Office of the Government of the Slovak Republic
Managing Authority for the Operational Programme Informatization of Society

Evaluation Plan for the Operational Programme Informatization of Society
for 2007 – 2013
Version 2.0

Bratislava, 14 November 2008
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Introduction


The evaluation plan is a qualitative management tool and the means for increasing the effectiveness and efficiency of financial management as the principles of sound financial management pursuant to Article 27(1) of Council Regulation (EC, EURATOM) No. 1605/2002 on the Financial Regulation applicable to the general budget of the European Communities.

The purpose of evaluations is to improve the quality, efficiency and effectiveness of management and financial management of the OPIS, its preparatory and implementation processes and to ensure the achievement of the objectives defined in the operational programme, i.e. the global objective and the specific objectives.

As part of the evaluation, implementation processes are analysed and the appropriateness of the setup of the management and control system is reviewed. With the evaluation, the Managing Authority verifies the functioning of the part of management and financial management for which it is responsible.

From the viewpoint of time, evaluation may be carried out as ex ante (preliminary) evaluation, on-going (continuous) evaluation or ex post (follow-up) evaluation.

The ex ante evaluation of OPIS was carried in the programming stage from 16 November 2006 to 5 January 2007 by an external evaluator prior to its approval by the European Commission (hereinafter referred to as “EC”).

The ex post evaluation of OPIS will be carried out after the end of the programming period 2007 – 2013. For this reason, this evaluation plan only covers the ongoing evaluation of OPIS during the programming period 2007 – 2013.

In terms of the subject of evaluation, evaluations may be of strategic or operational nature.

The purpose of strategic evaluations is to evaluate the operational programme in relation to the priorities of the Community and national priorities.
The purpose of operational evaluations is to examine the state of implementation of the operational programme or certain area of the implementation of the programme at a particular stage with a view to achieving smooth implementation of the operational programme and its compliance with the objectives formulated in the OPIS.

Methodological regulations for the planning and performance of evaluations and implementation of the results of evaluations are the guidelines issued by the European Commission (EC), DG Regional Policy, namely the "Indicative Guidelines on Evaluation Methods and Evaluation during the Programming Period, Working Document No 5" of April 2007 and the Indicative Guidelines on Evaluation Methods, Monitoring and Evaluation Indicators, Working Document No. 2 of August 2006".
1. Evaluation plan for the Operational Programme Informatization of Society

The evaluation plan covers on-going evaluation carried out during the implementation of OPIS in the programming period 2007 – 2013.

The Evaluation Plan for OPIS is approved by the Monitoring Committee for the Knowledge-based Economy (hereinafter referred to as “MC KbE”) after its prior submission to the Central Coordination Authority (hereinafter referred to as “CCA”).


At the same time, the Evaluation Plan for OPIS has been prepared in compliance with the obligation of the MA for OPIS defined in the Management System of the Structural Funds and the Cohesion Fund for the Programming Period 2007-2013 issued under the supervision of the CCA according to which the MA is obliged to prepare an evaluation plan within 12 months after its approval by the European Commission, to submit it to the CCA and subsequently for approval to the MC KbE.

OPIS was approved by the EC on 17 September 2007 with the total financial allocation of EUR 1,168,347,536, of which co-financing from the ERDF represents EUR 993,095,405 and from the national budget of the SR EUR 175,252,131.

The objective of the Evaluation Plan for OPIS for the programming period 2007 – 2013 (hereinafter referred to as “Evaluation Plan for OPIS”) is to define the contents and the time, organisational and financial framework for on-going evaluations of this operational programme. The Evaluation plan for OPIS represents a flexible framework, which can be updated and which allows the themes of evaluation to be chosen with respect to operational issues.
2. Coordination of evaluation and planning process

2.1 Responsibility of the MA OPIS for on-going evaluation

The Evaluation of OPIS is the responsibility of the MA OPIS the tasks of which are discharged by the Office of the Government of the SR (hereinafter referred to as “OG SR”), Foreign Financial Aid Management and Implementation Section, Regional Policy and Foreign Financial Aid Monitoring Department.

This responsibility of the MA OPIS results from the principle of subsidiarity and proportionality, as defined in Article 13 of Council Regulation (EC) No 1083/2006, according to which the member state is responsible for the monitoring of its operational programme, performance of on-going evaluations and taking of corrective measures in case any shortcomings which need to be addressed are identified.

The MA OPIS is responsible for the coordination of on-going evaluations of OPIS.

The MA OPIS is responsible for the fulfilment of the following tasks:

- decisions, after consultation with the Central Committee for Evaluation established under the CCA, on the structure and content of the evaluation plan and providing for the administrative conditions necessary for the performance of evaluations;
- ensuring the completeness and availability of monitoring data relating to physical and financial indicators;
- decisions on the performance of evaluation and providing the financial resources needed for such evaluation;
- guaranteeing compliance with the objectives of evaluation and evaluation quality standards (Annex No. 4);
- submitting the results of evaluation to the MC KbE and to the EC;
- taking a decision whether the evaluation of OPIS or part thereof will be carried out as an internal evaluation, i.e. using own evaluation capacities, or as an external evaluation, i.e. by another legal or natural person;
- The MA OPIS shall submit the Evaluation Plan for OPIS for the relevant calendar year no later than by the end of January of a calendar year and notify any potential changes to the evaluation plan for the relevant calendar year, if any, to the CCA;
- The MA OPIS shall submit the annual report on the results of OPIS evaluations for the past calendar year to the CCA, no later than by the end of March of the calendar year.
2.2 Role of the CCA in the evaluation and relationship between the CCA and the MA

The CCA ensures and coordinates the processes of evaluation of the National Strategic Reference Framework (NSRF) and coordinates the processes of evaluation of Operational Programmes.

The CCA fulfils, as part of the above authorisations, the following tasks in the field of evaluation of an OP:

- it provides methodological guidelines to the MA in the field of evaluation;
- it coordinates the preparation of evaluation plans of all operational programmes, as far as their contents, timing and financial and organisational aspects are concerned;
- it draws up a standpoint on the evaluation plan of individual operational programmes for the programming period 2007-2013;
- it gathers annual evaluation plans of all of the operational programmes for the relevant calendar year;
- it gathers annual reports on the results of evaluations of all of the operational programmes for the past calendar year.

2.3 Role of the Central Committee for Evaluation of the NSRF and its relationship to the MA OPIS

The Central Committee for Evaluation of the NSRF (hereinafter referred to as "CCE") is the advisory body of the CCA. Members of the CCE are the representatives of managing authorities of all operational programmes who manage the work of the working group for the evaluation of the relevant operational programme.

The CCE fulfils the following tasks in connection with the OPIS:

- it is involved in the solution of conceptual issues in the field of evaluation, including the planning of evaluations;
- it submits to the MA OPIS its standpoint on the topic of on-going evaluations proposed in response to risk areas of the management and implementation of OPIS identified in the Annual Report on OPIS;
- it discusses problematic areas of evaluation of OPIS and formulates proposals for their solution and submits proposals for the improvement of the system of evaluation of the NSRF and the OP to the CCA,
it is involved in the solution of disputable conceptual issues related to monitoring.

2.4 Authority of the EC to perform evaluations of OPIS and to issue guidelines related to the evaluation of the OP

According to Article 49 of Council Regulation (EC) No 1083/2006, the EC is authorized to carry out strategic evaluations and evaluations linked with the monitoring of operational programmes, where the monitoring of programmes reveals a significant diversion from the original objectives.

The EC may carry out evaluations of OPIS from its own initiative and in partnership with the MA OPIS. The results of evaluation shall be submitted to the MC KbE.

The EC issues guidelines for the area of evaluation, including types of evaluation pursuant to the periodicity of performance, methods and techniques of evaluation, standards of evaluation and others. In connection with this methodological activity, the EC also supports building of administrative capacities in the area of monitoring and evaluation and exchange of experience between member states in the above areas.

2.5 Relationship between evaluation and monitoring

The tasks of the MA OPIS in the area of monitoring are performed by managers of the Regional Policy and Foreign Financial Aid Monitoring Department, Foreign Financial Aid Management and Implementation Section of the OG SR.

Monitoring and evaluation are closely linked and interconnected activities, i.e. evaluation uses data gathered in the process of monitoring. At the same time, the results of evaluation may result in the introduction of new indicators, update or specification of the already existing indicators.

Regular monitoring provides information relating to the entire process or information of operational nature. Monitoring allows performance of evaluation and its results may indicate potential or actual problems.

Monitoring means comparing the results achieved against expectations. As part of monitoring, a system of indicators has been introduced, monitoring the output and result indicators. The list of the core output, result and impact indicators classified by priority axes is included in Annex No. 1.
Indicators may be of strategic nature – context, programme and project indicators; indicators at the programme level may be core, output, result and impact indicators. Indicators at project level are classified as output, result and impact indicators, measured in physical or monetary units.

The evaluation includes an examination of the information obtained from monitoring and other sources (for example statistical data) with a view to establishing and explaining the effects of financial assistance from the EU. The evaluation uses data from the IT monitoring system, including output and result indicators.

Impact indicators, which can be specific or global impact indicators, are also important for evaluation. Impact indicators are evaluation indicators. Specific impacts are effects which occur after a certain lapse of time and which are directly linked to the action taken and the direct aid beneficiaries. Global impacts are longer-term effects affecting the wider population.

When performing strategic evaluations, certain strategic aspects are assessed, such as the socio-economic impact on the Community or its changes and on national or regional priorities affecting the operational programme. Such information may only be obtained through the regular monitoring of objectives by means of evaluation and cannot be deduced from the IT monitoring system alone. In such a case, data obtained from monitoring is considered to be the source of initial or additional information which is further processed and then used in analyses and the preparation of evaluation reports.

The following sources may be used as the basis for evaluation:

- individual data from the ITMS, including the system of indicators (result and output indicators);
- regular monitoring reports of beneficiaries and the IBMA whose results are accumulated during the year;
- annual reports on the implementation of OPIS;
- statistical macroeconomic data (for strategic evaluations) and statistical data related to specific areas.

2.6 Main principles for the performance of on-going evaluations

Upon the arrangement of on-going evaluations, the MA OPIS and persons carrying out the evaluations shall observe the following main principles:
**Proportionality** – principle laid down in Article 13(1)(b) of Council Regulation (EC) No 1083/2006; this principle is to be taken into account in the evaluation plan in relation to the number and scope of the proposed evaluations during the implementation of the programme. Evaluations shall be proportional to the scope and resources of the operational programme and shall take into account the risks related to the implementation of the programme.

**Independence** – principle laid down in Article 47(3) of Council Regulation (EC) No 1083/2006; according to this principle, evaluations may only be carried out by experts (external legal persons or natural persons) or internal or external departments of the MA OPIS, functionally independent from the authorities referred to in Article 59(b) and (c) of the quoted Regulation; i.e. certifying and audit authorities. This principle is to be applied with a view to preserving the impartiality and credibility of the results of evaluation.

**Partnership** – is essential for planning, preparation of the evaluation programme and the implementation of evaluations; it is based on consultation and cooperation of competent persons concerned and creates the basis for the exchange of information and experience, openness and transparency during the entire process of evaluation.

**Transparency** – in line with the transparency principle, evaluation reports are published; these reports are intended to stimulate public debate on the evaluation findings. Reports on the evaluation results are published on the website of OPIS.

### 2.7 Performance of OPIS evaluations

The MA OPIS carries out the on-going evaluation according to the **Evaluation plan for OPIS** and in cases referred to in Article 48(3) of Council Regulation (EC) No 1083/2006.

The evaluation is carried out in accordance with EC legislation, methodological regulations issued by the EC and the methodology prepared by the CCA.

As far as periodicity is concerned, evaluations will be carried out as follows:

- evaluations of a strategic nature,
- evaluations of an operational nature (classified as regular, thematic and ad hoc evaluations).

### 2.7.1 Strategic evaluation of OPIS

Strategic evaluation of OPIS examines the development of OPIS in relation to the Community and national priorities. Based on the implementation of OPIS, the MA OPIS shall at
its discretion and in response to the need from society, determine when strategic evaluation is to
be carried out, while this shall not be before 2011 and before the approval of the Annual
Monitoring Report for OPIS for 2010 by the MC KbE. Strategic evaluation may also be carried
out at the EC initiative according to Article 49 of Council Regulation (EC) No 1083/2006.

In the Indicative Plan of OPIS Evaluations for the Programming Period 2007-2013
(Annex No. 6), strategic evaluation for 2011 is planned as the “Evaluation of the relevancy
of OPIS objectives in terms of their performance” the purpose of which is the evaluation of the
success rate of performance of OPIS objectives and the subsequent revision of such objectives.

2.7.2 Operational Evaluations of OPIS

Operational evaluations will be carried out as:

a) Regular evaluation of the entire OPIS

Regular evaluation of the entire OPIS will be carried out every 2 years, commencing in 2009.
The next evaluations of the entire OPIS will be carried out in 2011 and 2013.

b) Thematic evaluation of a part/area of OPIS

Thematic evaluation of a part/area of OPIS will be focused on selected areas of OPIS, where a
deviation from the required state was identified in the annual report approved by the MC KbE.
The topic of evaluation shall be proposed by the Working Group for Evaluation of OPIS; the
proposal shall be reviewed by the Central Committee for Evaluation, a member of which is also
the representative of the MA OPIS, and approved by the Monitoring Committee for OPIS. In
those years of the programming period for which regular evaluation of OPIS is planned, the
resulting evaluation documents shall identify that part of the evaluated area which was identified
as risky in the annual report for the previous calendar year.

In the Indicative Plan of OPIS Evaluations for the Programming Period 2007-2013 (Annex No.
6), thematic evaluation for the period of 2009 - 2010 is planned as the evaluation of the priority
axis “Efficient electronization of the public administration sector and the development of e-
services”, evaluation of the priority axis “Development of repository institutions and the renewal
of their national infrastructure”, evaluation of the priority axis “Improvement of broadband
Internet access” while the purpose of such evaluations is to evaluate the success rate of the
implementation of priority axes and measures. Another thematic evaluation is planned as the
“Evaluation of the setup of the system of quantifiable indicators for OPIS” the purpose of which
is to discover, respectively to verify, the correctness of the setup of the entire system of
indicators. Thematic evaluation is also planned for 2009 as the “Evaluation of the function of the
OPIS management and financial management by the MA and IBMA” the purpose of which is to evaluate the efficiency of the operation of MA and IBMA administrative capacities and the subsequent potential improvement of cooperation between the MA and IBMA.

c) Mandatory ad hoc evaluation

Ad hoc evaluation will be carried out in the cases referred to in Article 48(3) of Council Regulation (EC) No. 1083/2006 according to which Member States are obliged to carry out evaluations of each operational programme during the programming period in particular where monitoring reveals a significant deviation from the original goals or where proposals are made for the revision of the operational programme as referred to as in Article 33 of the quoted regulation. Results of such evaluation shall be sent to the MC KbE and to the EC.

i. Performance of the OPIS evaluation due to deviation from the goals set for OPIS identified by the monitoring system

Deviation from the goals of the programme will be documented by qualitative analyses evaluating the process, fulfilment of the main goals and other facts which may significantly affect the implementation of the programme. The principle of qualitative evaluation must also be applied in cases where quantification is not possible.

Based on these analyses and under the assumption of the occurrence of a significant (existing or potential) deviation from the original goals a decision shall be taken. In response to such departure, the problems identified and their causes need to be analysed and recommendations for corrective measures proposed. Analyses and data obtained from the monitoring system shall be taken into account in the annual report on the implementation of the operational programme prepared after the end of each calendar year in accordance with Article 67 of Council Regulation (EC) No. 1083/2006 and Annex XVIII of Commission Regulation (EC) No 1828/2006..

ii. Performance of evaluation of OPIS in response to the proposed revision of OPIS

Article 33 of Council Regulation (EC) No. 1083/2006 establishes the revision of operational programmes while one of the motives for such revision of the operational programme is evaluation according to Article 48 (3) of the quoted regulation.

Revision of OPIS may be carried out for the reason of significant socio-economic changes affecting the operational programmes, major changes to the European Community, national and regional priorities, as well as for the reason of difficulties in the implementation of OPIS.
A proposal for the revision of OPIS may be prepared in response to the results of monitoring. The EC recommends the submission of evaluation evidence only if proposals for the revision of operational programmes relate to major changes, which can be:

- financial (e.g. the transfer of resources between various priority axes, financial transfers requiring the consent of EC),
- content-related (e.g. the revision of objectives at the level of operational programme or priority axis),
- change-related, adjustments of quantifiable/monitoring indicators,
- implementation-related (e.g. the establishment of new implementation processes or the major re-structuring of existing processes).

For small or technical revisions, it is not necessary to provide evaluation evidence.

**d) Possibility of the performance of ad hoc evaluation**

Ad hoc evaluation may be carried out, e.g. upon the initiative of the Head of the OG SR under which the MA OPIS has been established, based on a decision of MA OPIS or MC KbE, based on the results of audits carried out by the EC or inspections carried out by the Supreme Audit Authority of the Slovak Republic, government audits carried out by the Ministry of Finance of the SR and by the audit/control department of the OG SR or by financial control administrations.

On-going evaluation of OPIS or part thereof may be carried out as internal evaluation by the staff of MA OPIS. On-going evaluation of OPIS may also be carried out by an external body or another natural or legal person.

Persons carrying out internal or external evaluation must be functionally independent from the authorities referred to in Article 59(b) and (c) of Council Regulation (EC) No 1083/2006, i.e. from the certifying body and the audit authority. An external evaluator may carry out the on-going evaluation of OPIS or part thereof under the conditions specified in EC legislation, the generally binding legal regulations of the SR and the approved documents relative to the management, financial management and implementation of the operational programme.

**2.8 Organisational arrangements for the evaluation of OPIS and evaluation quality standards**

The evaluation of OPIS is carried out by the evaluation managers of the MA, i.e. the Regional Policy Foreign Financial Aid Monitoring Department which is as regards organization included
in the Foreign Financial Aid Management and Implementation Section of the OG SR. The evaluation shall be carried out in compliance with the evaluation quality standards issued by the EC and the Evaluation Charter. The Evaluation Charter shall be prepared by the CCA and approved by the Minister of Construction and Regional Development of the Slovak Republic.

The base documents for the purpose of evaluation shall be prepared by the monitoring managers of the Intermediary Body under the Managing Authority (hereinafter referred to as “IBMA”) which is the Ministry of Finance of the SR.

Evaluation of OPIS is carried out through the evaluation of activities referred to in Annex 3 and in reference to the Indicative Plan of OPIS Evaluations for the Programming Period 2007 – 2013, which forms Annex No. 6.

The selection of activities to be evaluated according to items I-III depends on the type of evaluation. Evaluation covers all activities or selected activities only.

The evaluation of OPIS consists of the following phases:

- planning of evaluation;
- carrying out evaluation;
- implementation of evaluation results at the end of which an evaluation report will be prepared that must include recommendations for corrective measures in case any deviations from the required state are identified.

The evaluation report shall be prepared by the evaluation manager and submitted to the Working Group for Evaluation of OPIS. The evaluation report shall be approved by the MC KbE. Once the evaluation report is approved, the MA OPIS shall ensure its publication on the website of OPIS www.opis.gov.sk.

Evaluation quality standards may be broken down into quality standards related to the process of evaluation and quality standards related to the evaluation report. The evaluation quality standards are listed in Annex 4 to this plan.

2.9 Building internal administrative capacities for the evaluation of OPIS

Administrative capacities for evaluation include creating a sufficient number of positions for evaluation managers, the training of evaluation managers, providing for the necessary material and technical supply to them and for their adequate remuneration.

Training of the evaluation managers of OPIS in the area of evaluation will be carried out within the training of evaluation managers of all operational programmes and the NSRF.
organised by the CCA and the EC. Training of evaluation managers in other area, such as legislation, system of management or financial management of the structural funds and the Cohesion fund in the programming period 2007-2013, which is subsequently used for evaluation, or in other specific areas, is organised by the MA OPIS.

Training of the MA evaluation managers and of the IBMA monitoring managers who prepare the base documents for evaluation and the replenishment of their knowledge will be provided particularly through the following activities:

- participation in training courses focused on evaluation, financial management and other areas related to their activity;
- exchanges of experience in the area of evaluation with the staff of MA of other operational programmes carrying out evaluations in Slovakia and in other EU member states and with EC representatives;
- cooperation with external evaluators;
- participation in seminars, conferences and other activities with a view to exchanging experiences in the field of evaluation of EU financial assistance instruments.

*Material and technical supply* for evaluation managers will be financed from the chapter of the Slovak national budget of the OG SR, under which the MA OPIS has been established, and as part of eligible activities under OPIS, i.e. technical assistance of OPIS.

### 2.10 Establishment of a working group for the evaluation of OPIS and its relationship to the Central Committee for Evaluation of NSRF

The MA for OP shall set up a working group for evaluation of OPIS (hereinafter the "Working Group"). The members of the Working Group shall organise and carry out the evaluation of OPIS. The Working Group must include a minimum of four members, one of whom is the chairman, two are MA employees and one is an IBMA employee. The chairman of the Working Group is the Director of the Regional Policy and Foreign Financial Aid Monitoring Department of the OG SR and the other three members include two OPIS evaluation managers and one monitoring manager on behalf of the IBMA. An organisational scheme showing the position of the working group for evaluation is included in Annex No. 5 to this document.
2.11 Financing of OPIS evaluations

The OPIS evaluation activities will be financed from the resources allocated for priority axis 4 - Technical Assistance from the ERDF. The prices are shown in euro, in current prices.

The total financial allocation for priority axis 4 represents 36,569,278, EUR 31,083,886 from the ERDF and EUR 5,485,392 from national resources.

The indicative breakdown of resources for evaluation of OPIS is included in Annex No. 6, for individual evaluations.

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## Annex No. 1 – LIST OF INDICATORS FOR OPIS

<table>
<thead>
<tr>
<th>Type of indicator</th>
<th>Name of indicator</th>
<th>Definition</th>
<th>Information sources</th>
<th>Measurement unit</th>
<th>Base-line value</th>
<th>Target value / Year</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Operational programme</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Core indicator: - result</strong></td>
<td>Number of jobs created</td>
<td>Number of jobs created as a result of the project’s implementation; if the project was not implemented such jobs would not be created.</td>
<td>ITMS, Ministry of Finance SR</td>
<td>number</td>
<td>0</td>
<td>1,800</td>
</tr>
<tr>
<td><strong>Core indicator: - result</strong></td>
<td>Number of jobs created and occupied by men</td>
<td>Number of created jobs that are occupied by men as a result of the project’s implementation; if the project was not implemented such jobs would not be created.</td>
<td>ITMS, Ministry of Finance SR</td>
<td>number</td>
<td>0</td>
<td>730</td>
</tr>
<tr>
<td><strong>Core indicator: - result</strong></td>
<td>Number of jobs created and occupied by women</td>
<td>Number of created jobs that are occupied by women as a result of the project’s implementation; if the project was not implemented such jobs would not be created.</td>
<td>ITMS, Ministry of Finance SR</td>
<td>number</td>
<td>0</td>
<td>1,070</td>
</tr>
<tr>
<td><strong>PRIORITY AXIS 1 – Electronization of the public administration sector and the development of e-services</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Indicator: - result</strong></td>
<td>On-line availability of 20 basic public services</td>
<td>-</td>
<td>Eurostat</td>
<td>%</td>
<td>20</td>
<td>100</td>
</tr>
<tr>
<td><strong>Indicator: - result</strong></td>
<td>Time savings for citizens as a result of the introduction of 20 basic public services</td>
<td>-</td>
<td>Ministry of Finance SR</td>
<td>hours</td>
<td>0</td>
<td>40</td>
</tr>
<tr>
<td><strong>Indicator: - result</strong></td>
<td>Proportion of citizens with access to Integrated Service Points to the total number of citizens</td>
<td>-</td>
<td>Ministry of Finance SR</td>
<td>%</td>
<td>0</td>
<td>85</td>
</tr>
<tr>
<td>Indicator:</td>
<td>- result</td>
<td>Proportion of the published digitalized RI content to the total RI content</td>
<td>-</td>
<td>Ministry of Culture SR</td>
<td>%</td>
<td>0</td>
</tr>
<tr>
<td>Indicator:</td>
<td>- result</td>
<td>Proportion of e-service users in culture to the total Internet population</td>
<td>-</td>
<td>Ministry of Culture SR</td>
<td>%</td>
<td>0</td>
</tr>
<tr>
<td>PRIORITY AXIS 3 – Improvement of broadband Internet access</td>
<td></td>
<td>Broadband access penetration (Internet connections per 100 citizens)</td>
<td>-</td>
<td>OECD</td>
<td>number</td>
<td>5</td>
</tr>
<tr>
<td>PRIORITY AXIS 4 – Technical assistance</td>
<td></td>
<td>Number of studies prepared</td>
<td>-</td>
<td>ITMS, Ministry of Finance SR, OG SRR</td>
<td>number</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Percentage of MA/IBMA employees involved in the lifelong learning system</td>
<td>-</td>
<td>ITMS, Ministry of Finance SR, OGSR</td>
<td>%</td>
<td>0</td>
</tr>
</tbody>
</table>
## Annex No. 2 – TIME SCHEDULE OF ON-GOING EVALUATIONS OF OPIS IN 2007-2013

<table>
<thead>
<tr>
<th>Type of evaluation</th>
<th>First time to be performed</th>
<th>Reason for performance/periodicity</th>
<th>Indicative budget (Sum in €)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Strategic evaluation</strong></td>
<td>Earliest in 2011</td>
<td>According to a decision of the MA and in response to the needs of society</td>
<td>365,133</td>
</tr>
<tr>
<td><strong>Operational evaluation</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Regular evaluation of the entire OP</td>
<td>-</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Thematic evaluation of part of OP</td>
<td>in 2009 - 2010</td>
<td>Regular monitoring of parts of the OP (by priority axes), theme of evaluation identified as a risky part in the annual monitoring report for the previous calendar year.</td>
<td>763,460</td>
</tr>
<tr>
<td>Ad hoc evaluation pursuant to Article 48(3) of Council Regulation (EC) No. 1083/2006</td>
<td></td>
<td>In case of a significant deviation from the set targets.</td>
<td>243,422</td>
</tr>
<tr>
<td></td>
<td></td>
<td>In the case of a proposal for the revision of OP.</td>
<td></td>
</tr>
<tr>
<td>Ad hoc evaluation of the entire OPIS or part thereof</td>
<td></td>
<td>Based on a decision of the Head of the Office of the Government of the SR, MA OPIS, Monitoring Committee for Knowledge-based Economy, based on a protocol by the Supreme Audit Authority, report from a government audit carried out by the Ministry of Finance of the SR or by an audit body or the Financial Control Administration.</td>
<td>486,844</td>
</tr>
</tbody>
</table>
Annex No. 3 – ACTIVITIES CARRIED OUT AS PART OF THE EVALUATION OF OPIS

The purpose of evaluation is to evaluate the performance of the objectives of OP Informatization of Society (hereinafter referred to as “OPIS”), examining the global objective, the specific objectives and the partial objectives. The evaluation of OPIS is carried out by evaluating the following activities:

I. Evaluation of activities according to priority axes and the measures of each priority axis, including horizontal priorities

II. Evaluation of efficiency of the OPIS management system

III. Evaluation of the fulfilment of partial objectives, specific objectives and the global objective of OPIS

The selection of activities to be evaluated according to items I-III depends on the type of evaluation. Evaluation may cover all activities or only selected activities.

The subject of evaluation includes physical indicators and financial indicators, attainment of specific objectives of priority axes and partial objectives.

I. Evaluation of activities by priority axes and measures of each priority axis, including horizontal priorities

Priority axis 1 – Electronization of the public administration sector and the development of e-services:

Objective of priority axis 1

The objective of priority axis 1 is the creation of a well-functioning and effective back office and the integration of applications to an effective front-office to provide complete IT support to all public administration institutions and to create an appropriate environment for the integrated development of public administration information systems at the central level as well as at the regional level.

Evaluation of the activities of the OPIS Priority Axis 1 is carried out through the evaluation of indicators within the following measures:

Measure 1.1 - Electronization of the public administration sector and the development of e-services at the central level

Task – To evaluate whether the objective of Measure 1.1 was achieved through the performance of the following activities:

Evaluated activities:

- creation and sustainable development of the basic components of e-Government such as, above all, a quality back office of state administration through investments in shared HW, SW and mostly G2G type applications supporting the effective performance of processes in state administration sections in compliance with the national policy of informatization of the public administration sector in the SR that will allow for the integration of ICI and the selected public administration processes into a single point – front office;
- creation and sustainable development of specialized components of e-Government and the introduction of 20 e-Government services in accordance with the concept defined in the Roadmap for the Introduction of Electronic Public Administration Services and in compliance with the generally recognized e-Government principles;
- introduction of extended e-Government services identified in the i2010 strategy and in accordance with the concept of electronic services provided by the public administration so as to ensure that they are effective, useful and accessible and compliant with the generally recognized e-Government principles.
Measure 1.2 - Electronization of the public administration sector and the development of e-services at local and regional levels

Task – To evaluate whether the objective of Measure 1.2 was achieved through the performance of the following activities:

Evaluated activities:

- creation and sustainable development of a quality self-government back-office through investments in shared HW and SW supporting the performance of key regional and local administration processes in compliance with the concept for the integrated architecture of public administration information services which will allow for the systematic development of a network of integrated service points so that the density of service points and accessibility of services significantly reduce the need for travel with respect to public administration services;
- introduction of effective electronic services of the self-government so that they comply with the concept of electronic services provided by state administration and that they run concurrently with the process of electronization of state administration at the central level which result from new opportunities of the electronization of public administration sector and generally recognized e-Government principle. These cover the following areas of administration: electronic application to secondary schools, electronic application for social services, electronic applications and decisions, housing and residence, transport, culture, registry office, business, land, education, animals and environment;
- creation and development of integrated service points which will provide full or partial access to e-services provided by public administration at a single point.

Priority axis 2 – Development of repository institutions and the renewal of their national infrastructure

Objective of priority axis 2

The objective of priority axis 2 is the improvement of the system of acquisition, processing, protection and utilization of knowledge and digital content, as well as the modernization and completion of the infrastructure of repository institutions at the national level.

Evaluation of activities of OPIS Priority Axis 2 is carried out through the evaluation of indicators within the following measures:

Measure 2.1 - Improvement of the system of acquisition, processing and protection of content from the resources of repository institutions

Task – To evaluate whether the objective of Measure 2.1 was achieved through the performance of the following activities:

Evaluated activities:

- support from the management, related to the management of the systems of acquisition, protection and processing of content;
- electronization of repository institutions (equipment of institutions with the relevant hardware and software, networks and ICT technologies), improvement of the reliability of operation of information and communication systems and the improvement of database systems of repository institutions and systems in the area of culture;
- purchase of information sources (databases, rights of publication of information, etc.);
- documentation of immaterial culture heritage, including the documentation of traditional skills and the electronization of such knowledge;
- renewal of buildings, offices and facilities of repository institutions at the national level and the creation of absent specialized units directly related to digitization and the information and communication infrastructure of content acquisition, processing and protection, improvement of fire protection, electronic protection and internal conditions (air-conditioning and storage of collection items, library and archive documents and other protected resources) in repository institutions directly related to digitization;
- improvement of the technological equipment of laboratories and conservation and preparation facilities for the special treatment, conservation and restoration of objects and specialized (library, archival, etc.) resources closely related to the information and communication infrastructure of content acquisition, processing and protection; implementation of research results in the area of mass deacidification of lignocellulose carriers of information in repository institutions directly related to digitization;
- informatization of public libraries and multifunctional cultural and information centres, creation and interconnection of a network of selected academic, specialized, scientific and public libraries with their information interconnection with science, research, development of innovation and entrepreneurship, reform of curricula and education and building of a network of research, documentation and interpretation centres of Roma culture;
- support of the further processing, accessibility and utilization of data and knowledge of repository institutions in the practice, research and creation of innovative projects as well as in education, training, planning and decision-making processes in schools and offices, by the business sector and public, research, preparation and reinstallation of fixed expositions of registered museums and galleries of national importance – innovation and presentation of content;
- support of increasing public awareness of the cultural, scientific and intellectual heritage of Slovakia and the support of training, educational, information and professional activities relative to the implementation of the measure.

Measure 2.2 – Digitization of the content of repository institutions, archiving and provision of access to digital data

Task – To evaluate whether the objective of Measure 2.2 was achieved through the performance of the following activities

Evaluated activities:

- creation of the Slovak digital library and a network of specialized digitization units of repository institutions;
- recording, collection, long-term archiving and protection of digital content, web-harvesting and web-archiving;
- systematic support of the physical digitization of cultural, scientific and intellectual heritage, including the digitization of audio-visual resources (film and audio);
- digital restoration of film materials, audio and audio-visual recordings;
- support of digital content management;
- administration and providing access to the digital content by repository institutions.

Priority axis 3 – Improvement of broadband Internet access

Objective of priority axis 3

The objective of priority axis 3 is the provision of access to broadband Internet to all.

The evaluation of activities of OPIS Priority Axis 3 is carried out through the evaluation of indicators within the following measures:

Measure 3.1 – Development and support of permanently sustainable use of broadband access infrastructure

Task – To evaluate whether Measure 3.1 was is carried out through the evaluation of indicators within the following measures:

Evaluated activities:

- introduction, development and operation of modern network platforms providing for communication of the state administration systems in the scope necessary for the development of e-Government;
- development of regional and local broadband networks in areas unattractive for commercial operators
Priority axis 4 – Technical assistance

Objective of priority axis 4

Objective of priority axis 4 is the provision of effective process of OPIS management and implementation in compliance with the demands put on administrative structures responsible for the implementation of the operational programme, namely through supporting preparatory, managing, monitoring, information and supervisory activities related to OPIS, together with activities designed to strengthen administrative capacities.

The evaluation of activities of OPIS Priority Axis 4 is carried out through the evaluation of indicators within the following measures:

Measure 4.1 – Technical Assistance for the MA OPIS

Task – To evaluate whether the objective of Measure 4.1 was achieved through the performance of the following activities:

Evaluated activities:

- ensuring the administrative capacity of the MA OPIS and improving the quality of human resources;
- ensuring the processes of management, programming, monitoring and evaluation of OPIS;
- establishment and sustainable development of implementation structures for informatization projects
- material and technical supply for the MA OPIS;
- ensuring monitoring activities;
- evaluation reports, audits, surveys, analyses for OPIS needs;
- IT support for processes within the MA OPIS;
- Publicity and information of the public.

Measure 4.2 – Technical assistance for the IBMA OPIS

Task – To evaluate whether the objective of Measure 4.2 was achieved through the performance of the following activities:

Evaluated activities:

- ensuring administrative capacities of the IBMA OPIS and improving the quality of human resources;
- ensuring the processes of programming, implementation, monitoring and evaluation of OPIS;
- establishment and sustainable development of implementation structures for informatization projects;
- material and technical supply for the IBMA OPIS;
- ensuring monitoring activities;
- preparation of feasibility studies and analyses related to the implementation of OPIS projects;
- evaluation reports, audits and surveys for OPIS needs;
- IT support for processes within the IBMA OPIS;
- publicity and information of the public.

II. Evaluation of the efficiency of the OPIS management system

The evaluation of the efficiency of the OPIS management system involves the assessment of the activity of the Monitoring Committee for Knowledge-based Economy and of the fulfilment of tasks pursuant to part 9.1.5 of OPIS and the assessment of activities of the MA OPIS and performance of tasks pursuant to 9.1.2 of OPIS at the programme level as well as at the project level.
The evaluation of OPIS management carried out by the MA takes into account the number of approved projects and the number of implemented projects, fluency of the implementation of projects and the implementation of OPIS from the financial point of view.

III. Evaluation of the attainment of partial objectives, specific objectives and the global objective of OPIS

**Global objective of OPIS**

The global objective of OPIS is to create an inclusive information society as a tool for the development of a high performance knowledge-based economy.

**Specific objectives of OPIS**

Specific objective 1: Effective public administration

Specific objective 2: Improvement of the system of acquisition, processing, protection and utilisation of knowledge and digital content, modernization and completion of the infrastructure of repository institutions at the national level

Specific objective 3: High penetration of broadband Internet

Specific objective 4: High effectiveness and efficiency of OPIS interventions
# Evaluation Quality Standards

<table>
<thead>
<tr>
<th>Quality of the evaluation process</th>
<th>Quality of the evaluation report</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Coherent objectives:</strong> The objectives of the NSRF and operational programmes are understandable, logical and clear enough to facilitate their evaluation.</td>
<td><strong>Substantiality of report:</strong> The evaluation report addresses and accurately directs information which corresponds to the terms of reference (TOR).</td>
</tr>
<tr>
<td><strong>Adequate terms of reference:</strong> The terms of reference are drawn up in such a way as to prevent the need of their further revision.</td>
<td><strong>General scope:</strong> Logics of outputs, results, impacts and interaction with other policies. Unexpected effects are carefully examined (depending on the scope of evaluation and evaluation questions).</td>
</tr>
<tr>
<td><strong>Selection of evaluator in a tender:</strong> The tender procedure complies with the legislation for the purpose of selecting an evaluator who will carry out the evaluation in a professional way.</td>
<td><strong>Open process:</strong> The competent and responsible parties are involved in the design of the evaluation and in the discussion on the evaluation results in order to allow their arguments to be taken into account and their points of view to be explained</td>
</tr>
<tr>
<td><strong>Effective dialogue and feedback:</strong> Evaluation is carried out in partnership, the evaluator maintains dialogue with the competent persons and managers and feedback exists between the partners which consequently improves the quality of the evaluation.</td>
<td><strong>Sustainable subject of evaluation</strong> – The subject of evaluation is appropriate for achieving the required results and to answer all evaluation questions.</td>
</tr>
<tr>
<td><strong>Adequate information:</strong> A well-functioning monitoring system is set up, containing data for evaluation available to the administrator as well as partners.</td>
<td><strong>Reliable data:</strong> The primary and secondary data collected or selected is adequate, reliable and relevant in terms of its expected use.</td>
</tr>
<tr>
<td><strong>Good management of evaluation:</strong> The evaluation team is well-managed and supplied with conditions that are adequate for carrying out evaluations.</td>
<td><strong>Sound analyses:</strong> Quantitative and qualitative data is analyzed in accordance with established conventions and by appropriate means facilitating correct answers to evaluation questions.</td>
</tr>
<tr>
<td><strong>Effective provision of information to competent persons:</strong> The evaluation reports and evaluation results are provided to the responsible and competent persons concerned in such a way that they can learn from them, and also to decision-makers who responded in due and timely course and with feedback.</td>
<td><strong>Credible results:</strong> The results are logical and obtained by analyses of data and appropriate interpretations of hypotheses.</td>
</tr>
</tbody>
</table>
| **Efficient dissemination of information to partners:** | **Impartial conclusions:** The conclusions are well-

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1 Quality standards were elaborated on the basis of the communication with the Commission between the President and Mrs Schreyer, C (2002) 5267/1 of 23 December 2002, Evaluation Standards and Good Practice and the communication for the Commission based on an agreement between Ms Grybauskaitė and the President, SEC (2007) 213 of 23 February 2007, responding to the strategic needs for reinforcing the use of evaluation.
<table>
<thead>
<tr>
<th>shareholders and partners: The evaluation reports and evaluation results are appropriately disseminated to all shareholders and targeted by means which supported the dissemination of knowledge and the learning of lessons</th>
<th>documented and unbiased.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Comprehensible report: The report describes the context and goal, as well as the organization and results of the operational programme in such a way that the information provided is easily understood. The report contains a comprehensive summary of evaluation results; the results will be published within the exchange of experience between the Member States and in compliance with the principles of good practice.</td>
<td></td>
</tr>
<tr>
<td>Useful recommendations: The report includes recommendations that are useful for decision-making within programme management and are detailed enough to be implemented.</td>
<td></td>
</tr>
</tbody>
</table>
Annex No. 5 DIAGRAM OF THE AUTHORITIES INVOLVED IN THE EVALUATION

Translation of the diagram

Centrálny koordinačný orgán (CKO) = Central Coordinating Authority (CCA)
Národný monitorovací výbor (NMV) = National Monitoring Committee (NMC)
Centrálny výbor pre hodnotenie (CVH) = Central Evaluation Committee (CEC)
NSRR = NSRF

Translation of the legend

PS – Pracovná skupina pre hodnotenie = WG - Working Group for evaluation
MV – Monitorovací výbor = MC - Monitoring Committee
RO – Riadiaci orgán = MA - Managing Authority
NSRR 2007 - 2013
## Annex No. 6 INDICATIVE PLAN OF EVALUATION ACTIVITIES FOR OPIS FOR 2007 – 2013

<table>
<thead>
<tr>
<th>Type of evaluation</th>
<th>Name</th>
<th>Objective</th>
<th>Main evaluation questions</th>
<th>Data source</th>
<th>Date of implementation</th>
<th>Indicative budget</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Strategic evaluation</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| Complex evaluation of the implementation of OPIS / evaluation of relevancy and expediency of supported priorities and measures in relation to the general objectives set by the programme as well as to identified needs | | | • Are the objectives set at the level of OPIS and the priority axes being fulfilled?  
• What specific adjustments need to be done in OPIS on the basis of changes to the general context of OPIS?  
• What is the effectiveness and expediency of OPIS? Are the results and impacts of the projects supported by OPIS sustainable?  
• Are the set objectives still relevant? Does the actual status require an update of the OPIS objectives?  
• Does the structure of the priority axes and individual measures of OPIS require any update?  
• What impact do the projects implemented within OPIS have on the development of the socio-economic environment (context) of the programme?  
• Are the implemented measures sufficient to eliminate any risks endangering the correct, effective and efficient implementation of OPIS? | Monitoring reports of projects, ITMS, OPIS annual reports | 2011 | 11 million SKK (365,133 EUR) |
| **Thematic evaluation** | **Evaluation of the priority axis “Effective electronization of the public administration”** | Evaluation of the success rate of implementation of the priority axis | | Monitoring reports of projects, ITMS, OPIS annual reports | 2010 | 10 million SKK (331,939 EUR) |

<table>
<thead>
<tr>
<th>Type of evaluation</th>
<th>Name</th>
<th>Objective</th>
<th>Main evaluation questions</th>
<th>Data source</th>
<th>Date of implementation</th>
<th>Indicative budget</th>
</tr>
</thead>
</table>
| Thematic evaluation | Evaluation of the priority axis “Development of repository institutions and the renewal of their national infrastructure” | Evaluation of the success rate of implementation of the priority axis | priority axis have on the development of the socio-economic environment (context) of OPIS?  
- Are the implemented measures sufficient to eliminate any risks endangering the correct, effective and efficient implementation of projects within the priority axis?  
- What is the effectiveness and efficiency of projects within the priority axis? Are the results and impacts of the projects supported within the priority axis sustainable?  
- What impact do the projects implemented within the priority axis have on the development of the socio-economic environment (context) of OPIS?  
- Are the implemented measures sufficient to eliminate any risks endangering the correct, effective and efficient implementation of projects within the priority axis? | Monitoring reports of projects, ITMS, OPIS annual reports | 2010 | 4 million SKK (132,776 EUR) |
| Thematic evaluation | Evaluation of the priority axis “Improvement of broadband Internet access” | Evaluation of the success rate of implementation of the priority axis | What is the effectiveness and efficiency of the projects within the priority axis? Are the results and impacts of the projects supported within the priority axis sustainable?  
- What impact do the projects implemented within the priority axis have on the development of the socio-economic environment (context) of the priority axis?  
- Are the implemented measures sufficient to eliminate any risks endangering the correct, effective and efficient implementation of projects within the priority axis? | Monitoring reports of projects, ITMS, OPIS annual reports | 2010 | 5 million SKK (165,969 EUR) |
<table>
<thead>
<tr>
<th>Thematic evaluation</th>
<th>Evaluation of the setup of system of quantifiable indicators of OPIS</th>
<th>Verification of the accuracy of the setup of starting points, objectives, eligible activities and quantifiable indicators</th>
</tr>
</thead>
</table>
|                     |                                                               | • Is the system of quantifiable indicators set up effectively in connection with monitoring the fulfilment of objectives? Are the OPIS indicators coherent with the programme strategy?  
• Does the system of quantifiable indicators require an update? |
|                     |                                                               | Feasibility studies, OPIS annual reports, ITMS, monitoring reports of projects, CCA codebook of indicators, Eurostat data base, Statistical Office |
|                     |                                                               | 2009 |
|                     |                                                               | 2 million SKK (66,388 EUR) |
| Thematic evaluation | Evaluation of the operation of OPIS management and financial management by the MA and IBMA | Evaluation of administrative structures and the quality of the OPIS management system considering accuracy, effectiveness and transparency |
|                     |                                                               | • Are the MA and IBMA administrative capacities being used effectively?  
• Is cooperation between the MA and IBMA sufficient as regards management?  
• What are the options for improving cooperation between the MA and IBMA?  
• Have the invested resources been used in an effective and transparent manner? |
|                     |                                                               | Number of approved projects and number of implemented projects, fluency of the implementation of projects and the implementation of OPIS from the financial point of view |
|                     |                                                               | 2009 |
|                     |                                                               | 2 million SKK (66,388 EUR) |
|                     |                                                               | Total |
|                     |                                                               | 34 million SKK (1,128,593 EUR) |