office will support, in line with the PA, the Integrated Network of Information and Advisory Centres (IN IAC) which will provide information on ESI Funds. Evaluation will be carried out 2.5 years into the IN IAC functioning. The results of the evaluation will serve as a basis for the decision on whether or not the IN IAC will be supported further and, if so, the evaluation will identify options for streamlining the IN IAC operation. |
| **Required data** | Results of evaluations in this area, evaluation of success  |
| **Source of data** | ITMS, Semi-annual evaluation by the MA of the activities of individual IACs, Semi-annual evaluation of activities of the IN IAC coordinator, CCA, MA, IB staff public, Database of the persons/entities requesting information on ESI Funds, Report on the activities of the Information and Advisory Centre |
| **Basic evaluation questions** | Is the provision of information by one centre in each region efficient?Would it be appropriate to set up an IAC also in the Bratislava Region?Are the entities involved in the management and control of the ESI Funds satisfied with the functioning of the IN IAC?Are the persons/entities seeking information on the ESI Funds satisfied with the activities of individual IACs? |
| **Proposed methods** | Desk research (analysis of reports), survey, interview, benchmarking |
| **Timetable** | 07/2018 – 08/2018 |
| **Form** | externally |
| **Responsible for the preparation of the terms of reference** | DMC |
| **Responsible for the takeover and acceptance of the Works** | DMC |
| **Evaluation coordinator** | DMC |
| **Invited to comment** | * Members of the Evaluation Supervision Working Group
* All MA for OP

- Information and Publicity Department |
| **Financial management of the project**  | Project Preparation and Implementation Unit, CCA |
| **15.**  | **Evaluation of the meeting of objectives/action plans of the Strategic Document SD 2015+** |
| **Subject, objective and justification of the need for evaluation** | According to PA SR 2014–2020, the Strategic Document SD 2015+ is mandatory for the implementation of the horizontal principle “Sustainable Development”. The coordinator of the HP “Sustainable Development” is to evaluate its implementation and submit reports to the government. It will therefore be appropriate to perform at least one external evaluation during the period of implementation.The objective is to assess compliance with the strategic document SD 2015+. |
| **Required data** | Measurable indicators,Statistical data |
| **Source of data** | ITMS,Annual reports on the implementation of OPs,MA for OP,SO SREurostat,OECD |
| **Basic evaluation questions** | To what extent does the set of applied policies of the Slovak Republic in the economic, social and environmental fields contribute towards meeting the main priorities which represent the vision of the Slovak Republic in the area of sustainable development by the year 2030 pursuant to the Strategic Document SD 2015?  |
| **Proposed methods** | Qualitative analysis of the effects and policies contributing towards SD 2015+, calculation of indicators and indices |
| **Timetable** | 2019 and 2022 |
| **Form** | externally – combined |
| **Responsible for the preparation of the terms of reference** | Foreign Financial Assistance Evaluation Unit in cooperation with the Horizontal Priorities Department, Analytical Unit of the Government Office, and other central bodies of state administration (CBSA)  |
| **Responsible for the takeover and acceptance of the Works** | Pursuant to a partial Contract for Works or under the Public Procurement Act or the EU directive on public procurement |
| **Evaluation coordinator** | Horizontal Priorities Department |
| **Invited to comment** | Members of the Evaluation Supervision Working Group (set up within the CCA),Working group for the implementation of HP SD,Members of the Working Group for Synergies, Members of the Working Group for Evaluation |
| **Financial management of the project** | Project Preparation and Implementation Unit, CCA |
| **16.** | **Interim impact evaluation of the meeting of HP objectives according to OP priorities at the level of Partnership Agreement.** |
| **Subject, objective and justification of the need for evaluation** | Interim impact evaluation of the meeting of HP objectives according to OP priorities at the level of Partnership Agreement. The objective is to obtain information on the meeting of HP objectives and formulate recommendations should problems occur. Required under EU Regulation. |
| **Required data** | Measurable indicators of HP,Published calls,Monitoring reports,Questionnaires, primary data,Examples of good practice,Evaluation process of calls,Information on OP’s contribution to HP,Documentation underlying the published calls,Statistical data, Strategic documents |
| **Source of data** | ITMS,Annual reports on the implementation of OPs/HPs,Coordinators of HP/MA for OP,SO SREurostat |
| **Basic evaluation questions** | What are the results at the level of OPs and projects in relation to HP objectives?What is the quality of projects in view of the implementation of HP within them? What are the socio-economic trends in the area of HP objectives and what potential impact do the ESI Funds have on them?What are the recommendations for changes in the HP Implementation System? |
| **Proposed methods** | Analysis of administrative data, analysis of context indicators, survey, interview, case studies |
| **Timetable** | 2019  |
| **Form** | externally |
| **Responsible for the preparation of the terms of reference** | Foreign Financial Assistance Evaluation Unit in cooperation with representatives of Horizontal Principle “Equality of Men and Women and Non-discrimination” and Horizontal Principle “Sustainable Growth” |
| **Responsible for the takeover and acceptance of the Works** | Pursuant to a partial Contract for Works or under the Public Procurement Act or the EU directive on public procurement |
| **Evaluation coordinator** | Foreign Financial Assistance Evaluation Unit |
| **Invited to comment** | Members of the Evaluation Supervision Working Group (set up within the CCA),Members of the Working Group for Evaluation,Coordination Committee for HP EMaWaND |
| **Financial management of the project**  | Project Preparation and Implementation Unit, CCA |
| **17.** | **Evaluation of the meeting milestones and indicators of the performance framework**  |
| **Subject, objective and justification of the need for evaluation** | Interim evaluation of the meeting of objectives to monitor the performance framework.The objective is to achieve 100-% compliance with the performance framework indicators.  |
| **Required data** | Performance indicators under the performance framework |
| **Source of data** | ITMS,ESI Funds Management System,MA for OP,MI CCA,Risk analysis “Traffic Lights”,Independent monitoring entity |
| **Basic evaluation questions** | Have the intentions concerning the monitoring of the performance framework been met?  |
| **Proposed methods** | Time series analysis, regression analysis, indices |
| **Timetable** | 03/2020 – 05/202003/2021 – 05/202103/2022 – 05/2022 |
| **Form** | internally |
| **Responsible for the preparation of the terms of reference** | Department for the Monitoring and Evaluation of Foreign Financial Assistance  |
| **Responsible for the takeover and acceptance of the Works** | Central Coordinating Authority Section |
| **Evaluation coordinator** | Foreign Financial Assistance Evaluation Unit |
| **Invited to comment** | Members of the Evaluation Supervision Working Group (set up within the CCA),Members of the Working Group for EvaluationMembers of the Working Group for Monitoring |
| **Financial management of the project** | - |
| **18.** | **ESIF contribution towards the creation of jobs with emphasis on sustainable, inclusive and smart growth**  |
| **Subject, objective and justification of the need for evaluation** | Evaluation of the impact of ESIF interventions on the labour market, opportunities for job creation, and their impact on sustainable, inclusive and smart growth of the economy.   |
| **Required data** | Measurable indicators, primary data,Statistical data |
| **Source of data** | ITMS,SO SRCOLSAF,OP and their annual reports,EU and Slovak legislation |
| **Basic evaluation questions** | * Did the modular-education programmes and activities focus on the development of soft skills and support of professional competencies and their development?
* Have the set objectives been achieved mainly thanks to the better focused public services of employment of higher quality?
* What role did the social partners play and how active were they?
* Did the support of projects focus on the strengthening of professional and analytical skills?
* Did the support of projects focus on the building of infrastructure and communication platform at both national and international level in addressing the issues of employment development and in removing regional disparities?
* Which sectors of the national economy have a long-term potential for the creation of jobs?
 |
| **Proposed methods** | Statistical analyses (regression analysis), surveys, case studies |
| **Timetable** | 2020  |
| **Form** | externally |
| **Responsible for the preparation of the terms of reference** | Foreign Financial Assistance Evaluation Unit  |
| **Responsible for the takeover and acceptance of the Works** | Pursuant to a partial Contract for Works or under the Public Procurement Act or the EU directive on public procurement |
| **Evaluation coordinator** | Foreign Financial Assistance Evaluation Unit |
| **Invited to comment** | Members of the Evaluation Supervision Working Group (set up within the CCA),Members of the Working Group for Evaluation |
| **Financial management of the project**  | Project Preparation and Implementation Unit, CCA |
| **19.** | **Evaluation of the findings from the ESIF evaluations carried out in the 2014-2020 programming period**  |
| **Subject, objective and justification of the need for evaluation** | The evaluation will serve as a basis for the preparation of the Summary Report on the Evaluation of ESIF Implementation in the 2014–2020 programming period. |
| **Required data** | Data from the already performed evaluations,Information on the way in which recommendations from evaluations have been taken on board |
| **Source of data** | Summary reports on evaluation activities and on the results of ESIF/OP/HP evaluations, MA for OP,HP coordinators |
| **Basic evaluation questions** | Is there a relationship between the quality of evaluation reports and the application of the results of evaluation?What are the key lessons learned in relation to the system of evaluation? |
| **Proposed methods** | Survey, case studies, meta-analysis |
| **Timetable** | 09/2022 – 12/2022 |
| **Form** | internally/externally |
| **Responsible for the preparation of the terms of reference** | Foreign Financial Assistance Evaluation Unit |
| **Responsible for the takeover and acceptance of the Works** | Central Coordinating Authority Section |
| **Evaluation coordinator** | Foreign Financial Assistance Evaluation Unit |
| **Invited to comment** | Members of the Working Group for EvaluationCCA |
| **Financial management of the project** | Project Preparation and Implementation Unit, CCA |
| **20.** | **Evaluation of the impacts of ESIF implementation** |
| **Subject, objective and justification of the need for evaluation** | Evaluation of synergic effects and of the impacts of ESI Funds on meeting the Europe 2020 Strategy objectives. Cross-sectoral evaluation based in the evaluation of the results of the programmes and operations funded from ESIF since 2014. The evaluation will also cover the effectiveness, efficiency and cost savings during the 2014–2020 programming period. |
| **Required data** | Programme indicators,Definition of complementarities and synergies for calls, and relevant indicators,Legislation,Statistical data, Results from implemented evaluations/impact assessments  |
| **Source of data** | ITMS,Monitoring reports of OPs, SO SRMA for OP, CCA and HP coordinators |
| **Basic evaluation questions** | What were the synergic effects produced by the interventions supported from EU funds?To what extent have the identified synergic effects contributed towards the meeting of the national objectives of the Europe 2020 Strategy? |
| **Proposed methods** | Survey, interview, questionnaires, quantitative and qualitative methods, impact assessments |
| **Timetable** | 2022 (ending in 2023) |
| **Form** | externally |
| **Responsible for the preparation of the terms of reference** | Foreign Financial Assistance Evaluation Unit |
| **Responsible for the takeover and acceptance of the Works** | Pursuant to a partial Contract for Works or under the Public Procurement Act or the EU directive on public procurement |
| **Evaluation coordinator** | Foreign Financial Assistance Evaluation Unit |
| **Invited to comment** | Members of the Evaluation Supervision Working Group (set up within the CCA),Members of the Working Group for EvaluationMembers of the Working Group for Monitoring |
| **Financial management of the project** | Project Preparation and Implementation Unit, CCA |
| **21.**  | **Final evaluation of progress in the implementation of HP at OP level**  |
| **Subject, objective and justification of the need for evaluation** | Final evaluation of the meeting of the HP EMaWaND objectives in the 2014–2020 programming period. |
| **Required data** | Measurable indicators of HP,Published calls,Examples of good practice,Evaluation process of calls,Information on OP’s contribution to HP,Checklists to published calls |
| **Source of data** | Annual reports on the implementation of OPs,ITMS,MA for OP,HP coordinators |
| **Basic evaluation questions** | What progress has been achieved based on the values of measurable HP indicators and meeting of targets (results achieved and progress analysis)?How efficient are the coordination mechanisms in HP implementation?To what extent the calls published under OP contribute towards meeting HP objectives? What are the problem areas and proposed solutions?How relevant are the monitored HP objectives in the OP and is there a need for their redefinition and reprioritisation at the level of the PA and OP? |
| **Proposed methods** | Analysis of administrative data, case studies, interview,  |
| **Timetable** | 02/2023 – 04/2023 |
| **Form** | externally  |
| **Responsible for the preparation of the terms of reference** | Foreign Financial Assistance Evaluation Unit in cooperation with representatives of Horizontal Principle “Equality of Men and Women and Non-discrimination” and Horizontal Principle “Sustainable Growth” |
| **Responsible for the takeover and acceptance of the Works** | Pursuant to a partial Contract for Works or under the Public Procurement Act or the EU directive on public procurement |
| **Evaluation coordinator** | Foreign Financial Assistance Evaluation Unit |
| **Invited to comment** | Members of the Evaluation Supervision Working Group (set up within the CCA),Members of the Working Group for EvaluationCoordination Committee for HP EMaWaND |
| **Financial management of the project**  | Project Preparation and Implementation Unit, CCA |

8 List of acronyms used

**CCA** Central Coordinating Authority

**ERDF** European Regional Development Fund

**Commission** European Commission

**EC** European Communities

**ESF** European Social Fund

**ESIF, ESI Funds** European Structural and Investment Funds

**EU** European Union

**HP** Horizontal principle

**HP EO** Horizontal priority ‘Equality of Opportunities’

**HP EMaWaND** Horizontal principle ‘Equality of Men and Women and Non-discrimination’

**HP SD** Horizontal principle ‘Sustainable Growth’

**ITMS** Information Technological Monitoring System

**CF** Cohesion Fund

**MI** Methodological Instruction

**MC** Monitoring Committee

**NMC** National Monitoring Committee

**NSRF** National Strategic Reference Framework

**OECD** Organisation for Economic Co-operation and Development

**FFAEU** Foreign Financial Assistance Evaluation Unit

**DMEFFA** Department for the Monitoring and Evaluation of Foreign Financial Assistance

**DMC** Department of Methodology and Coordination

**OP** Operational programme

**OPP** Horizontal Priorities Department

**IPD** Information and Publicity Department

**OP TA** Operational Programme ‘Technical Assistance’

**PA** Partnership Agreement

**PAx** Priority axis

**MA** Managing authority

**IB** Intermediate body

**SR** Slovak Republic

**SF** Structural Funds

**SO SR** Statistical Office of the Slovak Republic

**SD** Sustainable development

**COLSAF** Central Office of Labour, Social Affairs and Family.

**Government Office** Government Office of the Slovak Republic

**AR** Annual report

9 Bibliography

1. The Programming Period 2014-2020, Monitoring and Evaluation of European Cohesion Policy, Guidance Document on Evaluation Plans (2014), EC
2. The Programming Period 2014-2020, Guidance Document on Monitoring and Evaluation, Concepts and Recommendations (2014), EC
3. The Programming Period 2014-2020, Monitoring and Evaluation of European Cohesion Policy, Guidance Document on Ex ante evaluation (2012), EC
4. Regulation (EU) No 1303/2013 of the European Parliament and of the Council of 17 December 2013 laying down common provisions on the European Regional Development Fund, the European Social Fund, the Cohesion Fund, the European Agricultural Fund for Rural Development and the European Maritime and Fisheries Fund and laying down general provisions on the European Regional Development Fund, the European Social Fund, the Cohesion Fund and the European Maritime and Fisheries Fund and repealing Council Regulation (EC) No 1083/2006
5. Management System of the European Structural and Investment Funds for the 2014–2020 Programming Period
6. CCA Methodological Instruction for the 2014-2020 programming period No. 20 on the Preparation of the Operational Programmes’ Evaluation Plan for the 2014–2020 Programming Period.
1. <http://ec.europa.eu/regional_policy/sources/docoffic/2014/working/wd_2014_en.pdf> [↑](#footnote-ref-2)
2. http://ec.europa.eu/regional\_policy/sources/docoffic/2014/working/wd\_2014\_en.pdf [↑](#footnote-ref-3)
3. <http://ec.europa.eu/regional_policy/sources/docoffic/2014/working/evaluation_plan_guidance_en.pdf> [↑](#footnote-ref-4)
4. <http://ec.europa.eu/regional_policy/sources/docgener/evaluation/guide/guide_evalsed.pdf> [↑](#footnote-ref-5)
5. <https://enrd.ec.europa.eu/sites/enrd/files/uploaded-files/twg-05-ep-june2015_0.pdf> [↑](#footnote-ref-6)