DEVELOPMENT AND IMPLEMENTATION OF A NATIONAL E-PROCUREMENT STRATEGY FOR THE SLOVAK REPUBLIC

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Development and Implementation of a National E-Procurement Strategy for the Slovak Republic

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Acronyms and abbreviations

CA	Contracting Authorities
CPB	Central Purchasing Bodies
CRZ	Central Registry of Contracts
EC	European Commission
EKS	Electronic Contracting System
EO	Economic Operator
ESIF	European Union Structural and Investment Funds
ESPD	European Single Procurement Document
EU	European Union
GEAC PP	Ex-ante conditionality Action Plan
IS EVO	Information System of Electronic Public Procurement
MA	Managing Authorities
MEAT	Most Economically Advantageous Tender
MoI	Ministry of Interior
NGO	Non-governmental organisation
PP	Public Procurement
PPA	Public Procurement Act
PPO	Public Procurement Office
SMEs	Small and Medium-sized Enterprises
TED	Tenders Electronic Daily
UPVS	Central Portal of Public Administration

1 Executive Summary

The development of a national e-Procurement framework is a main component of the EU/OECD project "Support for the Implementation of the Slovak Public Procurement Reform in the framework of the European Structural and Investment Funds (ESIF) ex-ante conditionality Action Plan", designed between the Slovak Republic, the European Commission (EC) and the OECD to help the Slovak Republic enact the country's Action Plan to satisfy the ex-ante conditionality on public procurement (GEAC PP) for the use of European Structural and Investment Funds (ESIF).

Being an enabler to the implementation of strategic and effective public procurement, the set-up of a comprehensive e-Procurement strategy was given the highest priority in terms of content and timing, given its impact in the overall public procurement system for the Slovak Republic. The strategy analyses the existing situation while addressing key topics for its successful implementation, including the political ownership, the governance model and the systems inter-operability, amongst others, presenting at the end a roadmap towards a phased transition to an end-to-end e-procurement.

The current e-Procurement environment in the Slovak Republic, although existing for nine years, is characterised by a lack of clarity in terms of governance, legislation, processes and systems, which prevents a better and more efficient use of the available tools. The use of electronic procedures is limited. The coverage of the end-to-end procurement lifecycle by the existing systems is also limited. During the fact-finding missions, all stakeholders requested clearer and simpler rules and processes, as well as user-friendly systems with full coverage of the end-to-end process, a goal similar to many other public procurement systems in OECD and non-OECD countries, and part of many reforms currently ongoing around the globe.

The 2015 OECD Recommendation of the Council on Public Procurement[1] also emphasises the need to promote e-Procurement as a clear part of a sound public procurement system, by dedicating an entire principle and related subprinciples to this topic.

The Slovakian Public Procurement Office (PPO) is an independent government body which acts as the central State administration authority for Public Procurement. The PPO provides the Information System of Electronic Public procurement (IS EVO), the first national e-Procurement platform. The PPO's authority is limited though, as it has little control on the Electronic Contracting System (EKS), the second and recently built national e-Procurement platform, provided by the Ministry of Interior.

The lack of clarity in the legislation governing the operation and use of the two platforms, and in the legislation governing the relationship between the two authorities, results in the two platforms appearing as opponents, with the EKS platform being used in many cases for purposes other than the one for which it was designed, leading to possible confusion over the roles of the two authorities.

Furthermore, the recently published Public Procurement Act, which transposed the 2014 EU Directives[2], under the leadership of the PPO, requests that certain items of the e-Procurement system are in place by April 2017, setting thus a deadline much tighter than the one presented by the

[1] www.oecd.org/gov/ethics/recommendation-on-public-procurement.htm
[2] http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=celex:32014L0024

Directives. The implementation of heavy changes is therefore required by the law to meet this deadline and the risk of delay, which would lead to unwanted legal consequences, is very high.

The most challenging target set by the legislation seems to be the mandatory use of electronic procurement procedures by all Contracting Authorities (CAs) for all types of procurement by April 2017, while currently only a limited percentage of procedures are conducted electronically. This is due to high resistance by many CAs to use, mainly, the IS EVO system for reasons including, among others, complexity, low user friendliness and lack of training.

Recent information indicates that a revision of the legislation is in progress, aiming to align the deadlines set by the Public Procurement Act to the ones defined in the EU Directives. This will allow for a more realistic implementation schedule and higher quality results.

Within the framework of this report, the OECD conducted an assessment and a gap analysis, which included various types of interaction with most public procurement (PP) stakeholders: the Office of Public Procurement, the Ministry of Interior, CAs, Managing Authorities (MAs) and Economic Operators (EOs). The assessment included two sets of workshops with the above stakeholders, a detailed questionnaire on the current state of e-Procurement answered by all stakeholders and by the vendors of the e-Procurement platforms, and finally additional interaction with the PPO.

Based on our understanding of the current state of e-procurement in the Slovak Republic, an analysis was performed on a number of criteria combining the achievement of e-Procurement objectives, good international practices in public e-Procurement, inside and outside the EU, and gaps with national legal obligations. The assessment resulted to a set of over 100 recommendations, further detailed in the report.

Based on the recommendations, the proposal for the improvement of the current state of e-Procurement in the Slovak Republic was defined in terms of four critical dimensions: organisation and people, processes, systems, and legislation. The main highlights of the expected future state include:

- delivering the required scope for compliance to the national and EU legal obligations
- building excellence by expanding the coverage of e-Procurement systems to the end-to-end procurement lifecycle
- having in place a solid governance structure and good capacity of trained resources
- implementing optimised processes with clear boundaries
- restoring trust in public procurement.

As a final step, the proposed Roadmap from the current to the future state is also presented. The drivers of the Roadmap build upon the above-mentioned assessment and dimensions: the compliance to national law and EU Directives obligations, the set of recommendations resulting from the current study, the proposed future state of e-Procurement and the Project of Electronisation of Public Procurement currently under implementation by the PPO.

According to recent information the Public Procurement legislation is under revision, with the target to reflect the EU Directives' deadlines. The proposed three-year Roadmap, which **assumes the alignment of the Slovak Republic's legislation to the deadlines set by the EU Directives**, follows a phased approach towards achieving the complete future state:

- ***Phase I target***: Achieve compliance to national legislation on Public Procurement by implementing a set of short-term requirements, among which is the mandatory use of electronic procedures for the Central Purchasing Bodies (CPBs) and for all procurement types, and bring clarity on the role of PPO and on the roles of the two national e-Procurement platforms.
- ***Phase II target***: Implement the SVO system including the core functionality of IS EVO and, possibly, of EKS, the functionality prioritised by the PPO (integration with other systems and addition of various types of procurement procedures) and additional components towards an improved technology landscape (as well as improved processes). Phase II starts with an open tender for the selection of the vendor(s) to implement the high-volume scope of Phases II and III.
- ***Phase III target***: Build excellence by extending the SVO functionality to cover the end-to-end scope of the procurement lifecycle.

Further to their distinct scope, all Phases include a process review and improvement activity, and a CAs and CPBs training activity.

As part of the critical route for the implementation of the e-Procurement strategy we should also emphasise an important activity included at the very beginning of Phase II: the decision on having one or two platforms in the future e-Procurement landscape. The current situation involving the two platforms should be strongly challenged as it currently hinders the implementation of the once-only principle and either clearly justified or otherwise replaced. The evident and measurable benefits brought by the most recent platform, EKS, must be weighed vs factors including issues of confusion, possible use for purposes other than the one for which it was designated, additional or excessive running costs, technology complexity, double development of changes, additional integration points, risk of locked-in solution, etc. Although the strategy allows for both systems to operate, a business case comparing the two scenarios, using a lifecycle cost approach, should be built for this purpose, under the co-ordination of an Authority independent of the Public Procurement Office (PPO) and the Ministry of Interior (MoI), possibly the Deputy Prime Minister's Office. To develop this comparison additional information is needed, as detailed in the report, mainly in what concerns existing agreements and termination clauses, replacement costs, and the relative importance of each component to the Slovak authorities.

Finally, the list below summarises the results to be achieved by each of the three proposed Roadmap phases.

Phase I	– Compliance to the legislation regarding obligations for 1 April 2017 – Mandatory use of electronic procurement procedures for all CPBs and all procurement types – Governance clarity: clear PPO role and control definition – Legal clarity: on e-Procurement platforms use, procurement procedures use, common goods/services/works definition and thresholds

	– Security enhancement: e-Signature functionality, electronic ID card login – Electronic submission of objections – Integration of Information System Electronic Public Procurement (*Elektronické Verejné Obstarávanie,* IS EVO) to the Central Portal of Public Administration (*Ústredný portál verejnej správy,* UPVS), offering additional functionality and connection to other national systems – Resolution of IS EVO technical issues of capacity and stability – EKS process enhancements and fixes
Phase II	– Clear decision by the Government on one or two systems future landscape – Implementation of the SVO, a fully integrated e-Procurement environment – Unified registry of Es – Integration with national and EU systems for electronic exchange of information (e.g. certificates) – European Single Procurement Document (ESPD) integration – Mandatory use of electronic procurement procedures for all CAs and all procurement types – Implementation of additional procurement procedure types in SVO – Improved processes in SVO – Increased trust and stakeholders' satisfaction from public e-Procurement – Improved support of CAs and EOs by the PPO
Phase III	– Extension of systems coverage to the full scope of the end-to-end procurement lifecycle – approximately ten additional areas covered[3] – Flexible information retrieval and Business Intelligence capability – Enhanced CPB role and promoting fair and increased competition

[3] Additional functionality areas to be covered include: procurement request approval, grouping of requests, tender evaluation support, contract creation support, e-Orders, invoice management, e-Invoicing, payment management, e-Payments, workflow management, etc.

2 Methodology

This chapter briefly describes the methodology used by the OECD to develop the e-Procurement strategy.

Preparation

A set of **kickoff meetings** were held, for the OECD team to get initial information about the Public e-Procurement organisation in the Slovak Republic, the major e-procurement systems, and related processes.

A comprehensive **questionnaire** was then prepared and sent to various stakeholders of the e-procurement environment. The questionnaire was focused on the use, functionality and perception by the stakeholders of the current systems, and as on how the e-procurement is perceived in terms of transparency, integrity, and ease of use. The participating stakeholders included the entities responsible for the administration and operation of the two major systems, their vendors, CAs, EOs and MAs.

A **2nd set of meetings** were organised, to discuss the findings with the respondents of the questionnaires, get more details in selected areas (based on replies), understand areas with high deviations between replies of different respondents, and to cover areas not suitable for inclusion in a questionnaire.

Identification and collection of available relevant material was a continuous activity ongoing in parallel to the above activities. Such material included: legislation and directives (EU directives, Slovak legislation), material produced by the Slovak PPO (Strategy for e-Procurement document, concept document, etc.), best practices material (EU, OECD, other sources) and papers with information and assessments related to the public procurement in the Slovak Republic.

Report development

The **current state of e-Procurement in the Slovak Republic is described** at a high level, in terms of the four dimensions: Organisation and People, Technology, Processes and Legislation. The purpose of the report is not to enlighten the relevant parties on areas that they already know very accurately, but to state the current situation, based on which the report has been developed.

The **current state is assessed** in terms of:

- a set of four objectives, typical for e-procurement systems, but also mentioned by all respondents to questionnaires as the most important ones (according to the frequency of appearance in the replies)

- a set of ten additional criteria, based on best practices, past assessments of e-procurement environments and replies to questionnaires
- the immediate obligations of the Slovak Republic towards the EU directives as well as the national legislation, which should be treated in absolute priority.

The purpose of the assessment is to understand and to point out:

- what is considered as positive, and as such should be maintained and can be a lever for further development
- what is considered as negative or missing, identifying what needs to be developed.

A separate gap analysis is performed regarding the obligations of the Slovak Republic towards the EU directives and national legislation, to identify the areas and points where there are gaps between the current state and the obligations. The items resulting from this analysis will have to be treated in absolute priority over other points for improvement, as not respecting them may have negative impacts of varying nature for the country.

A set of recommendations for the improvement of e-Procurement in the Slovak Republic is presented in this report, based on the results of the assessment. These recommendations originate from the assessment criteria, but are categorised in terms of dimension the four described previously, and in terms of implementation urgency: immediate, short-term, medium-term, long-term and in terms of importance: critical, high, medium and low. The categorisation facilitates the definition of the future state in the same dimensions as the current state and planning of the proposed changes when developing the roadmap from the current to the future state, while allowing for better implementation and monitoring.

The **proposed future state** is then defined, based on the recommendations, but also taking into account the recently published Strategy on e-Procurement, as this document demonstrates the desire of the PPO and thus has to be respected in general terms.

Finally, the **proposed roadmap** is produced, describing the path that will drive the Slovak Republic from the current to the future state of e-Procurement. The roadmap considers a set of intermediate milestones and a phased approach to support a better plan, which can be monitored, controlled and even adjusted, if required during its implementation.

3 Current State

The following chapter presents the overall assessment of the current situation of e-Procurement in the Slovak Republic as perceived by the OECD, using the previously explained information and methodology. The analysis is developed under the 2014 EU Public Procurement Directive, and takes into account existing good practices and international standards, including the 2015 OECD Recommendation as mentioned before.

E-Procurement is covered in the OECD Recommendation, which advocates that e-procurement increases access and competition by simplifying procedures. SMEs or innovative companies often have less capacity to participate in public procurement processes if not provided with the right set of conditions. E-Procurement can be a lever to promote a level-playing field and encourage participation and competition. Good e-Procurement systems also allow flexible responses to the necessary developments in the public procurement environment. According to the OECD Recommendation, e-Procurement systems should be integrated, modular, scalable, flexible and secure, and take into account available market solutions. Finally, e-Procurement is also relevant to promoting accountability and transparency.

3.1 People and Organisation

Authorities playing key roles in PP:

Office of Public Procurement (PPO)

Official role	The Office for Public Procurement (referred to as PPO or UVO) is an independent government body which acts as the central State administration authority for public procurement. The PPO represents the Slovak Republic externally, working in specialised working commissions of the European Union and has active cooperation with foreign partner institutions. It has expertise in the field of public procurement, taking the necessary measures to fulfil the principles of transparency, equal treatment and non-discrimination of economic operators, as well as the principles of economy and efficiency in spending the funds. Its role is to ensure the conditions for the proper application of the Public Procurement Act (PPA).
Organisation	The PPO is an independent government body. It employs approximately 200 persons and its structure include the following functions: control, objections (complaints), advisory, law, training (on new PPA, on irregularities), methodology.

Activities related to e-Procurement	– monitoring application of the PPA and accompanying legislation – drafting legislation and regulation on public procurement – collaborating with the EU on the management of the structural funds and compliance to Directives and Regulations matters – providing ex-ante review of public procurement documents – managing the IS EVO e-Procurement system – training and publication of guidance for contracting authorities and suppliers – managing objections related to tendering procedures – collecting, analysing and publishing statistical information – acting as the first-instance review body and imposing financial penalties in case of a violation of the PPA
Other significant information	– The PPO recently – under the new PPA – was assigned to a new role, i.e. the full implementation and execution of both ex-ante controls for the ESIF projects. Previously this role belonged partially to the MAs. The PPO is in the process of increasing its personnel (20+ new staff to be hired) to accommodate the new control. – Although the PPO is officially the central administration authority for public procurement, its power is limited as it does not seem to have any control upon the EKS system, the 2nd national e-Procurement system, managed by a team under the MoI. The EKS team seems to operate independently of the PPO. It is assumed that the official relationship between the PPO and the EKS team. i.e. who reports to whom, who sets the overall rules etc., is not clearly covered by legislation or regulation. – It was mentioned by interviewed CAs that the systems provided by the two above Authorities appear many times as opponents, instead of as two collaborating and complementary systems. – CAs complain of not getting the support they would expect to get from the PPO, especially in the definition of requirements and evaluation of tenders, where expert advice is required. – Complaints have also been mentioned by CAs about unsatisfactory support of the IS EVO system by the PPO.

	– For the PPO, the primary item that has to be respected is the PPA, in force since 18 April 2016. – Important objectives in the agenda of the PPO are: • effective and efficient collaboration with the Government bodies • efficient management of the ex-ante controls • improvement of the cooperation with the EU • improvement of the management of the structural funds • creation of templates to cover as many as possible types of tenders • modernisation of the public procurement • preparation of quality training material.

Central Purchasing Bodies (CPBs)

Official role	Conduct public procurement on behalf of the CAs under their responsibility
Organisation	There are two CPBs currently: • MoI: CPB for commonly available: goods, services and works. The MoI also operates an online platform, the EKS, discussed in the next section. • Ministry of Finance
Activities related to e-Procurement	• The CPBs conduct procurement on behalf of the CAs under their responsibility mandatorily for certain product categories. The CAs are then obliged to buy such products from the CPBs. • The CAs can ask their assigned CPB to do a procurement on behalf of them even for items not in the "mandatory" list.
Other significant information	• The CAs are obliged to use the CPB activities (§ 15 article 4 of the PPA) for above-the-thresholds contracts for the cases described in §7 article (1), letter a) of the PPA. • It is not in the responsibilities of the CPBs to group requests of their CAs in order to conduct large scale procurement and achieve thus better prices and terms.

	• CPBs do not conclude Framework Agreements on behalf of their CAs. • CPBs are not regarded currently as providing material support to the CAs under their responsibility.

Ministry of Interior (MoI) - EKS management team

Official role	Management of the EKS (Electronic Contracting System)
Organisation	Team of nine persons, belonging to the MoI. Capacity dedicated to EKS: three full-time equivalents
Activities related to e-Procurement	• Administration of EKS • Cooperation with external company developing and operating the EKS, for further development of the system
Other significant information	• The EKS Management Team of MoI plays a significant role in the Slovak Republic's public procurement by managing the 2nd of the two national e-Procurement systems. • However, although the PPO is involved in some controls of PP via EKS, it does not officially exercise a coordination role over the EKS Management Team of MoI activities, or over the EKS evolution planning.

Managing Authorities (MAs)

Official role	Supervise the EU-funded procurement and ESIF Operating Programmes
Organisation	Each MA is a team within a large CA. Such CAs are mostly Ministries
Activities related to e-Procurement	– Collection and analysis of information on EU-funded public procurement – Verification of the process and of the result for each such procurement procedure
Other significant information	– MAs believe that they do not have any special access to information on each PP procedure currently. – MAs stated that they would like to have access to all information for all the stages of each procurement procedure. They feel that having the same level of access to information as any other user is not enough.

	– They would also like to have flexible tools for search, retrieval, aggregation and analysis of the information, as the current format of the available information is not useful. – Furthermore, they would need efficient ways (established processes and tools) for sharing knowledge, cases, and incidents among them. Although there is the ITMS2014+ monitoring system and the Coordination Committee under the PPO, the MAs believe that they work more as individuals rather than as a body.

Central Coordination Body (CCB)

Official role	The CCB for structural and cohesion funds in the Slovak Republic organises specialised training for personnel involved in ESIF management.
Organisation	The CCB belongs to the Government Office of the Slovak Republic.
Activities related to e-Procurement	Co-ordination role in the project for the "Development and implementation of a national e-Procurement strategy for the Slovak Republic"

Contracting Authorities (Buyers)

Activities related to e-Procurement	– conduct public procurement electronically – through IS EVO, EKS or private e-Auction systems – or on paper – may ask the CPB to conduct a procurement on behalf of them – may form a group with other CAs, to conduct a procurement together (e.g. to consolidate quantities, achieve better prices and reduce the overall administrative burden) – may conclude a framework agreement alone or in collaboration with other CAs – may ask for support and advice from the PPO
Other significant information	– It was mentioned that many CAs lack the knowledge of existing Slovak e-Procurement systems, therefore they cannot use them. – It was mentioned that many CAs do not have proper internet access[4].

[4] There are two basic projects for informatisation of the small cities: 1. DCOM and 2. Mini DCOM +. These fall under the Operational Programme Informatisation of Society (OPIS). There is also the priority axis No. 3 held by OPIS, which is focused on "white spots". Improvement of broadband internet access aiming to: increase

	– Even those who have access and know how to use the systems may not know how to use the full functionality and information content that IS EVO can offer to them. – CAs complained of lack of adequate support from the PPO. – The major wish of all CAs interviewed was for the systems to cover the entire procurement lifecycle.

Supreme Audit Office (NKU)

The Supreme Audit Office (NKU) is the primary external control body, reviewing procurement procedures for compliance with the law and issuing recommendations to the UVO. This independent body carried out just 46 audits of compliance and efficiency in 2013[5].

Antimonopoly Office

The Antimonopoly Office, an independent central body within the State administration, is the main oversight institution for the competitive element of the procurement system. Its main responsibilities include investigating bid rigging and cartels[6].

Audit Authority

The Audit authority under the Ministry of finance, which is responsible for ESIF area, is also be considered as a stakeholder in Public Procurement.

Economic Operators (EOs)

The Slovak economy is strongly dependent on SMEs, and they are quite active in the procurement system. However, despite the large share of smaller firms participating in tenders, the share of contracts won by them is just 25%, below the EU average of 29%, indicating that SMEs struggle to compete with larger, more established firms[7].

EOs emphasised as their top priority wish the "fair competition", i.e. being able to compete in equal terms with all other EOs, under the right procedure for each type of procurement, having exactly the

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broadband internet penetration, facilitate broadband internet access for all citizens and develop regional and local broadband networks in areas unattractive to commercial operators. A subsidy of EUR 113,177,826 is allocated for the 3rd Priority Axis. This state activity will be also continued in new programming period 2014-2020.

[5] Public procurement – Study on administrative capacity in the EU Slovakia Country Profile, EU, 2016

[6] ibid.

[7] Public procurement – Study on administrative capacity in the EU Slovakia Country Profile, EU, 2016.

same typical obligations with all other EOs participating in the same tender, given the same opportunities but also facing the same challenges.

Proposals by EOs for improving the e-Procurement environment:

- The appropriate procedure for each product type should be used. In many case EKS is used for simplicity and the e-Auction through electronic marketplace procedure is chosen, although the product under tendering has special characteristics and shouldn't get procured through e-Auction. Although the electronic market place of EKS is only for common goods, services and works, it is believed that it is used for non-common product types as well, a fact that could be qualified as a conflict with the PP law. This usually results to the serious EOs not participating, subsequently leading to suboptimal outcome.
- Each EO should subscribe to or get linked to certain product types or get certified for being eligible to trade certain product types only. It happens in many cases that EOs specialising in a certain product type appear to bid for a totally different product type.
- EOs should provide all required documentation and certifications prior to participation in a call for tenders. There are cases where the tender gets awarded to an EO who is then found to not be in compliance with the formal requirements.
  All formal requirements are well known to EOs prior to the submission of their bids, as they are described in a section of the call for tenders called "specific requirements for implementation". It's the responsibility of the EOs to be professional in the PP process via EKS. The problem of non-compliance exists.
- The visibility of the calls for tenders should be improved, e.g. by increasing the number of places in which they are published.
- A printed official contract – i.e. not just a printout of the electronic one – should be provided to the EO upon their request, as some authorities accept only the printed contract. Alternatively, one could identify such authorities and impose upon them to change their procedures so that they accept the electronic contract as well.

3.2 Technology

There are several systems directly or indirectly related to public e-Procurement:

- national e-Procurement systems with key roles: IS EVO and EKS
- e-Procurement systems of private vendors
- Central Registry of Contracts
- Journal of Public Procurement (by the PPO)
- other systems of the PPO
- other national systems
- EU-systems related to public procurement.

We summarise below the role of each system, with comments coming from the workshops and the questionnaire. More information regarding the involvement of the systems in the Public Procurement processes will be presented in the following Section "3.3 - Processes".

Information System of Electronic Public Procurement (IS EVO)

Purpose of the system	Central system for performing competitions for all types of goods, services and works of any value.
Short description	– The IS EVO supports various stages of the procurement lifecycle, including: • entry of request for procurement • publishing of the call for tenders • submission of tenders by EOs • evaluation of tenders • contract award. – All types of procurement procedures are supported: open, restricted, negotiated procedure with publication, Dynamic Purchasing System, qualification system. – All types of evaluation methods are supported: e-Tendering, e-Auction, based on lowest price or the most economically advantageous tender (MEAT). – It can be used by all CAs and CPBs. Its use is voluntary.
When it was developed	2007
Time to implement	nine months
Who developed it	IBM (in collaboration with the PPO)
Custom or packaged solution	Packaged solution (IBM ethics) – heavily customised
Evolution / upgrade	A system upgrade (extension of the functionalities) was implemented in 2012. No further evolution.
Administering team	PPO
Operating team	PPO
Supporting team	IBM and PPO
Traded volume	EUR 457 million (2015)
Cost To build To maintain/support To operate	 EUR 4.3 million EUR 240.000 -

Important observations and additional information include:

- IS EVO is considered as very complex, old, outdated and slow by many CAs and EOs. The fact that IS EVO did not evolve significantly since it was launched contributes to this.

- It was mentioned that many CAs prefer to use paper-based procedures than IS EVO, when they do not have to use EKS. However, the validity of this statement cannot be verified. It has been argued that there are a lot of specialists in PP who were used to paper-based procedures prior to the IS EVO introduction and, given the option, prefer to continue using them, instead of changing to what is to them a completely different approach.

- PPO partially attributes the complexity of the procurement procedure in IS EVO, which may indeed even be more cumbersome than paper-based procedures, to the legislation that IS EVO has to comply to. The rules for electronic procedures through IS EVO may be in some cases stricter and more complex than the rules for paper-based procedures.

- It was mentioned that there is lack of adequate training on IS EVO. Many CAs do not know the system to a satisfactory extent and many, although having been trained, do not know its full capabilities and content. A set of training resources is made available by the PPO[8], but their effectiveness and extent of usage by the CAs should be investigated.

- IS EVO does not support automated processes through a workflow management capability.

- IS EVO is considered satisfactory in terms of transparency, as every step is tracked, stored and fully auditable. All information about a procurement procedure is stored electronically in one place and is easily retrievable. The fact that it is operated by the Government and not by a private company was mentioned as inspiring trust.

- PPO obtains feedback from users of IS EVO via the Helpdesk. The feedback received will be taken into account in the improvement or redesign of IS EVO. It is not certain though if the Helpdesk alone is sufficient as a means to get feedback or if a dedicated feedback channel should be implemented.

- Although the two ex-ante controls are conducted manually, the procurement process through IS EVO accommodates satisfactorily both ex-ante controls.

- CAs and EOs commented on IS EVO's questionable technical reliability, as it has experienced crashes from time to time. The outages experienced could have been a result of an unstable

[8] PPO is organising training on a monthly basis. Additionally, there is an option for CAs to get individual consultancy under agreement with the PPO. PPO provides access to CAs as well to the "training" server EVO Learn for educational purposes. The "helpdesk" and "hotline" systems are available to all users, helping them to empower their skills (accessible every working day: 07:00 am - 04:00 pm by phone, or at any time by web-form). Finally, there is a FAQ for using IS EVO on the PPO website).

internet connection from the user's side or the internet provider's side. According to the questionnaire responses submitted by the systems' vendors though, the average downtime of IS EVO seems to be approximately ten times higher than that of EKS.

- Tenderers complained that they need Adobe Acrobat, a rather expensive software, to create and lock the tender documents before submitting them. According to the PPO, an information published as a new option for the tenderers states that the free software called "Adobe Acrobat Reader DC", allows the user to complete and sign the tender, so that the tenderers do not have to buy expensive software. Hence, if this software is adequate indeed, the tenderers should be properly notified, to avoid the confusion.

Electronic Contracting System (EKS)

Purpose of the system	Central system for performing competitions for commonly available goods/services/works, primarily below the threshold value and secondarily above threshold.
Short description	– The EKS supports various stages of the procurement lifecycle, including: • entry of request for procurement • publishing of the call for tenders • submission of offers by EOs for e-Auction • automatic selection of winners based on lowest price • contract award • evaluation of tenderers. – The method supported is e-Auction and the selection of the winning EO is based on lowest price – It can be used by all CAs and CPBs. Its use is mandatory for commonly available goods, services and works below the threshold value. It can be used voluntarily for other cases as well.
When it was developed	2014
Time to implement	two months
Who developed it	Anasoft
Custom or packaged solution	Custom solution

Evolution / upgrade	Continuous evolution since its initial commissioning
Administering team	MoI
Operating team	Anasoft
Supporting team	Anasoft and MoI
Traded volume	EUR 283,000 (for 2014)
Cost To build To maintain/support To operate	 EUR 6,4 million EUR 2,6 million per year EUR 320, 000 per year (estimate based on average number of transactions per month)

Observations and additional information include:

- The MoI EKS Team builds, operates and expands the EKS without this being part of a national plan for e-Procurement. MoI acts independently of the PPO, although the latter is the official national authority for Public Procurement and would be expected to have the complete monitoring and control of all e-Procurement systems. As discussed previously, this leads to friction between the two authorities and makes the two systems appear to CAs and EOs as opponents instead of co-actors. The legislation, by not defining clear boundaries between the types of procurement that should be treated by each system, worsens the situation.

- CAs like to use EKS because of its simple and quick procurement procedure implementation.

- Although it is mandatory to use it only for common goods/services/works, many CAs use it also for non-common goods/services/works, as it is an easy and simple solution, disregarding though the fact that it is probably not an adequate solution for such procurements.

- EOs agree that the system is simple to use and accelerates the procurement process. They also agree though that EKS is good specifically for the limited sub-set of procurement for which it is mandatory and for which it has been primarily designed and implemented. Using its functionality, designed for common goods/services/works for non-common goods/services/works is considered dangerous and hurtful to competition.

- The maintenance and operation cost of the system seems rather high: OPEX is approximately EUR 3 million per year. As we have no details of the contractual agreement between MoI and the vendor providing and operating the EKS, Anasoft, further comment cannot be provided.

- There is lack of trust by certain EOs and CAs because the EKS is operated by a private company. Real evidence or justified arguments were not presented to support this statement, so it may well be a result of perception and not of reality. Negative perception though is a serious issue that has to be dealt with in a proper manner.

- The MoI administration and support team is small and flexible and the relationship with the vendor is continuous and direct, so making changes (improvements, additions, fixes) to the system is a quick process which gives high flexibility and short delivery times.

- Although we have not received any negative comments or evidence, we must mention that a possible downside of such quick and flexible process may be the risk of non-fully auditable changes, especially considering the sensitivity of such a system.

- Certain CAs have expressed complaints about the black list not working properly in the system. They fear that blacklisted EOs are allowed to participate in auctions. Even worse, although this may be a simple technical issue, or an even simpler issue of misunderstanding, given the high perception of possible corruption, the users even fear that this may be a result of manipulation of information.

- According to the MoI, the black list is working properly; however it is possible for an EO that is on the blacklist to participate in auctions and also to win a tender. The CA can though withdraw from the contract in the case that such EO wins the tender. The reason for this is that some EOs might have been put on the blacklist without proper analysis of the situation or even with the purpose of getting harmed by a CA (as the communication with the EKS support center suggests).

- All users like the automation that EKS offers, as it relieves them of boring, tiresome and long manual tasks. On the other hand, they also recognise that too much automation may have negative side-effects resulting from the lack of control over parts of the process. The following case is an example: When the reverse auction process is finished the winning tenderer is awarded the tender. The contract is automatically created and also automatically sent to the Central Registry of Contracts, where it is published. Sometimes though the contract is cancelled because the winning tenderer is found not to comply with the typical requirements of the tender. This is in conflict with the fact that the contract has already been published and will remain published forever, appearing as a valid contract.

Other vendors' e-Procurement systems

For procurement cases of low value, where the use of EKS is not mandatory, the CAs are free to use private e-Procurement systems provided by external vendors upon a certain fee. Regarding certification, the PPO only certifies systems used for holding electronic auctions. There are 13 certified systems for holding an electronic auction, including the auction module in IS EVO, and in Electronic market place (EKS). It is not clear thus if other private non-electronic-auction e-Procurement systems can be also used by CAs, but do not have to be certified by the PPO.

Information received from CAs who are using one such system (Proebiz) shows that its functionality – at least the functionality used – is similar to the functionality of EKS. A significant difference lies in the fact that such systems are for a one-off use, therefore detailed historical information for past procurements is not available.

Central Registry of Contracts (CRZ)

All contracts above a certain amount have to be uploaded to the Central Registry of Contracts. IS EVO is not integrated with the CRZ. EKS has its own central registry of contracts from EKS (which is called "CRZT").

Journal of PP (provided by the PPO)[9]

Specific information and associated documents delineating certain steps of all procurement procedures have to be uploaded to the Journal. Typical information published includes: calls for tender, award, exceptional cases, invoiced amounts.

IS EVO is integrated to the Journal and uploads automatically the required information, while EKS is not integrated and information has to be entered manually.

According to the CAs interviewed, the rules regarding: what has to be uploaded, to which system and in which cases are very complex. As a result, public officials are usually not sure about their exact obligations regarding the information and documents that have to be uploaded and quite a few mistakes are made.

EOs can sign up in the Journal and get notifications for tenders that interest them.

The Journal offers a search facility where a user can enter various criteria in order to search for Public Procurement data and documents (www.uvo.gov.sk/vestnik-590.html). Furthermore, the PPO offers a tool called "Profile of the CA", also providing a search facility. The CAs are obliged by law to publish the documentation from the PP process (www.uvo.gov.sk/vyhladavanie-profilov-4db.html).

[9] The Office for Public Procurement publishes the Official Journal of Public Procurement under the Public Procurement Act in electronic form. In the Journal there are notices used in public procurement, sent by the procuring entities, which are published on a daily basis. Other information under the Public Procurement Act is published as well. The Official Journal of Public Procurement is fully integrated with the IS EVO system (e-Procurement platform) and IS ZÚ system (IS Data Collection) to be used in automatic transmission of notices used for public procurement in the Official Journal of Public Procurement and for other types of electronic filing of applications. The IS ZÚ has implemented e-Sender service that is available for any type of over threshold notices and ensures the sending of notification from one place, which simplifies the procedure for completing the notice and at the same time is ensuring equality of content for sending notices to the Journal of the Publications Office and in the Official Journal of Public Procurement of the Office for Public Procurement. The Official Journal of Public Procurement is not integrated with the EKS, which provides separate disclosure of contracts declared through mentioned system, however part of EKS is integrated to the IS ZÚ to ensure the transmission of notices used in public procurement.

The Official Journal of Public Procurement allows full text search as well as search of notices according to various criteria. The Official Journal of Public Procurement, in addition to the IS EVO and IS ZÚ, is also linked to the Electronic storage, in which the contracting authorities/entities have created the "Profile VO/O". Procuring entities in the "Profile VO/O" fulfil all obligations regarding the disclosure of documents and information under the Public Procurement Act, disaggregated by individual public procurement, all in one place.

The Office for Public Procurement provides help desk (by phone or email) as well as provides support in the form of documentation to the user interface, user manuals and documents that describe the obligations of awarding entities in relation to the procurement process for all the systems IS EVO, IS ZÚ and the Electronic storage ("Profile VO/O"). *Source:* PPO.

Other systems of PPO

- **IS UVO**: Information system of the PPO. The IS UVO provides comprehensive support for the submission of documents in electronic form, as well as secure data storage for and access to documentation in accordance with the law. The IS UVO is integrated with IS EVO.

- **IS ZÚ**: Information system of Data gathering. It acts as a front-end to IS EVO. IS ZÚ is also integrated Tenders Electronic Daily (eSender) and is used by all CAs who have to submit calls for tender to TED.

Central Portal of Public Administration (UPVS)

The UPVS provides central and unified access to information resources within the public administration, as well as a number of flexible communication means for information input and output. The UPVS is connected to various information repositories of the public sector, such as criminal records, social security records, tax records etc. It provides a single contact point to all the repositories it is connected to.

It can be accessed by physical persons using electronic forms, but it also provides the necessary interfaces to be integrated with other systems, for automatic transmission of information.

The UPVS consists of a number of modules, each module providing a set of open services that can be used by individuals or by third-party systems. We provide below an outline of selected UPVS modules:

- **Payments module (*Platobný modul,* MEP)**: This module allows users to make payments to public authorities and can be used as one of the available payment channels. It provides for the generation of payment orders, saving of the proof of payment or failure of payment and integration with the State Treasury.

- **eForm**: A module for the creation, use and management of electronic forms. The user (developer) can create an electronic form with his preferred content, define a workflow (e.g. for approval process) and publish the form. He can have access afterwards to the data entered by other users (visitors) in the form.

- **Electronic delivery module (*Modul elektronického doručovania,* MED)**: a module enabling the delivery of electronic documents, keeping records about the time and date of successful (or unsuccessful) delivery. It includes standard BPM (Business Process Management) features, as it integrates all modules of UPVS.

- **eNotify**: Module that provides web services for flexible transmission of information (notifications) via SMS or e-mail, to individuals or to groups, keeping historical records of all (successful and unsuccessful) communications.

- **eDesk**: Provides an interface to the external user for sending and receiving electronic documents to and from various systems in the public sector. It provides an interface (API) to support the integration with third-party systems, thus allowing for the automated transmission of documents.

Some modules of UPVS are integrated with the IS UVO (mentioned in Section “0 - Other systems of PPO”), but not with IS EVO

Current integration status of IS EVO to other systems

Table 1. Integration of IS EVO to other systems

System	Description	Go-live	Integrated to IS EVO?	Integration year	Owner
IS ÚVO	Information system of the PPO	2011	yes	2011	PPO
eVestník	Journal of Public Procurement	2011	yes	2011	PPO
IS CSÚ	Information system of Central data administration	2011	yes	2011	PPO
IS ZÚ	Information system of Data gathering	2011	yes	2011	PPO
DMS	Document management system (IS ÚVO support module)	2011 and ongoing	partially	ongoing	UVO
eSender	TED service for sending notices online		yes	2009 (IS EVO) 2013 (IS ZÚ)	EU Publications Office
ISUF	Information system of funds accounting It is operated and developed by the Certification body which ensures the financial management, accounting and payment execution of EU funds	2003	no	to be defined	Ministry of Finance
ÚPVS	Central portal of public administration	2015	partially (IS UVO yes, IS EVO no)	2015	National Agency for Network and Electronic Services
eNotify	Notification module (ÚPVS)	2014	partially (IS UVO yes, IS EVO no)	2015	National Agency for Network and Electronic Services

System	Description	Go-live	Integrated to IS EVO?	Integration year	Owner
eForm	Module of electronic forms (ÚPVS)	2015	partially (IS UVO yes, IS EVO no)	2015	National Agency for Network and Electronic Services
MDURZ	Module for long-term registry of electronic of UPVS files (ÚPVS)	2015	partially (IS UVO yes, IS EVO no)	2015	National Agency for Network and Electronic Services
MED	Module of electronic delivery (ÚPVS)	2014	partially (IS UVO yes, IS EVO no)	2015	National Agency for Network and Electronic Services
MEP	Module of electronic payment (ÚPVS)	2015	partially (IS UVO yes, IS EVO no)	2015	National Agency for Network and Electronic Services
CEP	Module of Central electronic registry (ÚPVS)	2008	partially (IS UVO yes, IS EVO no)	2015	National Agency for Network and Electronic Services
eDesk	Module of electronic communication mailbox (ÚPVS) Users receive documents of public administration (certificates, decisions, etc) and send documents to public administration authorities. Mailbox enables document authorisation, payment execution and administration of messages.	2014	partially (IS UVO yes, IS EVO no)	2015	National Agency for Network and Electronic Services
EKR	Electronic communication interface of UPVS with the UVO mailbox (ÚPVS)	2014	partially (IS UVO yes, IS EVO no)	2015	National Agency for Network and Electronic Services

System	Description	Go-live	Integrated to IS EVO?	Integration year	Owner
IAM	Interface of UPVS for signing-in into UVO portal and for authentification of web services calls (identity and access management) (ÚPVS)	2014	partially (IS UVO yes, IS EVO no)	2015	National Agency for Network and Electronic Services
UIR	interface of UPVS ensuring document delivery into UVO mailboxes (ÚPVS)	2014	partially (IS UVO yes, IS EVO no)	2015	National Agency for Network and Electronic Services
CEDIS	Central electronic database information system	< 2009	no	to be defined	Ministry of Finance
e-SENS	Electronic Simple European Networked Services The aim of e-SENS is to facilitate the deployment of cross-border digital public services with a strong focus on e-ID, e-Documents, e-Delivery, semantics and e-Signatures.	>= 2019	no	to be defined	Project Coordinator: Ministry of Justice NRW, Germany Participants: various countries
eCertis	e-CERTIS is a free, on-line source of information to help companies and CAs cope with the different forms of documentary evidence required for cross-border tenders for public contracts in the European Union.	2010	no	to be defined	EC
ESPD (JED)	The ESPD is a self-declaration form used in public procurement procedures by public buyers and businesses in the EU.	2016	no	to be defined	EC
IMI	Internal Market Information System. Launched in 2015 as pilot project for e-Procurement (other areas already under implementation)	2015	no	to be defined	Ministry of Economy (responsible) Developed jointly by the European Commission and national administrations

System	Description	Go-live	Integrated to IS EVO?	Integration year	Owner
ITMS	IT monitoring system. ITMS is central information system which serves as a registry and following the processing, export and monitoring of programming, project and financial management, control and audit for programme period 2004-2006, 2007-2013 (ITMS II) and 2014-2020 (ITMS2014+).	2008 (ITMS) 2015 (ITMS 2014)	no, but ready for integration	to be defined	Deputy Prime Minister´s office for Investments and Informatisation of the Slovak Republic – CCB – Department of the ITMS.
Open e-PRIOR	Open Source e-Procurement platform accessible for all public bodies interested in a pilot eProcurement.	2009	no	to be defined	EC
VCD Virtual Company Dossier	The VCD tools are available as web applications within different National VCD Systems. The Virtual Company Dossier (VCD) system provides a set of tools to support national or cross-border public buyers and their suppliers in the pan-European tendering phase.	to be defined	no	to be defined	UVO

3.3 Processes

The obligation to use of the two major systems of public e-Procurement is defined by the legislation as shown below:

	Common goods, services, works	*Non-common goods, services, works*
Above threshold	IS EVO or EKS or other private system or manual process	IS EVO or EKS or other private system or manual process
Below threshold	EKS	IS EVO or other private system or manual process

The use of an electronic procedure is mandatory only for common goods/services/works below the threshold and only for the CAs.

The **definition of thresholds**[10] **in general seems to be an issue**, considered very complex by stakeholders.

- **Go-to-tender threshold** is EUR 5,000 (for commonly used goods/services/works). Below this limit the procurement is considered as "low-cost" and there is no need for tender
  Exceptions though include:
  - Some services (e.g. Consulting services, Hotel for an event etc) have special treatment and they don't have to go through tender for much higher limits, (e.g. amounts up to EUR 200,000. Such services are tendering as low value contracts, according to EU Directives.
  - Procurement related to the Slovak Republic's Presidency in Europe can have much higher limits than 200 k€. Contracts which are related to the Slovak Republic´s Presidency are excluded from the PPA if they are below the thresholds and if they are not common goods, services and construction works (§ 1, article 12, letter l of the PP act).
  - In case of ESIF, there are some specific rules for low value contracts, which have to go to tender
  - Low value contracts – outside of ESIF – may go to tender via market research.

- **General thresholds**:
  - Services and goods: EUR 135,000
  - Groceries (subset of goods): EUR 40,000
  - Construction: thresholds vary depending on the case, and are quite generally complex.

[10] PPO has published on its website www.uvo.gov.sk/legislativametodika-dohlad/metodicke-usmernenia/vseobecne-metodicke-usmernenia-zakon-c-3432015-z-z--51e.html, a guidance (with number 2-2016) regarding the thresholds for better orientation for application of procedures which are set in the PPA.

For any procurement below the general thresholds (and above the go-to-tender threshold) a tender is mandatory. Again, electronic procurement is mandatory for common goods/services/works only.

For procurement above the general thresholds, a tender is also mandatory. Electronic procurement though is voluntary.

- **Publication thresholds** depend on the case and are considered very complex:
  - Journal of PP: publication depends on different thresholds
  - Central Registry of Contracts: publication depends on different thresholds
  - website of the Authority: publication depends on different thresholds
  - EU Journal: above a certain threshold the procurement has to be published

The required content of each publication is also complex. CAs admit that they sometimes make mistakes; the control however is not very strict either, and they rarely get penalised.

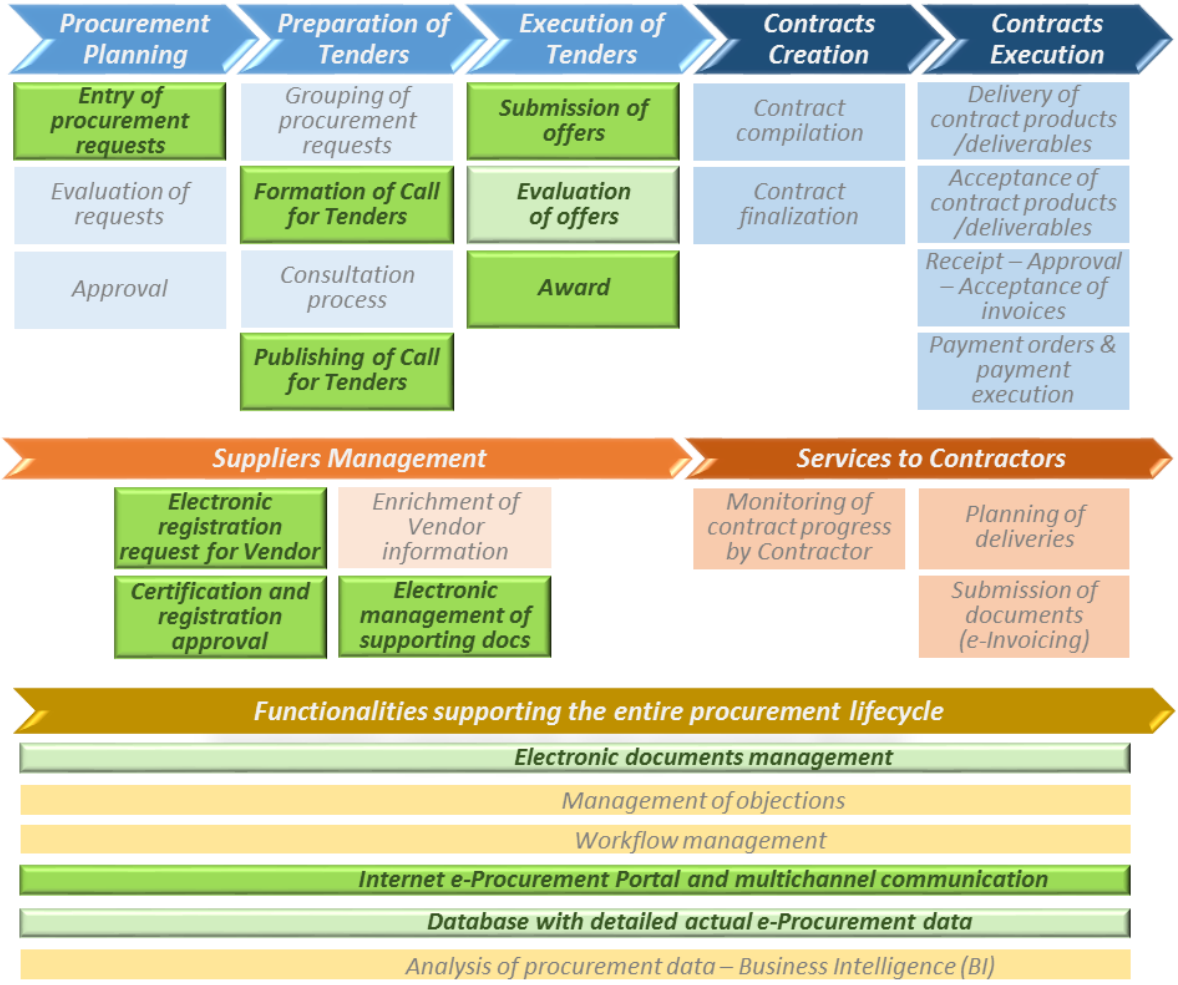
The report will present separately the procurement processes through IS EVO and through EKS, as the systems and respective processes have many differences.

Procurement process through IS EVO

System coverage

We show below the coverage of the end-to-end procurement process by IS EVO as understood from the workshops and material received. A generic framework for the procurement lifecycle has been used. The vivid green items are the ones covered by IS EVO, while the light green ones are the ones either partially covered or mentioned as covered, but not confirmed during our discussions.

Figure 1. Coverage of the PP cycle by IS EVO



Process description

- ***Initial CA registration (first time request for the CA)***
  The CA submits the request for procurement for the first time to the PPO on paper. The PPO registers the request to IS EVO and sends the registration ID to the CA with the newly created username/password. The CA can then enter into IS EVO and manage further the request.
  For subsequent requests, the CA uses the credentials provided by the PPO in the initial registration and submits and manages their requests without the need to contact the PPO.

- ***Procurement planning (future requests for a CA)***
  The CA records the procurement requests in IS EVO. The request approval by the appropriate persons/entities is manual and not recorded in IS EVO.

- ***Preparation of tenders***

  The CA enters the documents for the call for tenders in IS EVO. CAs can ask for help at the helpdesk of PPO.

  When a procurement procedure is initiated in IS EVO the respective notice can be sent to the National Journal of PP through the system "IS ZU". The submission is not automatic though. If required (according to the relevant thresholds), it is also sent to TED, as IS ZU has e-Sender capability.

- ***Execution of tenders***

  The EOs can sign up in the National Journal of PP and get notifications for tenders that interest them. The EO has to register separately to IS EVO for each procurement procedure. After registration the EO receives a certificate for the procedure, which he uses to sign the cover letter when submitting the tender. The cover letter lists all documents included in the tender. The tender is encrypted at the time of submission by the EO.

  Tenders are decrypted when opened. The technical evaluation is performed offline. The result only is entered in the system. Financial evaluation follows. If the tender procedure is based on lowest price, then the tenders are characterised as pass/fail regarding the technical criteria and the lowest price wins. In case of MEAT, the technical offers are rated and the overall rating of each tender is a function of the technical evaluation rating and the price.

  Sixteen days after the tender is won the Contract Award Notice is generated by the CA in IS EVO. CAs can send it then to the National Journal. This is the last step of the process in IS EVO.

- ***Contract creation***

  The IS EVO system does not generate the contract automatically, but the CA creates the contract outside the IS EVO and uploads it into the system.

  Contracts have to be published in the CRZ. If a contract above these thresholds is not published, then it is not valid. The contract is signed on paper.

- ***Contract management***

  Invoices and payments are not managed or recorded in IS EVO nor anywhere else either in electronic form.

  Amendments and the closing of the contract have to be registered in the CRZ, but not in IS EVO.

- ***Complaints management***

  EOs submit a complaint form to the PPO on paper. The objections management is then conducted in a system other than IS EVO. The Department of Remedy (PPO) handles the objections.

Observations and additional information

The process is voluntary for any kind of procurement, i.e. CAs are not obliged to use IS EVO and in general are not obliged to use electronic means for any kind of procurement, except for common goods, services, and works below the threshold, for which it is mandatory to use EKS.

CAs consider the procurement process through IS EVO as complex and many of them do not want to use IS EVO for this reason. They even prefer to use paper. Although IS EVO is considered by many as a non-user friendly system, part of the complexity, as mentioned by the PPO, is attributed to the process itself, which reflects the unclear legislation. It seems that the electronic process, as defined by the legislation, has a higher degree of complexity than the manual one, for over the threshold procurement.

CAs are also free to use privately owned e-Procurement systems, offered as a service by external vendors. There are approximately 13 systems for holding an electronic auction, certified by the PPO, that can be used. The fact that CAs prefer to use in many cases such external systems and pay for their use, although they could use IS EVO for free, is an additional indication of the reluctance to use IS EVO.

IS EVO does not support the implementation of the two ex-ante controls in an electronic way. The procurement process through IS EVO though is designed in such a way that it fully supports the manual execution of the ex-ante controls, by including control points where the clearance from the ex-ante control is expected in order for the process to continue, both at the point before publishing the call for tenders, and at the point before awarding the contract.

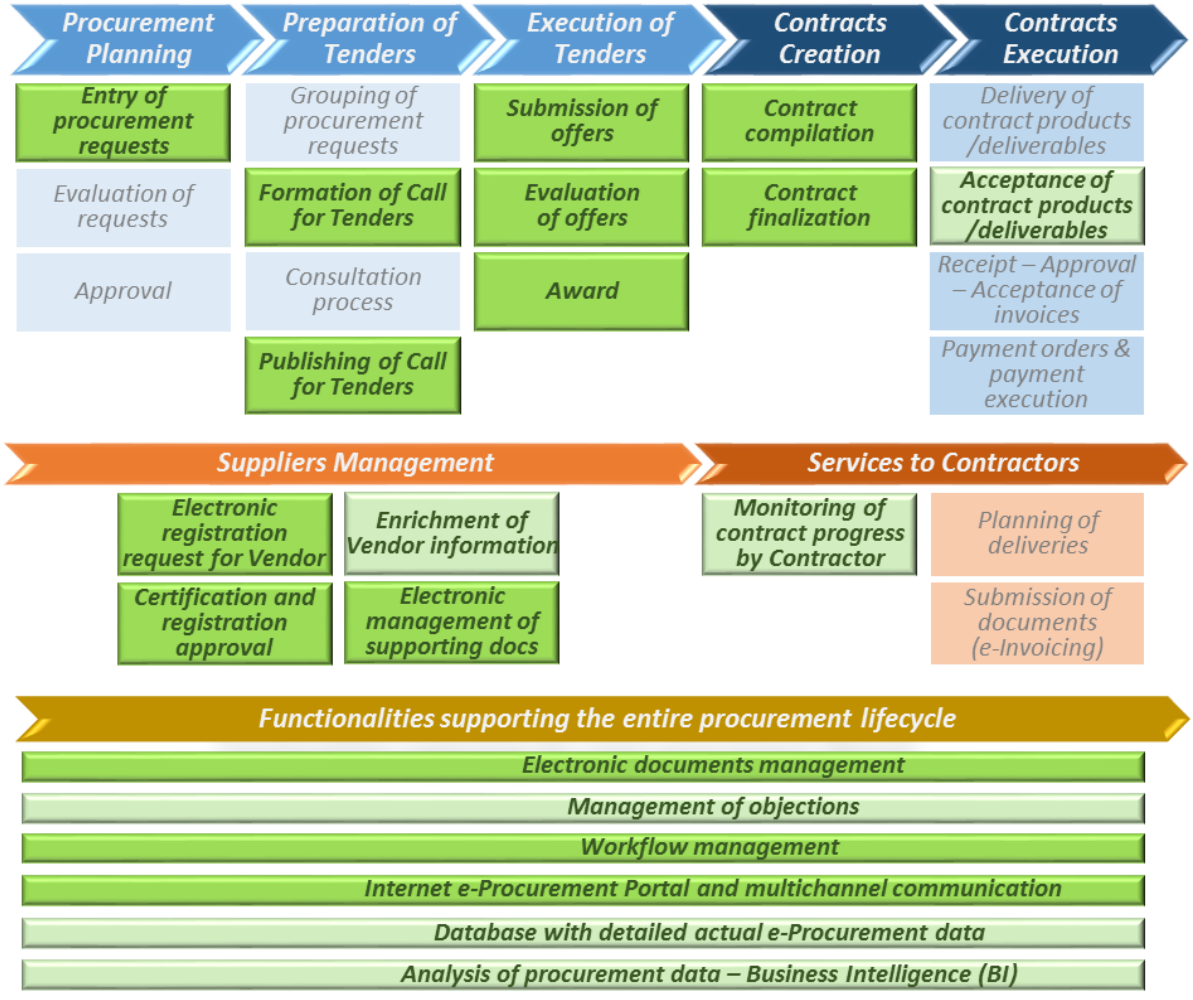
CAs mentioned that it would be very helpful to have as many as possible templates available for them to be able to use when creating the tender documentation, in order to re-use previous work and experience. In a different discussion with CAs it was mentioned though that there are many templates in IS EVO, but users are unaware of these, indicating a lack of organised training on IS EVO, on the related procedures, and on good practices for a user to do their job effectively and efficiently.

Procurement process through EKS

System coverage

The below chart presents the EKS coverage of the procurement process and follows the colour approach previously explained.

Figure 2. Coverage of the public procurement cycle by EKS



Process description

- ***Initial user registration***
  CAs have to register in EKS. In this system, CAs include some private organisations that receive more than 70% public funding. After registration, the CAs receive an envelope by mail with the credentials. One CA can have multiple codes, each for a different person in the CA organisation. 5,000 CAs are currently registered.

- ***Procurement planning***
  When a CA wants to procure something simple, they only have to specify the item, amount, time and location of delivery of goods/services/works.

- ***Preparation of tenders***

There is a library of descriptions for CAs to get material from. Every new description is stored in the library. The library currently includes around 50,000 descriptions. A CA can copy a description from the library and reuse it.

- ***Execution of tenders***
  When submitting an offer, the EO can only agree to the description of goods, in case of simple tenders of supplies. The EO can ask questions, in case of other types of tenders. The bidding period is 72 hours. EOs do not know which CA is running the tender and cannot see which are the other EOs participating. Since the tenderers´ bids are published in anonymous form, nobody can see who participates, although it is believed by some that CAs can see which EOs participate.
  Everybody can see the last price offered (not the lowest though) and his own ranking. For supplies, at the end of the bidding period there is an e-Auction of 20 min between the three lowest offers (with additional time extensions when there is a submission in the last one minute). The lowest offer wins.

- ***Contract creation***
  When there is a winning bidder, the system automatically prepares the contract and sends it to the winning bidder. For tenders above the EU threshold there is a waiting period of 16 days. If there are no objections, the contract can be created.

- ***Suppliers management***
  There are 12.000 EOs registered. The registration process for EOs is the same as for CAs. At the end of the contract execution the tenderer is evaluated by the CA and the result is stored in the system. There is a black list of tenderers, based on CAs evaluations.

- ***Services to contractors***
  An EO can create his own black list, where he enters the CAs that he does not want to work with. If the EO is about to participate in a tender of a blacklisted CA, the systems will warn him that the CA is in this EO's black list.

Observations and additional information

EKS is a mandatory process for common goods, services and works below the threshold for the CA. Many CAs use it though for other types of procurement, although the process is too simple for such procurement. Legislation does not clarify which goods/services/works are considered "common".

All EOs can submit offers for a tender without any check for having the required certifications and documentation. The check is only done at the end of the tender process, for the winning tenderer. As a result, there are cases where the winning tenderer is found to not have the necessary certifications and the procedure is cancelled, having to start over from the beginning.

In the case of the e-Auction process for simple tenders, the contract is automatically generated and published at the contracts registry at the closing of the e-Auction. If the tender is cancelled and the contract cannot be awarded, then the contract registry will have incorrect information.

– Furthermore, the automated contract generation and publication according to the current process does not allow for the proper implementation of the 2nd ex-ante control, which is supposed to be conducted prior to the contract award.

– Despite the information material available at the EKS website, it is believed that training for the EOs is required both on the system and on the processes.

– MAs believe that the current procedures for the calculation of the estimated contract value are not adequate enough to produce a good result. MAs recognise this as a serious issue. The estimation of the contract value, according to MAs, should be performed automatically, based on the results of previous public procurements in the EKS and not just from the offers, as done today.

– Contracts, according to MAs, are considered too generic and not elaborated enough. Many items should be added to the special conditions section.

Types of procurement procedures

Figure 3 shows the types of procurement procedures supported by the two e-Procurement platforms [11].

Figure 3. Type of public procurement procedures by system

	Electronic public procurement									
	Above-the-threshold contracts								Below-the-threshold contracts	
	Open procedure			Restricted procedure	Negotiated procedure with publication	DNS – Dynamic purchasing system		Qualification system	Without using e-market	With using e-market
IS	EVO	EKS	EKS	EVO	EVO	EVO	EKS	EVO	EVO	EKS
Specifications	Open for unlimited number of candidates	NET – Above-the-threshold e-market	PPVO – electronic support of public procurement processes	CA/buyer can limit the number of tenderers who are invited to submit a tender	Open for unlimited number of candidates. It is used only under certain circumstances	It is fully electronic process realized as an open procedure	Restricted procedure	Specific to buyer	EVO enables electronic auction with the lowest price and MEAT criteria	EKS enables only electronic auction with the lowest price criterion

[11] Based on The difference between the EPA system (e-procurement) and ECS (electronic contracting system), (PPO website) and information from MoI.

3.4 Legislation

New legislation has been in force since 18 April 2016, the Public Procurement Act (PPA).

The PPA, as mentioned by the PPO, transposes all the requirements stated in the EU Directives on Public Procurement.

The legislation (Act of PP and Act No. 305/2013 Coll. of the e-Government) defines specific dates on which certain capabilities should be in place, such as e-Catalog and e-Signature. In summary:

- a number of functional items should be available on 1 March 2017, pursuant the Act No. 305/2013 Coll. of the e-Government
- electronic tenders are mandatory for all CPBs since the new PPA is in force and electronic tenders will be mandatory for all CAs for all procurement by 1 April 2017.

It must be noted that the deadlines defined in the Act are in general much earlier that the respective deadlines in the EU Directives.

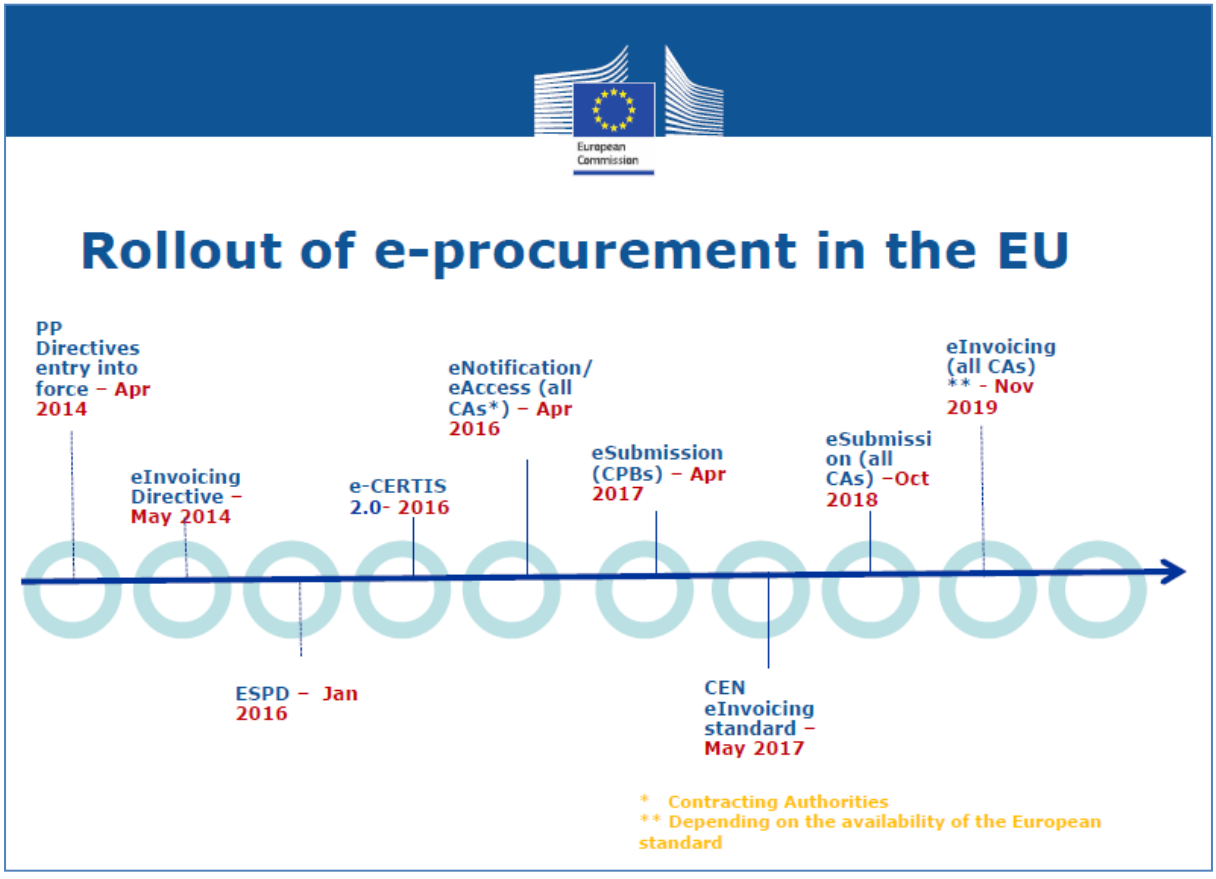
The absolute priority of the PPO for the planning of further actions regarding the public procurement and especially e-Procurement is the compliance to the Act of PP, in terms of capabilities that have to be in place on the defined deadlines. As a matter of fact, if the required capabilities are not in place within the deadlines defined by the law, the PPO (or the State in general) may get sued by EOs or other parties.

In October 2016, information received by the PPO indicated that a legislative proposal is under preparation, aiming to shift the full support of electronic procurement pursuant to the EU Directives. Although the relevant amendment to the legislation is not yet in place, it has been agreed that, based on the PPO's information and only for the purposes of the Strategy Implementation Roadmap definition in this document, that the legislation reflects the EU deadlines regarding Electronic Public Procurement will be assumed. Specifically:

- ***April 2016*** eNotification / eAccess (all CAs)
- ***April 2017*** eSubmission (CPBs)
- ***October 2018*** eSubmission (all CAs)
- ***November 2019*** eInvoicing (all CAs) – Depending on the availability of the European Standard

The summary rollout plan of e-procurement in the EU is presented below.

Figure 4. Rollout of e-procurement in the EU



3.5 Projects in progress

A very ambitious project is currently in progress in the Slovak Republic, the "Project of Electronisation of Public Procurement" (from now on the "Project").

Objectives

The main objective of the Project is to implement the necessary changes and additions to the IS EVO in accordance to existing legislation, including specifically: the Act of Public Procurement (in force since 18 April 2016), the Act No. 305/2013 Coll. of the e-Government.

A secondary objective of the Project is to implement the IS SVO, the new System of Public Procurement, which will include a number of additional elements compared to the IS EVO, which, although not immediately mandatory according to the legislation, will certainly contribute towards the improvement of the Public Procurement environment.

Summary of the project structure and timeline

The Project is divided in two parts:

- **Part 1**: Analysis and design of the solutions (Analytical part of project).
  Part 1 includes the analysis and design of the full solution, including both Phase 1 and Phase 2 solutions (see below definition of Phase 1 and Phase 2).
- **Part 2**: Implementation of Phase 1 solution, including: implementation of Hardware and Software components, Training, User acceptance tests, pilot run of Phase 1 solution.
  "Priority" requirements pursuant both Acts (Act of PP and the Act of the e-Government) will be implemented in the Part 2. The date of completion of Part 2 is determined in accordance with the deadlines defined by the law (Act of PP – 1/4/2017 and Act of the e-Government 1/3/2017).

A **Part 3** was initially included in the project, according to the description provided by the PPO in September 2016. This part consisted of the implementation of Phase 2 solution, including: implementation of HW and SW components, training, user acceptance tests, pilot run of Phase 2 solution. Phase 3 would be implemented with the additional requirements in terms of functionality. Phase 3 completion date was set for the third quarter 2017.
According to the PPO's comments one month later (October 2016), Part 3 (and related Phase 2), was de-scoped from the Project and is considered now as a part of the Project for the implementation of the IS SVO. As this information is new with no further detail, Part 3 (and related Phase 2) will be considered as included in the Project, even if the Part 3 scope is going to be implemented in a new system.

Scope

Phase 1: Changes in IS EVO which must be done by 1 April 2017:

1. Electronic communication:
   – login to the entire IS EVO by the use of electronic ID card
   – full support of electronic procurement for all procedures and phases[12]
   – qualified electronic signature – E-signature
   – integration of IS EVO to UPVS

2. Notices:
   – avoid the possibility to publish a notice in the Journal of Public Procurement and IS EVO prior to its publication in the Official Journal of the European Union, except for cases specified by the legislation

[12] This part of the scope may be moved to a later milestone, due to the upcoming legislation change mentioned in "Section 3.4 - Legislation".

3. Procurement documentation:
   - modification of access to the documents in the menu "Procurement documentation" to automatic setting "public"

4. Electronic auction:
   - login by the electronic ID card
   - modification of the invitation to participation in the electronic auction

5. Dynamic purchasing system:
   - change/modification of the procedure of the dynamic purchasing systems from open procedure to restricted procedure (already implemented)

6. Electronic forms:
   - module of electronic proposals (proposal for objections, appeal against the decision of the objections, proposal for the entry in to the register of economic operators, etc.)
   - module of electronic decisions (PPO decision on objection, PPO decision on the appeal against the decision on objection, other PPO decisions)

Phase 2: Recommended changes in IS EVO which are planned to be implemented by Q3/2017[13]:

1. Electronic communication - recommended integrations:
   - integration to register persons ban on participation in public procurement
   - integration to register EOs
   - integration to register references
   - integration to e-Certis (preferred to be implemented in a different project)
   - integration to register of financial statements
   - support the processing of ESPD.

2. Procedures of public procurement - finalisation of new procedures in public procurement:
   - innovation partnership
   - competitive procedure with negotiation
   - design contest
   - competitive dialogue

3. Availability of documents:
   - closer integration with the information system of data collection

4. Electronic catalogue:
   - incorporation of support for the proposals in the form of electronic catalogues,
   - incorporation of support for evaluation and simple processing of the tenders submitted in the form of electronic catalogues.

[13] According to the PPO (information received on 18 October 2016), and as also previously mentioned in this report, the scope of Phase 2 will be "part of the IS SVO". As no further information has been provided, the analysis is based on the assumption that this scope will be implemented anyway, even if in a different system.

Approach

A study took place to identify in detail the points of integration and the required new functionalities that are mandatory in order for the PPO to be compliant to the PPA and Act No. 305/2013 Coll. of the e-Government. Based on this study the scope of the

Project was defined, as described above, according to information provided by the PPO in September 2016.

Later, according to information provided by the PPO In October 2016, the Project scope changed and the Phase 2 scope was transferred to the "new IS SVO", presumably another project with objective to implement a new public e-Procurement System called IS SVO.

Regarding the implementation approach, the Module of E-Forms (including two submodules) will be created by the PPO technical team. Scope items of Phase 1 will be implemented by the current IS EVO vendor, without the need for an open tender.

All other scope items and all new functionalities will be implemented by an external vendor after an open tender, probably as part of the implementation of the "new IS SVO".

Comments

The Project is at a very early stage yet and none of the tendering activities for the selection of the vendor that will implement the integration with UPVS and the additional functionalities have started yet.

The implementation of the Project in such a short period, for 1 March 2017, seems impossible, unless the PPO manages to run the tendering procedure in an unusually small timeframe (e.g. two months) and the selected vendor manages to implement the urgent requirements in an equally unusually small timeframe (e.g. four months), hence the characterisation of the Project as "very ambitious".

Furthermore, according to information provided, the Project focuses on systems changes, without taking equally into account the people and process aspects of the coming change. The PPA requires that by 1/4/2017 all CAs conduct all tendering procedures electronically[14]. Today many (or most) of the CAs do not use IS EVO for various reasons:

- They find it too complex and difficult to use, even compared to paper.
- They do not know how to use it, because of lack of proper training.
- Even if they know how to use it in theory, they do not really know its entire capabilities (CAs have admitted that IS EVO has certain useful functionalities and content, the existence of which is unknown to many users).

[14] As previously mentioned, the possible upcoming changes in the legislation that will reflect the longer deadlines will be taken into account only in the definition of the Strategy Implementation Roadmap. In all other places of the document, the legislation is considered as-is.

It is questionable thus how all CAs will start using IS EVO for all their tendering procedures in April 2017, without having gone through the appropriate training, not only on the existing IS EVO functionality but also on the additional one.

In addition, the current resistance of the CAs to use IS EVO "voluntarily" may well become much higher as soon as the use of IS EVO is imposed on them without having done any actions to improve it[15]. High resistance, even in an enforced change, may result in failure.

According to the PPO, the use of IS EVO specifically will be not mandatory for tendering procedures in April 2017, as there are also other private systems which the CAs can use. According to the PPA, the PPO has an obligation to provide an information system for electronic public procurement, but it does not specifically have to be the IS EVO. The mandatory use of other systems would relieve the pressure from the IS EVO, but it would introduce other types of complexity and risk. Indicatively, the PPO would need to choose one or more private systems and such choice might take a long time given that this would mean outsourcing most of the country's public e-Procurement to one or more private companies. Criteria of high capacity, reliability, confidentiality, security, required training, controllability, etc., would have to be defined and evaluated for all candidate private platforms. Therefore, such alternative solutions are considered equally risky.

[15] We assume here that such actions will not be taken, at least in the near future, as we haven't received any related information.

4 Current state assessment

4.1 Objectives of e-Procurement implementation

For the purpose of developing the National e-Procurement Strategy for the Slovak Republic, the OECD considered the following objectives for the implementation and usage of e-Procurement in the country. These goals were drawn from common public e-procurement practices, but also from the replies to questionnaires, where these items were recurringly brought up:

Reduce public spending: Better processes and systems should be built so that we get high participation of suppliers, accurate offers, less canceled procurement procedures. Processes and systems to promote participation in volumes and quality are in place, but there is a need also to analyse big volumes of data (from past procurement procedures) to understand the market and estimate fair prices.

Imposing transparency: should be the most obvious objective for any e-procurement environment. All groups of people, including CAs, controlling Authorities, suppliers, all other persons, should have access to certain characteristic information of each public procurement procedure—access should be easy and flexible, with a good search engine, traceability of procurement steps, quality and consistency of information presented, etc.

Promoting fair competition: It is not enough to achieve better prices. It is equally important to promote fair competition, by making it easier for as many as possible potential suppliers to participate in public tenders and, in general, by ensuring that all suppliers are offered the same opportunities for participation in public tenders.

Simplify and accelerate the procurement process: It is important to ensure simple processes for the CAs, for CPBs, and for EOs, so that using e-Procurement might be considered as an attractive solution, instead of an obligatory burden. Simpler and faster procedures would mean reduced costs to run a procurement process and better results, as it would focus on the content (how to get a better quality product/service at a lower price) and not on the process itself.

4.2 Approach of the assessment

The following sources of information were used for the current state assessment:

- information collected from the workshops during the two missions (March and June 2016)
- questionnaires replied by the Authorities administrating the systems, systems vendors, CAs, MAs and EOs
- material produced by the Slovak Republic
- publicly available material on PP best practices
- gap analysis table prepared by the OECD and reviewed by the PPO.

The assessment of the current state was conducted, based on a set of criteria, which consisted of the four key objectives mentioned in the previous section and ten additional criteria based on best practices and replies to the questionnaire. Various points, positive and negative, were identified per criterion.

Further to the assessment based on the objectives and criteria, a gap analysis was conducted between the current state and the obligations of the Slovak Republic regarding public procurement arising from the Slovak legislation and the EU directives. The gap analysis table was shared with the Slovak colleagues in PPO, CCB and MoI, who provided more detailed information comments and corrections.

Finally, based on the points raised in the assessment of the current state, a table of over 100 recommendations for the future state of e-Procurement in the Slovak Republic was compiled. The recommendations are characterised in terms of a primary dimension among Governance (organisation and people), Processes, Technology and Legislation, as well as in terms of proposed implementation horizon as Immediate, Short-term, Medium-term and Long-term.

4.3 Questionnaire results

As mentioned before, to get a better understanding of the situation, the OECD prepared and disseminated a questionnaire, with the aim of collecting information and opinions about the current state of e-Procurement in the Slovak Republic. The questionnaire included technical, functional and judgmental types of questions and, with the support of the CCB was distributed to a number of stakeholders, including the Authorities administering the national e-Procurement platforms (PPO and MoI), the vendors of the platforms, Eos, MAs and CAs.

Replies were received by 19 stakeholders.

In the next sections, which are following the questionnaire structure, we present a summary and a discussion of the questionnaire results and most important points.

Objectives of the systems

The following items were mentioned with the highest frequency of appearance as the major current or desired objectives of the e-Procurement systems:

- **transparency**, not only as "visibility" but also "comprehensibility" (simple and understandable PP procedures)
- **simplification and acceleration of the PP processes**, less bureaucracy and administrative burden, working solely with e-documents
- **lowering the cost of PP** by achieving better prices
- **fair and strong competition** with the same conditions for all EOs, non-discrimination, high participation, reducing corrupt behavior.

Other mentioned objectives included the electronic implementation of the full PP process, the reliability of e-Procurement systems, the security of the entire process and protection of bids, the centralisation of contract awards, etc.

Functionality coverage

Quite high deviations were observed between responders in terms of which functionality is covered by each system; one entity was presenting a functionality as fully available (with a rating of 10) and another was presenting the same functionality as partially available (rating 5) or completely unavailable (rating of 0). This high inconsistency may indicate a lack of awareness regarding the systems' capabilities (an issue that was mentioned during the discussions).

It is evident though that the current platforms focus on the main area of e-Procurement, i.e. the publication of the call for tenders, e-Submission of tenders and awards, with much less or no focus on other areas before the publication of the call and after the award.

Interoperability with external systems

Integration with other systems, according to all, is very low or almost non-existent. There is a minimum integration with the National Registry of Contracts, the Journal of Public Procurement and TED, but not with any national systems on issues of tax records, social security etc., nor between the two platforms, IS EVO and EKS creating a high burden on EOs for issuing and submitting a lot of paperwork on every tender.

The matter of interoperability is considered as a quite complex problem because it depends on the overall e-Government strategy on every level such as G2G, G2C and G2B. It is an area in the scope of the Operational Programme Information Society and the new Operational Programme Integrated Infrastructure.

Benefits of using the systems

IS EVO

- Automatic publication of notices to other systems, as required (including National Journal of PP, TED, EVO Portal).
- Electronic registration, execution of calls for tenders and working with the system in general is simple, easy and transparent. It is quick, flexible and clear, offering fully electronic and paperless process.
- Contracts are actually paper-based and reflect the real final winning offer.
- The system is in-line with valid legislation.
- The system is accelerating the process of asking for explanations and getting answers, lowering the costs of documentation preparation and has easy document management.

EKS

- Registration of EOs is flexible and clear, fully electronic, and paperless. Suppliers have to register only once for all EKS operations.
- The launch of tenders is quick and professional. The tender descriptions are shared by all CAs. A CA can copy past successful tenders so the system contributes to the dissemination of best practices.
- The submission of offers, their evaluation and contract award, are being executed automatically without personal intervention. The process is flexible and clear.
- Suppliers' evaluation is based on performance, and blacklisting of suppliers is offered by the system.
- The system is lowering the costs of documentation preparation. For every procedure there is a dossier containing all documents in e-form.
- The entire system runs electronically and all information is at the same place without paper documentation.
- Contracts creation is a simple process and runs quickly due to the automatic verification of documentation. The finalisation and generation of contracts is automatic.

Problems experienced in using the systems

There is no central registration to all systems.

IS EVO

- Sometimes the system is not easy to access.
- EOs have experienced problems with the certificates for signing the documents.
- There is a risk of system malfunction when sending an offer electronically and receiving confirmation of delivery.
- Contract management and e-Invoicing functionalities are not provided.

EKS

- The requirements for the registration of suppliers are considered insufficient. The verification of certification, licenses and approvals required for suppliers is impossible, leading to goods/services/works being supplied by unauthorized persons.
- The participation of EOs cannot be limited to those meeting some eligibility criteria relevant to the particular tender for below-the-threshold e-market and – above-the-threshold e-market (open) procedures.
- There is a risk of system malfunction when sending an offer electronically and receiving confirmation of delivery.

- Regarding contracts creation, only generic contracts are available, not reflecting the procurement results or specifics stemming from the Call for Tenders or commodity-specific requirements. Full automation means that all contracts are generated using a standard set of templates.
- There is no functionality for contract management. Submission of the entire documentation is not automatic.

Legislative support for systems

Existing legislation is at a good level (average rating 8,4/10) and enforcement of the legislation is equally satisfactory (8,6/10).

Supporting transparency and integrity

Transparency was rated with generally high scores (average score 9,1/10) in most items related to transparency. Certain concerns though existed on: the online availability of all information to help potential suppliers plan, develop, modify and submit their bidding documents, and on the accessibility of the system by the public to see details on contracts awarded, prices and the successful suppliers.

Integrity items received generally medium scores (average score 6,5/10). Serious concerns centred around: the existence of a code of ethics for government buyers and for suppliers and the level of promotion and support of such code, the evidence that action is taken against those people who breached the Code of Ethics, the extent to which public procurement is held in high regard by suppliers, and whether private providers of e-procurement systems can participate in tenders conducted in their systems.

Further evolution

General

- It would be recommended to publish the specific location of the subject of contract and organise a viewing of the location in order to better prepare the offer (relates to construction works).
- It would be recommended to enable notifications of registered users about new contracts and tenders.

IS EVO

- In order to support contract management after contract award (including framework agreements), contract information and terms will be available in a “contract management module”, which will allow searching in structured data and offer the functionality for e-orders, e-invoices and e-payments.
- Management of objections: The functionality of the system will be extended to include the capability of electronic submission of objections.
- Evaluation results should be sent after the end of an auction to a list of all participants (as in EKS).

- Suppliers should not need to buy the Adobe software for participating in the bidding process.
- A user-friendly interface should be developed.
- A single password for all tenders should be defined.

EKS

- Improvement of participation ratio in EKS is recommended, by not artificially limiting number of participants to 3 in e-auction.
- The possibility to support various pricing structures and models - as fit for market specifics and international commodities trade should be considered.
- Clarification is needed of the legal definition of generally available goods, services and works, as not all products can be supplied without relevant permits or authorisations.
- E-invoicing functionality should be offered.
- By means of benchmarks (set up on a monthly/weekly basis) direct purchase of the most commonly purchased products and services should be possible (applicable mostly for municipalities). If the CA is able locally to purchase products/services under the benchmark values, they will be able to purchase without a tender.
- Anonymous electronic market research: This system should prevent the corrupt behaviour of CAs. The CA will not be able to choose which suppliers will be asked to submit an offer.
- Efficient catalogues will be compiled and CAs could purchase the necessary goods directly from the electronic catalogue.

4.4 Assessment

In the following sections, the term "System" refers to the entire e-Procurement environment, which is composed of a set of sub-systems governed by a set of underlying processes and supported by an organisation.

Reduce public spending

Do we have the processes and systems in place to achieve better prices (e.g. lower than the market average) maintaining a high quality of procured goods/services/works at good contract terms?

- EKS has defined a KPI to measure the achieved reduction of price per procurement process. While its suitability can be discussed, it is a positive that there is a KPI.
- The EKS KPI is based on offers submitted and not on market prices. This cannot exclude the possibility that submitted offers are too high in the first place, e.g. because the specifications are written in such way that limit the competition to a small set of EOs only (who offer high prices)
- There are no lower limits in the number of suppliers that have to submit a valid offer before an award is made. So, at the end the only one left may have to be chosen, even if this supplier

is offering a high price (especially in case of the fully automated process of EKS which awards automatically the tender right after the closing of the auction).

- In IS EVO, no KPIs were mentioned for measuring the reduction of price achieved by the e-Procurement
- Only few tenders are conducted through IS EVO. Many are conducted on paper. So the reduction in prices achieved is expected to be lower than if there was full use of e-Procurement.
- There is no adequate support from procurement experts per area, to advise whether prices offered are too high or not.
- Concerns have been expressed over the adequacy of the methods used for estimated contract value calculation[16]. The contract value may be estimated as too high in the first place and result to acceptance of offered high prices in the end.
- For EKS it was mentioned that there are Business Intelligence capabilities, but for IS EVO no information was provided on this. Therefore, it is uncertain if they exist in IS EVO. CAs, MAs and PP experts need good analytical capabilities to study past procurements and know what to expect.
- There was no mention about market research teams.
- Grouping of procurements is not supported by any system.
- It is not a common practice for the CPBs to conclude Framework Agreements on behalf of many CAs. One CA may conclude a Framework Agreement for its own organisation.
- The CPB role is limited. The obligation for CAs to submit their procurement requests to CPBs for further decision and processing is limited to certain procurement cases. CPBs do not conclude Framework Agreements for their CAs.
- As mentioned by CAs, there is too much focus on the legal compliance. Therefore, the focus on the important objectives of PP, e.g. achieving better prices, is secondary.
- Private e-Procurement platforms are used, although the national platforms can be used for all procurement cases. It is assumed that the CAs pay certain fees for the use of private platforms.
- Despite the existence of the Coordination Committee mentioned earlier, the MAs feel that there is no well-structured procedure and efficient tool for information, knowledge and experience sharing between them. The same perception exists among CAs. Hence, many entities may be doing the same mistakes that others have done in the past, or not achieving certain efficiencies by benefiting from others' experience, etc.

[16] The definition of the estimated contract value calculation is currently covered, according to the CCB, by §6 of the PPA. CAs may use the following methods: online catalogues, market research, telephonic market research, past contracts (max. 6 months old), statistical systems especially in case of the constructing works, benchmarks and financial limits.

Transparency

Do all stakeholders - CAs, EOs, MAs, Controlling Authorities, citizens - have easy and flexible access to reliable information about all procurement?

- All information on the steps of the current procurement processes is said to be stored and available
- Searching for the information, retrieving and analysing though may not be very easy, due to a lack of efficient tools and, possibly, adequately structured information.
- It is believed that public access to the IS EVO to see details on contracts awarded, prices and successful suppliers may not be available. The PPO argues though that what goes through the IS EVO must be also in profile, and therefore publicly available.
- MAs are not very happy with the level of information they receive. They do not have the appropriate tools nor have the information structured to be conducive to good analysis.
- CRZ although containing all contracts, is not very valuable for MAs, according to their comments, because of non-flexible data structure and non-efficient search functionality.
- IS EVO and EKS store their internal information separately and there is no common repository fed by both systems. Hence, retrieval and analysis of detailed information across the two platforms is not possible.
- The Journal of PP has a lot of information for all stages of procurement and for all procurement procedures. It allows for search with many parameters.
- The information existing in the various systems where it is published (e.g. Journal of PP, CRZ, etc.) may not be completely reliable as the definition of what has to be published in each procurement procedure is not very clear to all CAs. CAs mentioned that mistakes in publication are made sometimes.
- The control regarding what is published is not strict. Given that mistakes may be made, the published information will not be fully reliable
- Publication systems are also not yet compliant to an open data standard.
- It has been mentioned that in IS EVO the list of all participants to a tender and the respective evaluation results are not published (like in EKS), thus limiting transparency. PPO argues though that a report is created for each award (the contents have not been described), which is sent to the profile and made, thus, publicly available.

Fair competition

Is it feasible and easy for as many as possible potential suppliers to participate in public tenders and is it ensured that all suppliers are offered the same opportunities for participation in public tenders?

- The use of EKS for many types of goods/services/works other than what would be normally considered as “common” distorts the competition. EOs may be discouraged from participating in tenders where there should be more specific requirements. The actual requirements are so

simple though that many other EOs can participate without having the right products (this may not even be seen at all, even after the award of the contract). Compliance to certain pre-conditions is costly and this puts at a disadvantage the serious EOs who respect the pre-condition vs other EOs that do not consider them.

- When e-Auction is used for all types of procurement procedures, EOs with complex products and complex organisational structures cannot participate in reverse e-Auctions because it takes significant time to take decisions/approvals about reducing prices, while an e-Auction needs a fast response (within seconds).
- When e-Auction is used for all types of procurement procedures, EOs with complex pricing structures cannot participate by giving only a price (for example if the variances in contract value are a result of variances in discount over a fixed product price and not of variances in the product price itself (typical case for fuel).
- The implementation of blacklist in EKS is considered very useful as a concept.
- The EKS blacklist is perceived as not always working properly, as mentioned by CAs, seemingly allowing blacklisted EOs to participate in tenders. Although, as explained by the CCB[17], this is not a matter of system malfunction, the perception is different.
- EKS is not asking for certifications from EOs prior to their participation, so anyone can participate. Only after the award it may be found that the EO should not have participated. It is understood that this is a common situation for every type of procedure[18], nevertheless this discourages from participation the EOs that go into the trouble of ensuring that they have all certifications in advance.
- Further to the above, as the contract in EKS is automatically generated at the end of the e-Auction, the CA cannot cancel it before it is generated and subsequently published, if they realise that the winning EO is one with whom they have a problem. So, at the end of the process, an EO that should not even be participating may appear as having won the tender, at least until the contract is finally canceled by the CA.
- There is a fear of corruption, with a widespread concern that due to the fact that the Slovak Republic is a small country and everybody knows each other, many tenders are pre-arranged, e.g. by having "photographic" specifications that limit the competition to a very specific product.
- All calls for tender are published in the Journal of PP.
- EOs can subscribe to the Journal of PP for certain product categories and then get notified of new tenders.

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[17] Blacklisted EOs can participate in tenders via EKS, but their bids cannot be marked as "provisionally accepted bids". If the CA uses another type of procedure via EKS, the system asks (before the contract is signed) if the CA wants to sign the contract with a blacklisted entity. This is the normal operation of the system and is not considered a malfunction.

[18] Outside of the EKS, the EO can use the form of affidavit for participation in PP procedures. The actual documents or certificates are submitted before the contract is signed – i.e. after the PP procedure is completed (in case of open procedure). Restrictive procedures (two stages procedures) are a different type of procedure, where the first stage represents the proof that the conditions of participation are fulfilled and the second stage is related to the call for tenders.

- There is no rule limiting which EOs can participate to which tenders, based on the range of products that they are supposed to offer.
- In EKS the e-Tendering process (i.e. when there is no e-Auction after the 72 hours of initial offers submission) is considered as of questionable integrity. The EOs who submit their offers close to the deadline for submission are believed to have a bigger probability of winning the tender without anyone having the time to submit a better offer. It is feared that the teams running the tender may have background communication with certain EOs. Even if this is just a rumour, it is still a serious issue if the process is such that allows, or even feeds, the development of such rumours.
- There are complaints from EOs about the final e-Auction in EKS with three bidders only participating. It is not clear to anybody why there is such a limit and it is believed that it limits the competition.
- Many small CAs do not use electronic procedures because they prefer to award the contract to local suppliers for practical reasons. They fear that as soon as they use the system more suppliers will participate in the tender, and the one winning the tender because of low price may be too far away. This is a common case though that is usually resolved by defining such specifications that limit the participating EOs to a certain distance from the CA. It is a question thus of whether the CAs do not know that they have this option, or that the process does not allow them to put such limitations.
- Many CAs do not use the system for various procurement procedures because they fear the relevant EOs will not be able to use it to submit their tenders and thus will not participate.
- The use of subcontractors is allowed and it is not mandatory for the EOs to state at the time of tender submission which subcontractors they will use. So an EO may win a tender and then subcontract the biggest part of the procurement to a subcontractor that is unwanted by the CA.
- For works-related tenders, the location of the work is not always mentioned in the call for tenders. CAs cannot identify themselves via an exact address, but a CA can define the place of the fulfillment. The definition of place of fulfillment though does not happen in many cases. As a result, the potential EOs may not want, justifiably, to participate without knowing where the work will take place, as the location may result to a serious variance in their costs.

Simple and fast procurement process

Does the System contribute to simple and fast procurement procedures which reduce the cost of running procurement procedures? Is the System easy to use (by providing a simple, easy to understand and to learn, non-prone to errors user interface) by all users, including CAs, EOs, MAs, Controlling Authorities, etc.? Is using e-Procurement not considered as an obligatory burden, but as an attractive solution?

- EKS was reported as very easy to use by most CAs and EOs. The procurement procedure through EKS was described as simple and fast.
- IS EVO was reported as complex to use, slow and outdated. The reported average response time by the PPO is five seconds, considered a slow reaction. The users' experience may be

different that the "average" response time (the users may be more interested in the response time during peak load, or the response time for certain types of requests) with operations that are critical to them but take significantly more time than the average. Regarding the "outdated" criticism, it is argued that the system is indeed outdated but only in its design, while in functionality it can be considered as fully functional. We should mention here that the user experience is seriously influenced by the design, so this is not a factor that can be taken lightly.

- The EKS procedure used for non-common goods or services or works though is too simple, so there is a risk to the final quality.
- There is no central registration to all systems. Each system – IS EVO, EKS – has its own authentication mechanism. Even worse, the EOs have to do a different registration for each tender in which they participate in in the IS EVO system.
- IS EVO and EKS are two very different systems, built in different periods, with different philosophies and totally different user interfaces. Users have to learn to use both systems and get familiar with each system's specifics which does not help in simplifying the process.
- If a tender in EKS is cancelled due to the EO being non-compliant (this is found only at the end of the procedure) the CA (or the system) cannot assign the contract to the second EO in order. Therefore, the contract has to be cancelled and the entire procedure repeated (theoretically the same non-compliant EO could participate again, resulting once-more to a cancellation of the procedure and creating an endless loop), increasing thus the administrative burden instead of reducing it.
- The EKS procedure is too fast to properly accommodate control procedures, for below-the-threshold e-market procedures (for example the 2nd ex-ante control cannot be implemented, as the contract is automatically produced at the end of the e-Auction process without allowing the control to run first).
- The IS EVO is not used much. Many CAs prefer the paper procedures, not helping reduce the administrative burden. This may be partially attributed to the fact that the use of IS EVO is not obligatory, so those who were not using it before may resist to changing their usual way of working. Still this argument would not hold true for newer officials who would be expected to appreciate the benefits of an electronic procedure over a paper-based one. If IS EVO was more frequently used on the other hand, it's not certain that the administrative burden would reduce, as many users complains about the complex IS EVO process.
- Some CAs mentioned though that the use of IS EVO is easy and facilitates their work, which contradicts the previous point. The CAs may have different criteria for evaluating the same process, or may have different experiences with the system, or their level of knowledge of the capabilities and content of the system is different (and the less knowledgeable ones consider IS EVO as problematic). This argument is clearly supported by the PPO Helpdesk, whose statistics indicate that the more experienced and professional users of IS EVO praise it and say that it simplifies their processes.

  Although, as expressed by CCB, the evaluation of a process or system should be based on criteria more objective than users' experience, we strongly believe that the proper adoption

and subsequent success or failure of a system depends to a great extent on user experience and satisfaction, even though this may be based on subjective criteria or perceptions.

- Even when using the electronic procedure there is still a lot of paperwork (e.g. certificates that have to be submitted manually) due to non-automated connection of the e-Procurement platforms to other national systems, or due to low coverage of the procurement lifecycle by the platforms.
- CAs complained about lack of templates that would facilitate the tender preparation in IS EVO. Other CAs mentioned that there are templates[19] but many CAs do not know this. Hence, either there are no templates, or there are but users do not know it, or there are some but these are not considered enough or adequate.
- EKS keeps a history of all tender descriptions which are available to all CAs, to help them in creating their own (or just copy the existing descriptions). There are approximately 50,000 such descriptions currently in the EKS database, so it is more probable that a CA will find a description similar to what he is looking for than not. The efficiency of the search facility has not been discussed. It is important for the content to be available, but it is equally important to have a good search engine.
- PPO have created a "feedback window" in their website, i.e. a form through which CAs, EOs and everybody interested may submit comments regarding the improvement of IS EVO. This is a very positive initiative, provided that the feedback will be seriously taken into account both for improving IS EVO as well as for designing the new components that will be added.
- PPO have also published the methodological guidance for each article of the PPA (www.uvo.gov.sk/vsetky-temy-4e3.html?id=116), an initiative that certainly helps the understanding of the new law and, subsequently, facilitates its adoption and application.
- The tender submission to IS EVO is believed to require Adobe Acrobat – a rather costly software – for the EO to lock his documents. The principle of requiring only commonly available software tools for e-Submission would not fully apply in this case.

Coverage

Does the System implement electronically all stages of the end-to-end procurement lifecycle and, wherever relevant, offer all alternatives (e.g. various types of tendering processes: tendering, reverse auction, etc.; and various types of procedures: open procedure, restricted procedure, e-Catalog, DPS, etc.; Framework Agreements; etc.)?

- Both national systems (IS EVO, EKS) provide coverage of the very basic part of the end-to-end procurement lifecycle: procurement requests submission by CAs, publication of call for tenders, electronic submission of offers, and tender award.
- Each system has a portal for interaction with the users.
- Many functionalities are not provided by any of the two systems:

[19] The PPO has prepared template documents and are still working on it according to GEAC PP.

- No coverage of the request evaluation and approval (by the appropriate approving person/entity for each case)
- No support for requests grouping
- No support for public consultation
- No Contract management capabilities (e-orders, recording delivery and acceptance of products/services, supplier invoice receipt/approval registration, including e-Invoicing, payment orders/execution, including e-Payments)
- No functionalities for the suppliers: monitoring contract progress, planning of deliveries, electronic submission of contract execution related documents (e.g. e-Invoicing)
- Submission of objections on paper, although they are managed in a different system after submission.

- Furthermore, IS EVO is also lacking certain other items:
  - No evaluation of tenders takes place within the system. Only the technical evaluation result is entered in the system[20].
  - No contract creation/finalisation in the system
  - No workflow management capabilities (e.g. for approvals process related to procurement requests, or to contract preparation and finalisation, or to deliverables acceptance, invoices and payments approval)
- EKS provides coverage of evaluation of offers (i.e. e-Auction) and electronic contract preparation/finalisation.
- EKS has also embedded certain workflow management capabilities, for the execution of the e-auction (from submission of initial offers until tender award), preparation and finalisation of contract (automatic preparation until submission to the National Registry of Contracts).
- Regarding the various tendering procedures, IS EVO covers the following options: open procedure, restricted procedure, negotiated procedure with publication, Qualification system, e-Auction based on lowest price and e-Auction based on MEAT.
- The IS EVO does not provide e-Catalog support.
- The IS EVO is shown as supporting the Dynamic Purchasing System as well, although this was not mentioned by any of the CAs interviewed.
- EKS provides e-Auction based on lowest price for the below-the-threshold procedures, which is considered satisfactory for common goods/services/works.
- EKS provides a-Catalog support as mentioned by MoI, but the CAs interviewed mentioned that based on the way it works it is not a true e-Catalog and it is currently not satisfactory. It was mentioned that the suppliers initially participating in the e-Catalog gradually resigned.

[20] As mentioned by the PPO, there is a possibility to use electronic auction in IS EVO to automatically evaluate the tenders. IS EVO allows the automatic tender award if the CA has produced the questionnaire by qDesigner (no further information on "dDesigner" has been provided). Apparently, these possibilities are not used, hence the comment regarding lack of support for evaluation of tenders.

Security

Does the system provide high levels of security against unauthorised access, change of stored information, loss of data, protection of personal or confidential information, virus attacks, etc.? Is the perceived (by users) level of security as high as the real level of security?

- No e-Signature implemented. Although not considered as absolutely mandatory in other countries.
- There are security protocols used in both systems. The vendors of both systems have provided information about the security measures taken.
- EOs have raised concerns against the security of the procurement procedure. They are not certain if the tenders submitted remain encrypted until it is time to open them. Even if the actual security is adequate (EVO allows encryption by the use of qCrypt), the perceived one is not.
- EOs have raised objections in the past about possible security breaches in IS EVO. As we were informed by the PPO, there was never security breach in IS EVO, but the objections raised were a result of lack of knowledge of the system.
- The fact that too many people from the CAs are involved in the preparation of tenders is considered as a security risk (e.g. for possible breach of confidentiality).

Electronic communication

Is all the exchange of information between all parties fully electronic, fast, logged, and easily retrievable? Are electronic documents only used?

- The submission of tenders is electronic.
- The submission of supporting documents is in scanned format from paper documents. There is still a lot of paper being managed in the process.
- The submission of objections is on paper.
- EOs complained that the PPO takes too long to reply in their communications. PPO argued that this comment may refers to situations which require a longer process for answering (e.g. verification of electronic auction process), as in normal cases the Helpdesk replies immediately.
- The IS EVO does not support the preparation of the contract. The contract is prepared on paper outside IS EVO and then uploaded.
- Electronic contract is not a format acceptable by many authorities and EOs have issues when they need to present the contract. Printing it from the electronic document does not solve the problem either as the printout is not recognised as a valid official document. To be compatible with all different authorities and their policies an EO would need to have both options of electronic and paper contract, both equally and officially valid.
- Invoicing is purely manual and invoices are not stored electronically in any system.

- Payment of EOs is manual and payment information is not stored electronically in any system.
- Internal communications for approval of procurement requests are manual.
- Initial registration and, for each CA, first procurement request to IS EVO is on paper.

Interoperability

Are there other systems or processes performing similar tasks and requiring similar data? If yes, is the transmission of such data from the System to the other systems electronic and automated? If other systems hold information required by the e-Procurement System, is the transmission of this information electronic and automated?

- IS EVO is integrated with the Journal of PP (for publication of procurement information at various stages of the process), with TED (for publication of calls for tender) and with IS UVO (the Information System of the PPO).
- The submission of notices by EKS to the Journal of PP is done manually by the IS ZU application and the submission to TED is done through the IS ZU application (IS ZU is eSender).
- Neither platform is integrated with the National Registry of Contracts.
- There is no integration of any of the two platforms with the records of social security, tax records, criminal records, Chambers of Commerce, etc. The submission of certificates requires that the certificate is acquired on paper from the relevant source and the scanned and submitted to the system.
- There is no integration to ESPD.
- E-Invoicing is not supported (according to any standard).
- There is no possibility of CAs connecting their systems to the e-Procurement platforms.
- No connectivity with EOs systems is offered.
- There was no mention of the possibility to interface private e-Procurement platforms with national systems, e.g. EOs registry, reporting systems, etc.

Institutional context and governance

Is ownership and responsibility for the System clear and conducive to its successful development?

- There are two entities, the PPO and the MoI, rather disconnected from each other, who have ownership of the two procurement platforms. There is confusion in the use of the platforms and there is permanent friction between the two authorities. Legislation does not solve the issue by defining a relationship between the two.

- The PPO has no clear ownership and full control of public procurement although it's supposed to. The EKS would be expected to be ultimately controlled by the agency supervising PP, but it is not.
- There is no apparent clear governance by the PPO. The Strategy defined and presented already during the execution of this project presents many deficiencies and the Project of Electronisation of Public Procurement seems to have a very low probability to achieve milestones, but no risk management has been mentioned.
- The MoI team administering and supporting the EKS seems to have a very concentrated governance model, i.e. one person only appears to be dealing with all important matters related to the EKS development, operation, and improvement. Such governance may put in danger the normal operation of the EKS.
- It has been mentioned many times that CAs lack training.
- Approval procedures for certain parts of the end-to-end procurement process are long and involve many bodies. Especially if an item is approved by certain bodies and rejected by others then there is confusion and it takes very long to investigate and rectify the reasons for rejection. This could be due to the fact that the procedures are mainly paper-based and do not take into account the use of systems which could probably enable more efficient procedures.

Legislative environment

Are the provisions establishing the System sufficiently clear and effective to provide sound basis for operation of the System and its effective use by relevant public authorities?

- There is no definition of common goods/services/works, so, in theory, a CA could characterise any good/service/work as common in order to do the procurement through EKS, which is preferred by many due to its simple processes.
- There is no clear definition of the relation between PPO and MoI (EKS administration team).
- The legislation - Act No. 305/2013 Coll. of the e-Government and Act No. 343/2015 Coll. of Public Procurement – defines very tight deadlines, which are much tighter than the ones in the EU Directives, although the legislation is supposed to transpose the Directives. There is a high risk that the State will not achieve the legal requirements and this may result in lawsuits against the State's EOs.
- It was mentioned by CAs that the set of thresholds defined in the legislation was very complex and unclear and that this often resulted in mistakes. Even though the complexity of thresholds is not identified, according to the CCB, as the point of the most common violations of the PPA, it is still considered an issue to be taken into account.
- The previous PP legislation made e-Procurement through IS EVO too complex. According to some responses, the electronic process may be more complex than the paper-based one. The complexity is one of the reasons for the low usage of IS EVO and, hence, e-Procurement in general.
- The previous legal Acts related to PP experienced a lot of changes. Apparently they had to be improved from the original text as there were some problems about its clarity and quality.

Visibility and accessibility

Is the System visible and easily accessible by all users including both public authorities which may be required/expected to use the System and businesses wishing to get information for government tenders and contracts?

- There is limited material in English on the PPO site. There is no English for the Journal of PP.
- The IS EVO is available in English as well.
- The EKS is not available in English. EKS offers video presentations for training in the Slovak language, but with English subtitles.
- Calls for tender are not published in all available and commonly visited places. E.g. EKS tenders are not published at the MoI and PPO sites. This limits the visibility of tenders by the EOs.
- EOs can subscribe to EKS and to the Journal of PP to get notifications of published tenders.
- Calls for tender are in Slovak only. It was not mentioned whether the notification is available in English as well for international tenders. It has only been mentioned that the tenders above EU-threshold are published in the TED database in original language, and also in short form in English.
- It has been mentioned that some small and distant CAs (e.g. municipalities) may not have an adequate internet connection. If this is true, then it would be impossible for them to use electronic procedures on their own.

Ex-ante controls implementation

Does the system support with its functionality and processes the implementation of the two ex-ante controls, making the controls effective and their implementation efficient?

- The implementation of the two ex-ante controls is fully manual. The platforms do not provide any support and do not participate in the process.
- The procurement process through the IS EVO allows for the proper manual execution of the controls, with embedded waiting times for the controls to finish before continuation of the procurement process.
- The e-Market procurement process through EKS allows for the execution of the 1st control, but does not allow in an adequate way for the 2nd control, as the tender is automatically awarded right after the end of the e-Auction and the contract is automatically created and published immediately. The MAs perform the 2nd control after the contract is signed and before it enters into force, but would find it more adequate for the ex-ante control to run before the contract is signed.

System maintenance, operation and development

Are there adequate resources, arrangement and processes available to ensure proper operation and maintenance as well as future development of the System? Has it been ensured that the System is always operational and has adequate capacity to handle peaks?

- EKS operation by a private company is not fully trusted by certain CAs and EOs.
- IS EVO is trusted more because it is being operated by a public authority.
- EKS was not reported to present any technical issues. The average outage rate is one outage per 11 months.
- IS EVO was mentioned by CAs and EOs as slow, especially on peak times (e.g. close to the deadline for a tender submission).
- IS EVO was mentioned in certain cases as presenting crashes. The average outage rate is one outage per month. It is assumed that the users refer to actual crashes, as it was made clear by the PPO that the users are informed in advance about planned downtimes for maintenance reasons.
- IS EVO technical issues were reported, e.g. problems with certification when signing the submitted documents, problems with the passwords of suppliers, etc. It is not certain though whether these were system errors or user mistakes.
- Having two different systems instead of one most probably increases the administrative, operational and support effort required, the technology architecture complexity, as well as the overall cost.
- The cost of e-Procurement is also increased by the use of private e-Procurement platforms.
- CAs complained of poor support of IS EVO by the PPO. The PPO assured us though that support of IS EVO is provided through the PPO Helpdesk, but the response time depends on the complexity of the questions.

Centralisation of procurement

Is there the proper legislation, functionality and culture to promote centralisation of procurement, enhance the CPB role and increase the use of Framework Agreements where it is considered beneficial?

- The CPB role is limited. There is no or limited grouping of procurement requests, no Framework Agreements for assigned CAs, no process for mandatory forwarding of procurement requests by the CAs to the CPB for decision to keep or let the CA do the procurement.
- The CAs may, at their own desire and responsibility, form groups and consolidate procurement needs to achieve better prices and reduce the administrative burden of running many procedures. This is not necessarily a responsibility of the CPB.
- CAs complained of receiving poor support by the PPO for making good procurement.
- The legislation does not impose any form of centralisation.
- The platforms do not support grouping of procurement requests.

4.5 Gap analysis for the fulfilment of the obligations

Based on the available material, an analysis was performed to identify the gaps between the current state and the obligations that the Slovak Republic has to meet at certain milestones, based on the national legislation and EU Directives.

This analysis was considered necessary, as the gaps identified, along with the related milestones, should be the first priority requirements to be satisfied when defining the strategy, i.e. the future state and implementation roadmap.

The gap analysis table was initially compiled by the OECD team but the most valuable input was provided by the PPO, having a good understanding of the legislation, its critical requirements and of the related Project currently in progress. Additional useful input was received by the MoI and the CCB.

The gap analysis compares the current state to the required state and identifies the gaps to be filled. It takes into account the currently running projects which are expected to deliver results in a short timeframe (e.g. less than six months) and which can be considered – within a high percentage of certainty – as a part of the current state.

Figure 4. Gap analysis methodology

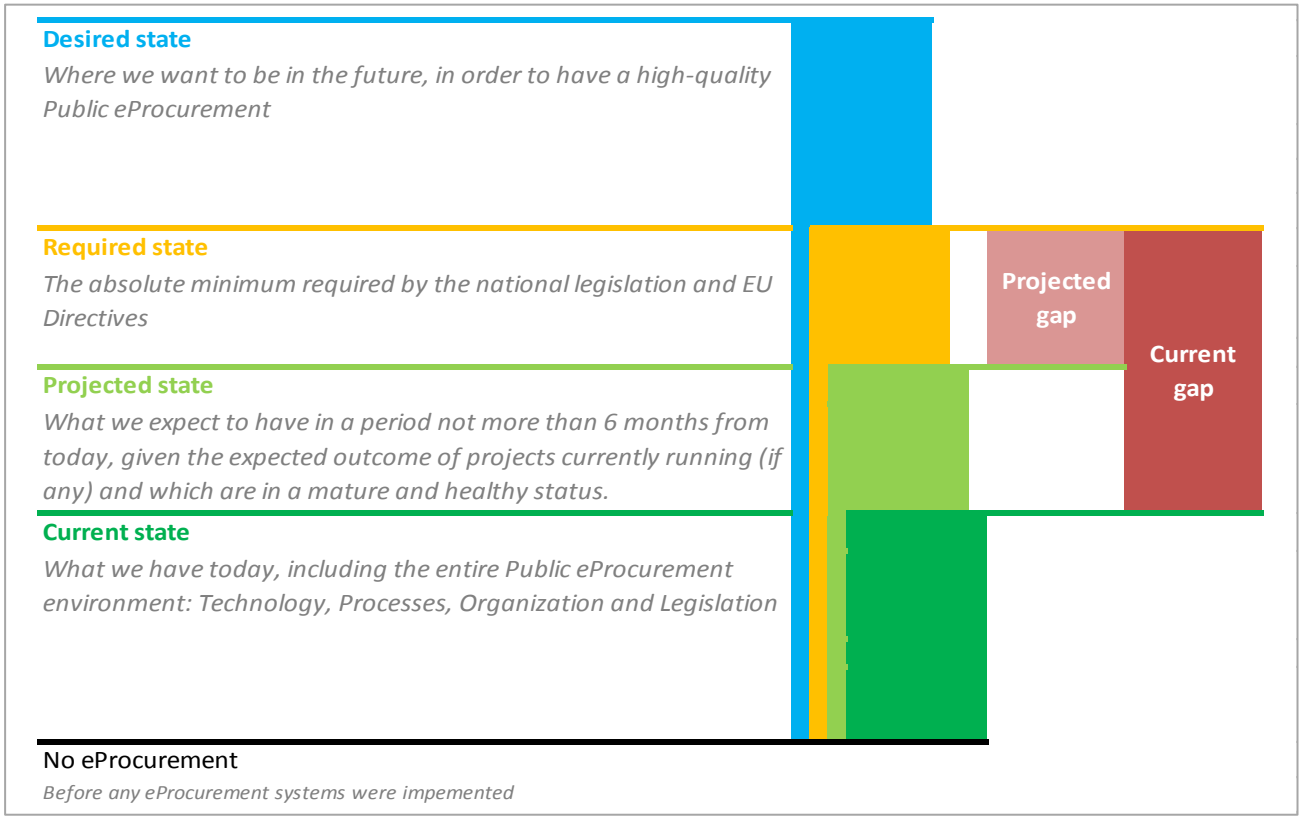


Table 2 below presents the consolidated input. All gaps existing between the current state and the obligation for April 2017 will be covered by the Project of Electronisation of Public Procurement, according to the PPO. The only gaps remaining are the ones related to e-Invoicing, which will be implemented later (the deadline is for 2019).

Table 2. Gap analysis results

Deadline	Requirement	Current gap	Projected state	Projected gap	Projects
18/4/2016	**e-Notification** Electronic submission and publication of all types of notices used in public procurement	No gap			
18/4/2016	**e-Access** (to procurement documents) Electronic publication of public procurement documentation, such as terms of reference, on the web	- Documentation may not be available online for non-electronic tenders - Possible difference between paper and online documentation	After mandatory e-Procurement for all CAs, all tenders implemented, all documentation will be available online.	No gap	Project of Electronisation of PP
18/4/2016	**Contracts registry** Publication of all contracts (from awarded tenders). Storage of contracts in digital form.	No gap			

Deadline	Requirement	Current gap	Projected state	Projected gap	Projects
18/4/2016	**e-Submission (for CPBs)** Electronic submission of tenders by companies when responding to a call for tenders	- There is an absence of support for qualified electronic signature processing and verification - Special licenced software may be required from the suppliers for e-Submission	- Ensured support for fully electronic contract award for certain processes and phases (including submission of requests to participate, documentation and offers) - Ensured modernisation of system to be more user friendly - Ensured support for qualified electronic signature processing including its verification	No gap	Project of Electronisation of PP
1/3/2017	**Exercise of public authority** electronically, pursuant to Act no. 305/2013 Coll. on e-Government	It is necessary to prepare and complete the module of electronic forms, including: - a module of electronic proposals (proposal for objections, appeal against the decision of the objections, proposal for the entry in to the register of economic operators, etc.) - a module of electronic decisions (PPO decision on objection, PPO decision on the appeal against the decision on objection, other PPO decisions)	- Implementation of the aforementioned modules will ensure exercise of public authority electronically pursuant to §4 (5) of Act no. 305/2013 Coll. on e-Government	No gap	Project of Electronisation of PP

Deadline	Requirement	Current gap	Projected state	Projected gap	Projects
1/4/2017	**e-Submission (for CAs)** Electronic submission of tenders by companies when responding to a call for tenders	- e-Submission by CAs not mandatory and not taking place for the biggest percentage of tenders run by CAs - Many (or most) CAs lack the knowledge to use the current systems - There is absence of support for qualified electronic signature processing and verification due to possible technical and operational capacity issues	- Ensured support for fully electronic contract award for certain processes and phases (including submission of requests to participate, documentation and offers). - Ensured modernisation of system to be more user friendly. - Ensured support for qualified electronic signature processing including its verification.	No gap	Project of Electronisation of PP
1/4/2017	**Full electronisation** of public procurement processes, pursuant to Act no. 343/2015 Coll. On Public Procurement	- It is currently not possible to execute all processes of public procurement exclusively electronically	- By realisation of fully electronic public procurement, the exercise of public authority of PPO will be electronic in full extent and in all steps without the need of personal or written contact.	No gap	Project of Electronisation of PP
1/4/2017	**ESPD** Electronic interoperability with the ESPD database, provided that the ESPD implementation will be complete in due time	- Interoperability with ESPD not supported	- Support for processing of ESPD including access to internal state databases	No gap	Project of Electronisation of PP

Deadline	Requirement	Current gap	Projected state	Projected gap	Projects
1/3/2017	Electronic communication - login to the entire IS EVO by the use of **electronic ID card**	- No electronic ID card login	- ID card login available	No gap	Project of Electronisation of PP
1/4/2017	Electronic communication - **full support of electronic procurement** for all procedures and phases	- Gap not clear		No gap	Project of Electronisation of PP
1/4/2017	Electronic communication - qualified **electronic signature** (e-Signature)	- No e-Signature	- e-Signature implemented	No gap	Project of Electronisation of PP
1/4/2017	Electronic communication - **integration of IS EVO to UPV**S	- No integration to UPVS	- Integration to UPVS available	No gap	Project of Electronisation of PP
1/4/2017	**Notices** - avoid the possibility to publish a notice in the Journal of Public Procurement and IS EVO prior to its publication in the Official Journal of the European Union, except for cases specified by the legislation	- It is possible to publish a notice in the Journal of PP and IS EVO prior to its publication in the Official Journal of the European Union	- Publication to the official Journals of the EU will precede publication to the National Journal or IS EVO	No gap	Project of Electronisation of PP
1/4/2017	**Procurement documentation** - modification of access to the documents in the menu “Procurement documentation” to automatic setting “public”	- Modification of access to the documents in the menu “Procurement documentation” to automatic setting “public”	- Modification will be implemented	No gap	Project of Electronisation of PP

Deadline	Requirement	Current gap	Projected state	Projected gap	Projects
1/4/2017	Electronic auction - login by the **electronic ID card**	- No electronic ID card login in e-Auction	- ID card login available for e-Action	No gap	Project of Electronisation of PP
1/3/2017	**Electronic auction - modification of the invitation** to participation in the electronic auction	- e-Auction invitation to participation requires modification	- Modification will be implemented	No gap	Project of Electronisation of PP
1/4/2017	**Dynamic purchasing system** - change/modification of the procedure of the dynamic purchasing systems from open procedure to restricted procedure	No gap			
18/11/2019	**e-Invoicing** Acceptance of supplier invoices in electronic format, based on a pre-defined standard. Subject to the prior definition of a European standard for e-invoicing (planned for 2017)	- e-Invoicing not supported in IS EVO			
18/11/2019	**e-Invoicing** (see above item)	- EKS currently does not support e-Invoicing and there is currently no plan to implement it into the system. An integration with MoI invoicing system (SAP) is proposed.			

4.6 Recommendations

As mentioned previously, the Recommendations provided in this report take into account the assessment of the current situation, the future obligations of the Slovak Republic and also the framework for the adequate implementation of e-Procurement systems. The Table of Recommendations presented below considers the various criteria of assessment, including the items that result from the gap analysis vs. obligations (for backwards traceability).

Each recommendation has a description and a short title for easy reference. Each recommendation also has eight attributes:

- **Source**: This is a reference to the criterion from which the recommendation resulted. It is provided for backwards traceability, as presented in Table 3.
- **Dimension:** to which the recommendation is related. There are four dimensions: "Gover/ce" – Governance (People and Organisation), "Tech" – Technology, "Process" – Processes, "Legal" – Legislation. There is one primary dimension for each recommendation, characterised by the letter "P". There may be no, one, or more secondary dimensions for a recommendation, characterised by the letter "S".
- **Urgency**: shows the timeframe for how soon the recommendation is proposed to get implemented. "IM" – Immediate (should have been already implemented), "ST" – Short-Term, roughly in six months, "MT" – Medium-Term (roughly 1 ½ -2 years), "LT" – Long-Term (roughly 2 ½ - 3 years).
- **Importance**: related to the impact of the recommendation as soon as it is implemented. "C" – Critical, "H" – High, "M" – Medium, "L" – Low.
- **Status**: showing the implementation status of each recommendation. "**O**" is Open, i.e. a recommendation accepted by the Slovak officials but not yet implemented, "**C**" is Closed, i.e. a recommendation accepted and implemented, "**R**" is Rejected, i.e. a recommendation not accepted and hence not to be implemented.

Table 3. Criteria considered for the Recommendations

Abbreviated criterion name	Full criterion name
Public spending	Reduce public spending
Transparency	Impose transparency
Fair competition	Promote fair competition
Simplification	Simplify and accelerate the procurement process
Coverage	Coverage
Security	Security
e-Communication	Electronic communication
Inter-operability	Inter-operability
Governance	Institutional context and governance
Legislation	Legislative environment
Accessibility	Visibility and accessibility
Controls	Ex-ante controls implementation
Tech reliability	Technical reliability
Centralisation	Centralisation of procurement
Gap	Item resulting from the gap analysis vs. obligations
PPO Project	Additional items in the scope of the Project of Electronisation of Public Procurement

Table 4. Recommendations for the future state of e-Procurement

ID	Title	Recommendation	Source	Gover/ce	Tech	Process	Legal	Urgency	Impr/nce	Status
1	KPIs implementation	Define adequate KPIs to measure reduction of public spending per procurement procedure and per category of procurement. KPIs should be used across systems and manual procedures and calculated in the same way everywhere. Appropriate benchmarks should be defined as well, based on best practices and Slovak market specific characteristics, to be used as a measure for comparison. KPIs and benchmarks should be based on market reality and past procurement in the same categories rather than on offered prices for each tender.	Public spending		S	P		MT	M	O
2	Minimum valid tenders	Set rules regarding the acceptable minimum number of suppliers per type of procurement procedure, value level, product/service/work category, in order to ensure the availability of a number of valid tenders before the selection of the winning one.	Public spending		S	P	S	MT	H	O
3	PP experts teams	Create a new capability or increase the capacity of PPO[21] or the CPBs with experts in various public procurement (products/services/works) areas. Such teams should provide support to all CAs who request it for certain procurements (e.g. for writing the specifications, for evaluation offers, for assessing the prices offered, for calculating the estimated contract value, etc.). They may also be formally involved in certain procurement procedures to provide approvals (e.g. for publication of the call for tenders, for the contract award, etc.). These teams should also be responsible to conduct or to coordinate market research whenever required, either on a recurring basis to update benchmarks, or on ad-hoc basis for specific important and high-value procurements. The procurement processes may need to be modified in order to formally include consultation and approval	Public spending	P		S		MT	H	O

[21] PPO is an eligible applicant for a project from OPTA, which is focused on the support of the administrative capacity.

ID	Title	Recommendation	Source	Gover/ce	Tech	Process	Legal	Urgency	Impr/nce	Status
		by the expert teams depending on the procurement case.								
4	Estimated contract value calculation	Revise the current formal methods for estimated contract value calculation with the objective to optimise them. These methods should be used across systems and manual procedures and be included in all the procurement processes as a mandatory step. The estimated contract value along with the parameters used for its calculation will be stored per procurement procedure in the respective system. If the methods already defined are considered adequate, the recommendation should focus on ensuring their correct application and the adaption of the systems to maximise the automation of the calculation.	Public spending		S	P		LT	M	O
5	Business Intelligence component	Implement solution to provide Business Intelligence (BI) capabilities (multidimensional analysis, reporting etc.) on public procurement across systems. This solution is proposed to be independent of EVO or EKS. It will be fed by both systems and it should be also fed by private platforms - whenever such are used - in order not to lose any data. The BI solution will be used by MAs, CAs, various monitoring/controlling authorities. Each type of user will have access to the appropriate level of information.	Public spending		P			LT	M	O
6	Grouping of requests	Implement the necessary changes in the systems to support the grouping of procurement requests, either at CPB-level or at CA-level (procuring for a team of CAs). This will require the appropriate process changes as well. Regardless of whether the submission of requests for procurement is mandatory to be done towards a CPB or not, the grouping of requests (even on a voluntary basis), the execution of the tender for the consolidated volumes and the subsequent management of the products/services delivery to the requesting CAs should be adequately managed at the process level and adequately supported by the systems.	Public spending		P	S		LT	M	O

ID	Title	Recommendation	Source	Gover/ce	Tech	Process	Legal	Urgency	Impr/nce	Status
7	e-Processes compliance to law	Revise all processes to ensure absolute compliance to the legislation. As a result, if a process is executed correctly, one should be compliant to the legislation as well. Implement the end-to-end processes in the systems. As a result, by using the system one is correctly executing the process, hence compliant to the legislation, and able to focus on the results of the procurement process for the specific procedure instead of on the process itself or on the legislation.	Public spending		S	P		LT	H	O
8	Knowledge Database	Build a Knowledge Database (with the appropriate software tools) to be used as information repository and as a means for information exchange between MAs, between CAs, the PPO, and the CCB. This will help users achieve efficiencies by benefiting from others' experience, avoid repeating mistakes that others have done in the past, sharing good practices, important or exceptional cases, etc. The tool should be accompanied by the appropriate processes for information entry and retrieval on a frequent basis, as well as the appropriate motivating factors for the people to use the tool for retrieval and especially for entry of information.	Public spending		P	S		LT	L	O
9	PP information search tool	Implement flexible and easy search capability in the existing systems where PP information is stored (e.g. CRZ, Journal of PP) and is available for the use of the various authorities, including MAs. The simplest solution is to implement a new or to improve an existing search and retrieval tool. A more complex solution would include the re-organisation of the available information (or of future information, if the existing one cannot be restructured) in a more efficient structure, to allow for more flexible retrieval. This may be implemented at a second stage, or, if a new system is implemented anyway, it would be important to design the related data structures with the objective to facilitate search and retrieval.	Transparency		P			LT	M	O

ID	Title	Recommendation	Source	Gover/ce	Tech	Process	Legal	Urgency	Impr/nce	Status
10	PP information search for MAs - quick	Provide a quick solution to improve the MAs' access and search capabilities to PP information (in CRZ, Journal of PP and elsewhere, if applicable). Investigate if there are any quick measures to be taken, even as a temporary solution, until the more permanent solution discussed in another recommendation is implemented.	Transparency		P			LT	M	O
11	Publishing tender information - clarify	Clarify in the legislation or regulation the information that has to be published in the various national systems for every procurement type and for each stage. The objective is also to simplify the definition of such information publication requirements, so that it will be easier to understand and to execute.	Transparency			S	P	MT	H	O
12	Publishing tender information - control	Establish formal controlling procedures to be run by the appropriate entity, for checking the information published in the various systems regarding the procurement procedures. A strict control will ensure, after a certain time, the compliance of people and systems to the rules about what should be published in each case and, hence, the correctness of information in the national notification systems and the increase of transparency.	Transparency			P		LT	L	O
13	PP information – Open Data	The publication systems (Journal of PP, CRZ, others) should become compliant to the open data standards, in order for other entities to have electronic access to the available information.	Transparency		P			LT	L	O
14	IS EVO – Publish tender result	At the end of each tender, IS EVO should publish the list of participants and respective evaluation results.	Transparency		P	S		LT	M	O
15	Systems separation - clarity	Define clearly through legislation or regulation the specific cases where each system will be used, if the future e-Procurement environment continues to include more than one system. It is best to ensure that the systems have complementary and clearly separated roles, i.e. (in the case of two systems) one	Fair competition		S	S	P	ST	C	O

ID	Title	Recommendation	Source	Gover/ce	Tech	Process	Legal	Urgency	Impr/nce	Status
		will be used for certain specific areas of procurement, and the other system for all the rest, being forbidden for one system to be used in areas where the other is responsible. This is considered a good practice in terms of avoiding duplication of effort, teams, and costs, to maintain and manage two systems used for the same purpose, avoiding issues resulting from the systems operating as "opponents", which is today's situation and avoiding cases in which CAs prefer to use one system because of inevitable differences in the level of legislation and regulations enforcement.								
16	Procedures separation - clarity	Define clearly through legislation or regulation the specific cases where each procurement procedure will be used, depending on the product/service/work type, the value and any other significant factors.	Fair competition		S	S	P	ST	H	O
17	EO unified blacklisting	Implement blacklisting at an overall level across systems. Blacklisting in EKS is considered a useful feature, so it should be extended to IS EVO as well, maintaining one blacklist that will be fed and respected by all systems. There is no point in blacklisting an EO in EKS and let him participate in tenders in IS EVO or vice versa.	Fair competition		P	S		MT	M	O
18	EKS – Blacklist clarification	Ensure that the operation of the black list in EKS is widely known and understood, assuming that there are no technical issues with the EKS operation. The result should be to stop the misconception about the blacklist not working properly and the related reported lack of trust in the system.	Fair competition	P		S		IM	H	O
19	EKS – EO initial certification	Change the EKS process for participation in a tender so that the EOs will have to present their credentials and certifications up front, or, at least commit - under possible penalty - to present everything required at the end of the process. ESPD adoption may further support and facilitate this change.	Fair competition		S	P		ST	H	O

ID	Title	Recommendation	Source	Gover/ce	Tech	Process	Legal	Urgency	Impr/nce	Status
20	EKS – Pre-award check	Insert a control point at the end of the tendering process in EKS for the evaluation of the winning supplier's credentials and certifications, before the official contract award and finalisation.	Fair competition		S	P		ST	H	O
21	Control Bodies establishment	Establish (if not already existing) adequate control bodies and empower them to perform periodic, sample-based and ad-hoc controls on public procurement procedures. Such bodies should be provided with the appropriate access to information and with efficient tools for flexible analysis at detailed and aggregated level. It is equally important to include any actions related to the establishment of such bodies in a communication plan towards all PP stakeholders, to give visibility and to improve the trust to PP.	Fair competition	P				LT	H	C
22	EO unified notification	Unify the notification of EOs as a service across systems. It would be beneficial, for clarity and uniformity reasons, for the EOs to receive one type of notification (possibly via many different channels, e.g. email, SMS, mobile app, etc.) for all tenders in their areas of interest, regardless of which system is used for the tender, including the privately-owned systems. The notification can have a link to the specific platform used for the tender. This way the EOs will have one place with all past, current and upcoming tenders, independently of e-Procurement platforms.	Fair competition		P	S		LT	L	O
23	EO unified registry	Implement a unique registry of EOs across procurement platforms, that will include in one place all the information related to each EO. Information can include: general company information, certifications, product categories specialisation, evaluations and blacklisting information, ESPD integration (so	Fair competition		P	S		MT	M	O

ID	Title	Recommendation	Source	Gover/ce	Tech	Process	Legal	Urgency	Impr/nce	Status
		that there is no need for each e-Procurement platform to be integrated to ESPD separately), etc. If such a registry exists already[22], it might be enhanced with additional information, if required, and it should be integrated to both platforms.								
24	EO specialisation declaration	Make mandatory the declaration by each EO of the products/services/works categories in which it specialises. This information will be stored in the central EOs registry and limit the participation of the EO to the tenders within his specialisation areas. It has been proposed by the PPO that such information be obtained by Slovak EOs through the online Slovak trade/business register, while the non-Slovak EOs do the declaration proposed. It is proposed that the most efficient way for such declaration and verification is implemented for each case.	Fair competition		S	P		LT	M	O
25	EKS - process review for fairness	Revise the tendering processes (e-Market and e-Tender) of EKS, taking into account the data and experience collected from 1+ year of operation as well as the feedback of CAs and EOs. There are a number of complaints about the fairness of the processes, especially regarding the 72-hour procedure where the EO who submits an offer close to the deadline may have an advantage over the others and also regarding the limitation of three bidders in the case of 2nd stage e-Auction. If a change is considered beneficial then it should be immediately implemented. After the completion of the revision and of any possible changes to the process and underlying system, communication should be made to all stakeholders, to restore trust levels in the process.	Fair competition		S	P		MT	H	O
26	Geography limitation in tenders	Evaluate the possibility for the CAs to specify a geographic area (or maximum distance from their own location) where the potential suppliers for a certain low-limit procurement may be located, to the extent of course that this is not	Fair competition		S	P		LT	L	O

[22] PPO administers the list of EOs (EOs are entered in this list in order to fulfill the tender criteria).

ID	Title	Recommendation	Source	Gover/ce	Tech	Process	Legal	Urgency	Impr/nce	Status
		considered as a discriminatory condition in the PP process. The objective of this recommendation is to facilitate the use of e-Procurement by CAs who prefer local suppliers for practical reasons. Alternatively, one might investigate in more depth the reasons for such preferences by the CAs, and, if these are considered valid, try to address the reasons instead.								
27	Subcontractors declaration	Make mandatory through legislation the declaration of the subcontractors that each EO plans to use for a part of the total procurement, if their part is higher than a certain percentage (which may be defined depending on the type of procurement). Credentials and certifications of the subcontractors will be required to be submitted as well in this case. The EO will commit in writing to the collaboration with the specific subcontractors, which cannot be replaced except through formal approval of the CA and of any additional controlling body that may be defined for this case. Reasons of replacement, credentials of the new subcontractors and related approval will be filed together with all the rest information of the procurement procedure.	Fair competition			S	P	MT	M	O
28	Works location announcement	Evaluate a change in the tender publication process: to announce the location of works implementation for tender procedures related to works. Pros: EOs will be in a better position to estimate the cost of the work and provide better offers. This results in decreasing prices and increasing competition. Cons: possible corruption by direct communication of EOs with the responsible CA. Careful evaluation of pros/cons is needed before deciding whether to change the process.	Fair competition			P		LT	L	O
29	IS EVO - Process simplification	Address the reported complexity of IS EVO. As, from the discussions, it was not clear if the complexity is a system issue or a process issue or both (most probable), a detailed study is required in order to understand the reasons of	Simplification		S	p		MT	H	O

ID	Title	Recommendation	Source	Gover/ce	Tech	Process	Legal	Urgency	Impr/nce	Status
		perceived complexity and address them properly. It is most probable (as usually experienced) that both system changes and process adaptations will be required. In many cases (in other countries) it has been observed that the first attempt to implement Public e-Procurement results to transferring the existing manual processes - almost as is - to an electronic environment, resulting sometimes in more inefficiencies than before. It is advisable thus to do a complete redesign of processes taking into account the available system functionalities, following a greenfield approach in order to get rid of past issues of process inefficiencies and to achieve serious simplification. System adaptation will most probably be required, especially after redesign of certain processes, so their implementation should come right after the process redesign.								
30	Users single registration	Modify the registration process for all systems so that a single registration will be required per user (EO, CA, etc.) to have access to all e-Procurement systems and to all procurement procedures that the user is managing.	Simplification		P			MT	H	O
31	One or two platforms?	Consider the termination of one e-Procurement platform and the continuation of investment only to the other. This needs a proper study to be conducted and a business case to be created for each scenario under consideration. The business case should take into account various factors over an adequate time horizon (e.g. 10 years). Factors would include for example: lifetime cost (of implementation, maintenance, operation, possible enhancements, etc.), usage benefits/issues (e.g. one system is easier to learn and to use than two, a uniform appearance and functionality is simpler to use, each user is familiar with the system they are using currently and may react to a change, etc.), technical benefits/issues (e.g. with one system the integration required between multiple systems is not required, with a new system there is always a risk of failure bigger compared to maintaining the existing systems, etc.). Such study may include an Request For	Simplification	P	S			MT	C	O

ID	Title	Recommendation	Source	Gover/ce	Tech	Process	Legal	Urgency	Impr/nce	Status
		Proposal or Request For Information for vendors to respond by providing their view of a holistic solution. Input from this process will be used for developing the business case to decide upon the future systems landscape. It is proposed that the study is coordinated by an Authority independent of the PPO and the MoI, possibly the Deputy Prime Minister's Office.								
32	IS EVO -Increase usage - quick	Get feedback from the users (this is, as mentioned by the PPO, in progress), analyse it and focus in identifying quick actions that can increase the usage of IS EVO. Typical quick actions could be related to small adaptations in a process, or to limited changes in the parameterisation of the system (instead of changes in the functionality that would require new software), or to the sharing of some useful information on how to complete a certain task using the system.	Simplification		S	P		ST	H	O
33	CA training	Design and implement a structured training approach for CAs. Areas to be included as a minimum: Public e-Procurement concepts and the new Act, use of IS EVO, the e2e procurement lifecycle, and good practices. The training should not be a one-off action, but a repeating activity, both for newcomers (as an initiation) and for existing users (to improve their skills and to stay up-to-date on system enhancements and process changes).	Simplification	P				ST	C	O
34	IS EVO - Tender description templates	Enhance the IS EVO content by providing templates for various types of tenders developed and compiled by expert personnel, as well as by making available all the historical information of previously used tender documents (products/services/works descriptions, technical specifications, general/special terms, contract templates, etc.). If such material exists already, it should be made clear in the training to be delivered, as many CAs may not be aware. Furthermore, ensure the availability of an efficient search tool for the above content to be easily retrievable by non-experts. The above points are proposed	Simplification		P			MT	M	O

ID	Title	Recommendation	Source	Gover/ce	Tech	Process	Legal	Urgency	Impr/nce	Status
		for EKS as well, except for the historical tender descriptions which, as we understand, exists already.								
35	PPO Feedback window	Use the feedback received from the "feedback window" initiative recently launched by the PPO, to design changes to IS EVO and to the related processes, to make the use of the system more efficient. The feedback will also be used for any new components implemented (or even in the case that an entire new platform is implemented). It is also important for those who provide the feedback - whether anonymous or not - to see the results of their willingness to collaborate with the State, i.e. the PPO should show how specific comments were taken into account and resulted in specific interventions in systems and processes. The purpose of the "feedback window" should be twofold: (a) use the feedback received to improve systems and processes, (b) establish a dialogue with the systems users, which will gradually improve trust levels and develop a positive relationship between PP stakeholders and the PPO.	Simplification		P	S		ST	H	O
36	IS EVO - No Adobe	Provide to EOs a simple solution for "locking" their submitted tenders based on commonly available tools, without requiring the use of special software that they have to buy. If such solution exists (as mentioned by the PPO), then the recommendation is to ensure that it is properly communicated to the EOs, since they seem to ignore it.	Simplification		P			MT	M	O
37	Public consultation functionality	Implement functionality for public consultation within the e-Procurement platforms. It may consist of a short workflow including the publication of the draft tender documents (which are already in the system), the collection and storage of comments, a status for each comment (e.g. respected/rejected), and the preparation of the final tender documents.	Coverage		P	S		LT	L	O

ID	Title	Recommendation	Source	Gover/ce	Tech	Process	Legal	Urgency	Impr/nce	Status
38	e-Orders functionality	Implement component for the issuing and management of orders to the supplier of a contract within the e-Procurement platform. The orders issued will gradually implement the object of the awarded contract, will be stored in the system, and later will be matched with the respective deliveries. This component is expected to include the delivery management capability as well, recording of deliveries (following the e-Orders and recording of formal acceptance (or rejection), of delivered goods/services/works. The orders issued can be generated as e-Orders, provided that the supplier can accept them in electronic format, or as paper-based orders. The requirement applies to IS EVO and to EKS.	Coverage		P	S		LT	M	O
39	e-Payments functionality	Implement component for the issuing and management of electronic payments to the supplier of a contract within the e-Procurement platform. Electronic payments will be executed through an automated workflow starting from the payment order (which we assume to be created in the system as a result of new functionality mentioned in a different recommendation). Based on the payment order and the suppliers bank information, an order will be given to a bank to execute a transfer to the supplier's account. The payment order, the bank order, and the bank confirmation of the transaction will be stored in the system as part of the complete procurement procedure information. The requirement applies to IS EVO and to EKS.	Coverage		P	S		LT	M	O
40	IS EVO - Tender evaluation functionality	Implement functionality in IS EVO to support the evaluation of tenders. It is not expected neither desired that a fully automatic evaluation of tenders will be implemented. This functionality should primarily focus on the recording of as detailed information as possible about the evaluation of tenders (e.g. recording of detailed technical evaluation scoring, checklist of documentation submitted vs. documentation required, list of specifications with respective indications	Coverage		P			LT	L	O

ID	Title	Recommendation	Source	Gover/ce	Tech	Process	Legal	Urgency	Impr/nce	Status
		about compliance, calculation of total score for each tender based on the pre-defined formula for MEAT-based selection, etc.). The more detailed the information recorded, the better for audit and transparency purposes.								
41	IS EVO - Workflow management	Enhance IS EVO by adding workflow management capability. This will be used for the implementation of electronic workflows, such as: Workflow for procurement request approval, Workflow for public consultation, Workflow for e-Ordering, e-Invoicing and e-Payments. It is understood that IS EVO does not currently have such capability. Workflow management is usually a core capability of a system and not an add-on component. If the IS EVO system is not built to support the concept of workflows it may be very difficult and risky or impossible to implement this now. As the concept of workflow management appears in many parts of the procurement lifecycle, hence it is considered as an important capability of any e-Procurement system, a thorough investigation should be done with the help of the system vendor in order to understand whether workflow management is possible to implement and what other options exists in case it is not possible or not advisable.	Coverage		P	S		MT	H	O
42	IS EVO - e-Catalog functionality	Implement e-Catalog component in IS EVO.	Coverage		P	S		MT	M	O
43	IS EVO – DPS functionality	Implement Dynamic Purchasing System (DPS) component in IS EVO. As it is not clear whether this functionality exists already, the recommendation is assumed to hold true if there is no such functionality currently. If the functionality exists, but is not used, then the recommendation is to activate it by designing, planning and running the relevant procurement procedures.	Coverage		P	S		LT	M	O

ID	Title	Recommendation	Source	Gover/ce	Tech	Process	Legal	Urgency	Impr/nce	Status
44	EKS - e-Catalog improvement	Improve and activate the e-Catalog functionality in EKS. It is understood that the e-Catalog capability exists in EKS, but is not used as it deviates from the stakeholders' (CAs and EOs) expectations. The e-Catalog has been mentioned as one of the most important and useful items for CAs though. It is proposed thus to conduct a study in order to understand the reasons of dissatisfaction and implement the required adaptations to achieve a satisfactory e-Catalog capability. The improved e-Catalog should be communicated to all stakeholders and activated through the required procurement procedures.	Coverage		P	S		ST	H	O
45	e-Signature functionality	Implement e-Signature functionality for both e-Procurement systems if this is mandatory according to the PPA. Otherwise revise the current authentication and encryption policies and take necessary actions to strengthen it, if required. It is important to ensure the same security levels in both systems and to revise the e2e procurement process in terms of security.	Security		P	S		ST	H	O
46	Data protection review	Assess the current protection measures against loss of data and take necessary actions to ensure protection at the required levels (including redundant storage, data backup policies, disaster recovery data centers etc.). Such assessment needs to take place on a periodic basis, e.g. every two years, as well as after every major change in the technology domain.	Security		P			LT	H	O
47	Security assessment	Assess the security in the e2e procurement process in all systems (record the process steps, the systems and persons involved in each step, the current security measures, the current issues and risks etc.) and take the necessary actions to strengthen the security if required. Such assessment needs to take place on a periodic basis, e.g. every two years, as well as after every major change in the technology domain.	Security		S	P		MT	H	O

ID	Title	Recommendation	Source	Gover/ce	Tech	Process	Legal	Urgency	Impr/nce	Status
48	Advertise security	Communicate, based on a formal communication plan, the security levels achieved and the approach taken to achieve them, regarding the e-Procurement systems, after the security assessment has been completed. Communication is targeted to all stakeholders, including EOs, CAs, other Public Authorities, and citizens. Apart from building secure systems and processes it is equally important to make people believe that the security is high, in order to restore the level of trust in the public e-Procurement process. This level is not high currently.	Security	P				MT	M	O
49	Objection e-Submission functionality	Implement system for electronic submission of objections and for further management of the objection process, including submission of appeals to the decision on the objection. Paper should be fully eliminated in this process and the EOs should have access to the systems after they submit an objection in order to monitor the progress.	e-Communication		P	S		ST	H	O
50	Information request management improvement	Revise the process for handling information requests from users (CAs, EOs, other) in order to structure it better and make it faster. Define KPIs for performance measurement, revise the efficiency of the tools used for the process and make the necessary changes. If, after measurements, it is concluded that the capacity of the team or teams involved in the management of information requests is insufficient, then the team capacity should be increased. The capacity requirements analysis should take into account the forecasted future demand after the gradual shift towards full electronic procurement.	e-Communication	P		S		MT	H	O
51	IS EVO - Contract creation functionality	Add functionality to IS EVO to support the post-award contract preparation and finalisation within the system. It is understood that there may be parts of the contract that will require manual editing based on the winning tender specifics, but most parts of the contract should be fully defined at the call for tenders	e-Communication		P	S		LT	L	O

ID	Title	Recommendation	Source	Gover/ce	Tech	Process	Legal	Urgency	Impr/nce	Status
		preparation phase.								
52	Paper contract and e-Contract availability	Implement the possibility for the suppliers to get both electronic and paper versions of their contracts. Both versions should be equally and officially valid for all other public and private authorities to whom they may be presented.	e-Communication		S		P	LT	L	O
53	Invoice management functionality	Implement new functionality for suppliers' invoices to be registered in the systems. Invoice information should be part of the e2e procurement information. This requirement should not be confused with e-Invoicing, although the electronic registration of invoices is a prerequisite for e-Invoicing. According to the current requirement, even if the supplier invoice is received on paper, it should be registered in the e-Procurement system as part of the procurement procedure.	e-Communication		P	S		LT	M	O
54	Payment management functionality	Implement new functionality for the payment order and payment execution proof to be registered in the systems, following the registration of invoices. This requirement should not be confused with e-Payment although the electronic registration of payment orders is a prerequisite for e-Payments. According to the current requirement, even if the actual payment is executed in cash, the payment order and the proof of payment should be registered in the e-Procurement system as part of the procurement procedure.	e-Communication		P	S		LT	M	O
55	Procurement request approval functionality	Implement the workflow for the approval of procurement requests in the systems, as an electronic workflow. It must be noted here that whenever a manual process becomes electronic it is implied that there will be a redesign of the process prior to its electronic implementation, to take fully into account the systems capabilities. Such capabilities may significantly change the way that a process is executed. In the case of request approval, the process should be revised with the objective to achieve simplification, also by reducing the number	e-Communication		P	S		LT	M	O

ID	Title	Recommendation	Source	Gover/ce	Tech	Process	Legal	Urgency	Impr/nce	Status
		of approvers, if this is possible. The request approval (or rejection) will be stored in the system along with all other information from all stages of the procurement procedure.								
56	IS EVO – Initial registration functionality	Implement the initial registration to IS EVO as an electronic procedure. The CA will enter the required information in a form and submit electronically the request for registration to PPO. PPO will process the request and send the credentials to the CA, which then will be able to submit and manage its procurement requests fully electronically, starting from the first one. It is important to note that this process will be valid until there is a central registration point for all e-Procurement systems (as recommended). After the central registration is implemented, there will be no need for separate registration to IS EVO and EKS.	e-Communication		S	P		MT	M	O
57	EKS to Journal of PP integration	Integrate EKS to the Journal of PP, to submit electronically the required in each case procurement-related information, for elimination of manual submission of information and associated possible errors.	Inter-operability		P			MT	M	O
58	EKS to e-Sender integration	Integrate EKS to the e-Sender component of IS EVO to submit electronically tenders to TED when required, for elimination of manual submission of information and associated possible errors.	Inter-operability		P			LT	L	O
59	Integration with national records	Integrate the e-Procurement systems to national records, e.g. social security records, tax records, criminal records, commercial/Technical Chambers., to eliminate the burden on EOs of getting the required certificates and submitting them for each tender.	Inter-operability		P	S		MT	H	O
60	ESPD integration and adoption	Integrate systems to the ESPD platform, to reduce the burden and increase the reliability of EOs' certification for the various tenders. This item is not just a	Inter-operability	S	P	S	S	MT	H	O

ID	Title	Recommendation	Source	Gover/ce	Tech	Process	Legal	Urgency	Impr/nce	Status
		systems task. It includes a significant component related to the adoption of the ESPD as a concept and a philosophy in general. EOs will have to buy into the ESPD concept and processes and regulation will have to be adapted appropriately in order to accommodate ESPD as an alternative way to acquire certification for EOs.								
61	e-Invoicing functionality	Implement e-Invoicing capability, i.e. the ability to accept invoices in electronic forma directly from the supplier's system and to process it further as if it were a conventional invoice entered into the system. The transmission of e-Invoices from the systems of the supplier to the e-Procurement systems will follow a standard commonly used protocol. According to the timeline published by the EU for Rollout of e-Procurement in the EU, the announcement of the e-Invoicing standard to be adopted at EU-level is expected around May 2017. It is advised for the Slovak Authorities to do all preparation possible in the systems related to the e-Invoicing capability, up to a point where the standard to be adopted will not be limiting the systems and then wait for the e-Invoicing standard to be announced for them to complete the implementation.	Inter-operability		P	S		LT	H	O
62	Integration to CA systems	Implement the necessary interface for CAs' systems to be able to connect to the e-Procurement systems. It is understood that this is a very open and completely undefined area. It would certainly be very helpful though for certain big CAs or for the CPBs who may have their own systems for financial/accounting management, or even their own Enterprise Resource Planning system, to be able to connect to the national e-Procurement systems for electronic transmission of orders, delivery notes, invoices and other documents, as soon of course as such documents become part of the e-Procurement systems.	Interoperability		P			LT	L	O

ID	Title	Recommendation	Source	Gover/ce	Tech	Process	Legal	Urgency	Impr/nce	Status
63	PPO – Control of PP	Clarify the relationship between the PPO and the MoI regarding public procurement matters and assign to the PPO the full control and responsibility for the Public Procurement administration. It is considered obvious – although it is not the case today - that since the PPO is the central State administration authority for public procurement, it should have control of Public Procurement matters over all entities involved in PP and certainly over all e-Procurement systems. The PPO cannot guarantee otherwise the formation and implementation of a national PP strategy, the compliance of the PP to legislation or to EU Directives, or the proper functioning of the PP at a national level.	Governance	P			S	ST	C	O
64	EKS – Governance de-risking	Revise the governance model for the EKS system. Although there is a team dedicated to the management of the system and its related processes, there seems to be a high concentration of administrative activities in a single person. This situation - if accurate - is considered very risky, as any issue with the specific person (e.g. absence for a prolonged period) would endanger the continuity of services provided through EKS as well as its further development. It must be noted that the understanding about the "high concentration of administrative activities in a single person" is a pure assumption and by no means a certainty or a statement. If it is inaccurate, this recommendation can be considered as invalid.	Governance	P				ST	H	O
65	Common goods -clarify	Define clearly what is considered officially as "common goods/services/works", as a first step towards clarifying the cases where EKS should be and should not be used and towards eliminating the intentional confusion around this topic.	Legislation			S	P	ST	C	O
66	PPA and Act of e-Government deadlines amendment	Consider and evaluate the possibility of amending the PPA to reflect more realistic deadlines for the implementation of the various e-Procurement related requirements it includes, respecting though the deadlines set by the EU	Legislation				P	IM	C	O

ID	Title	Recommendation	Source	Gover/ce	Tech	Process	Legal	Urgency	Impr/nce	Status
		Directives.								
67	Thresholds – simplify and clarify	Define clearly and in a simpler (than the current) way the thresholds used in PP and the related actions. Two cases have been noted where the complexity of the thresholds creates confusion: the selection of the right procurement procedure, and the publication of the right tender documents in the right systems. It was stated many times by CAs that the current thresholds are so complex that they are difficult to describe, difficult for a procurement professional to be certain that they are respecting them and there are many cases of mistakes in the publication of the tendering procedure documents to various systems because of confusion around the thresholds.	Legislation			S	P	ST	H	O
68	Legislation and processes joint review	Ensure alignment between Legislation and the future public procurement processes, after their revision, adaptations and redesign (where required). It is equally important for processes to fully respect the legislation and for the legislation not to become an obstacle to defining efficient processes. The PPO is expected to support this alignment as it plays a major role in the formulation of the legislation around public procurement.	Legislation			S	P	MT	H	O
69	English language support improvement	Provide all e-Procurement systems in full English language as well. Foreign EOs should be able to read the full system site content that is intended for national EOs as well, including systems tutorials, tender participation instructions, tender notifications (at least a summary of the tender object). They should be able to submit their tender using an English version of the system and monitor the tender progress through basic information in English. The PPO site, IS EVO system, EKS system should be included as a minimum.	Accessibility		P			LT	M	O

ID	Title	Recommendation	Source	Gover/ce	Tech	Process	Legal	Urgency	Impr/nce	Status
70	Visibility / awareness increase	Increase the visibility of and the awareness on the e-Procurement systems through a well-thought action plan. This may include, among other actions, information sessions with Commercial/Technical Chambers in the Slovak Republic, with various public Authorities, information material and links to the systems' websites in the above entities' websites. A professional communications specialist should be involved in planning the actions.	Accessibility	P				MT	M	O
71	Tenders publication everywhere	Ensure the publication of all tenders in all commonly visited e-Procurement websites, including: PPO, related system (IS EVO or EKS), related CPB's site.	Accessibility		S	P		MT	L	O
72	Internet connectivity for CAs	Ensure that all CAs have reliable internet connectivity. Explore solutions for CAs not having internet connectivity, so that they can participate in e-Procurement. Apart from the obvious plan for expansion of the IP network to provide internet connectivity to distant areas over landlines (which might take a long time to implement), other options to be evaluated could include internet connectivity through satellite and assignment of other CAs (with internet connectivity) as intermediaries who will use the e-Procurement systems under a special agreement on behalf of the non-connected CAs, until the non-connected CAs get connected.	Accessibility	S	P	S		ST	H	O
73	Ex-ante controls functionality	Implement new functionality in the systems to support the implementation of the two ex-ante controls. In its simplest form this could just be a recording of the parameters and information used as input to the control process as well as the controls result for each procurement.	Controls		P			MT	M	O
74	EKS – 2nd ex-ante control support	Make the necessary changes to the EKS e-Market system and process to accommodate the 2nd ex-ante control for below-the-threshold e-market procedures. This means that the contract award and respective contract should	Controls		S	P		ST	H	O

ID	Title	Recommendation	Source	Gover/ce	Tech	Process	Legal	Urgency	Impr/nce	Status
		not be issued before the control has been completed.								
75	EKS - operation by private company	In the study of scenarios about the future technology landscape of public e-Procurement take into account the preference of many CAs and EOs towards the IS EVO due to higher trust levels because IS EVO is operated by a Public Authority (PPO) while EKS is operated by a private company.	Tech reliability	S	P			MT	H	O
76	IS EVO – Capacity review	Perform capacity assessment on IS EVO in order to identify the root cause of slow performance and to perform the necessary action to rectify it. IS EVO has been reported as slow, especially during peak periods, e.g. close to the deadline for submission of a tender. A capacity analysis is required, taking into account the peak volumes of parallel connections and transactions (not just the normal volumes) to identify the reasons of delays (which could be in various areas, such as: hardware capacity, hardware configuration, software issues, network issues, etc.). Similar capacity assessments should be done in the future especially after any major changes in the systems, such as the addition of a system or component may sometimes add - if not properly implemented - a bottleneck in the e2e procurement process.	Tech reliability		P			ST	H	O
77	IS EVO – Crashes fix	Investigate and rectify the issue of IS EVO crashes. Users complain of sporadic system crashes and the IS EVO maintenance reports an average rate of one outage per month, which is considered high.	Tech reliability		P			ST	H	O
78	IS EVO - technical issues fix	Investigate and rectify the various technical issues reported for IS EVO. During our workshops there were at least two specific items mentioned: problems with certification when signing the submitted documents, problems with the passwords of suppliers. There may be additional issues recorded in the helpdesk logs. It is very important to analyse these, find the root causes and fix the issues, as they - along with other types of issues - account, very justifiably, for the low	Tech reliability		P			ST	H	O

ID	Title	Recommendation	Source	Gover/ce	Tech	Process	Legal	Urgency	Impr/nce	Status
		levels of trust in the reliability of IS EVO.								
79	Private platforms usage reduction	Study the reasons of use of private e-Procurement platforms with the objective to shift the procurement procedures towards the national e-Procurement platforms, after taking the necessary measures. The benefit will be the reduced cost of running procurement procedures and, ultimately, improvement of the national systems after implementing the changes required to eliminate the preference for private platforms.	Tech reliability		P	S		LT	M	O
80	IS EVO – Support by PPO	Revise the process for IS EVO support as provided by the PPO, as CAs have complained of poor support. Define KPIs for performance measurement, revise the efficiency of the tools used for the process and make the necessary changes. If, after measurements, it is concluded that the capacity of the team involved in the IS EVO support is insufficient, then the team capacity should be increased. The model of collaboration with the IS EVO maintenance vendor should also be revised, in order to achieve a good split of 1st level/2nd level support. The capacity requirements analysis should take into account the forecasted future demand after the gradual shift towards full electronic procurement.	Tech reliability	P		S		ST	C	O
81	CPB role enhancement	Upgrade the CPB role by setting clear rules about and increasing: (a) the cases of procurement (depending on types of goods/services/works and on estimated value) where the request will be mandatorily submitted by the CA to the CPB for further processing by the CPB, and (b) the procurement categories to-be mandatorily treated through Framework Agreements concluded by the CPBs.	Centralisation	P		S	S	LT	H	O
82	IS EVO - ID card login	Electronic communication: Login to the entire IS EVO by the use of electronic ID card.	Gap		P	S		ST	C	O

ID	Title	Recommendation	Source	Gover/ce	Tech	Process	Legal	Urgency	Impr/nce	Status
83	IS EVO - Full e-Procurement support	Electronic communication: Full support of electronic procurement for all procedures and phases.	Gap		P	S		MT	C	O
84	IS EVO - e-Signature functionality	Electronic communication: qualified electronic signature (e-Signature).	Gap		P	S		ST	C	O
85	IS EVO - UPVS integration	Electronic communication: Integration of IS EVO to UPVS, the Central Portal of Public Administration.	Gap		P			ST	C	O
86	IS EVO - Notice publishing to TED first	Notices: Avoid the possibility to publish a notice in the Journal of Public Procurement and IS EVO prior to its publication in the Official Journal of the European Union, except for cases specified by the legislation.	Gap		P	S		ST	C	O
87	IS EVO - Procurement documentation set to "public"	Procurement documentation: modification of access to the documents in the menu “Procurement documentation” to automatic setting “public”.	Gap		P			ST	C	O
88	IS EVO - ID card in e-Auction	Electronic auction: login by the electronic ID card.	Gap		P	S		ST	C	O
89	IS EVO - invitation to e-Auction modification	Electronic auction: modification of the invitation to participation in the electronic auction.	Gap		P			ST	C	O
90	IS EVO - e-Forms: e-Proposals functionality	Electronic forms: module of electronic proposals (proposal for objections, appeal against the decision of the objections, proposal for the entry in to the register of economic operators, etc.).	Gap		P	S		ST	C	O
91	IS EVO - e-Forms: e-Decisions functionality	Electronic forms: module of electronic decisions (PPO decision on objection, PPO decision on the appeal against the decision on objection, other PPO decisions).	Gap		P	S		ST	C	O

ID	Title	Recommendation	Source	Gover/ce	Tech	Process	Legal	Urgency	Impr/nce	Status
92	IS EVO - Persons ban register integration	Electronic communication: integration to register persons banned in participating in public procurement.	PPO Project		P	S		MT	H	O
93	IS EVO - EO register integration	Electronic communication: integration to register EOs.	PPO Project		P	S		MT	H	O
94	IS EVO - References register integration	Electronic communication: integration to register references.	PPO Project		P	S		MT	H	O
95	IS EVO - e-Certis integration	Electronic communication: integration to e-Certis (preferred to be implemented in a different project).	PPO Project		P	S		MT	H	O
96	IS EVO - Financial statements register integration	Electronic communication: integration to register financial statements.	PPO Project		P	S		MT	H	O
97	IS EVO - ESPD support	Electronic communication: support the processing of ESPD	PPO Project		P	S		MT	H	O
98	IS EVO - Innovation partnership	Innovation partnership procedure implementation	PPO Project		P	S		MT	H	O
99	IS EVO - Direct competitive procedure	Direct competitive procedure implementation	PPO Project		P	S		MT	H	O
100	IS EVO - Design contest	Design contest procedure implementation	PPO Project		P	S		MT	H	O
101	IS EVO - Competitive dialogue	Competitive dialogue procedure implementation	PPO Project		P	S		MT	H	O
102	IS EVO - IS Data Collection integration	Availability of documents: closer integration with the information system of data collection	PPO Project		P	S		MT	H	O

ID	Title	Recommendation	Source	Gover/ce	Tech	Process	Legal	Urgency	Impr/nce	Status
103	IS EVO - e-Catalog proposal support	Electronic catalogue: incorporation of support for the proposals in the form of electronic catalogues	PPO Project		P	S		MT	H	O
104	IS EVO - e-Catalog tenders evaluation and processing	Electronic catalogue: incorporation of support for evaluation and simple processing of the tenders submitted in the form of electronic catalogues	PPO Project		P	S		MT	H	O
105	Private platforms certification rules	Define clear and detailed rules for private platforms certification in the legislation (if not already defined). Certification will be required for all types of private platforms. Certification rules may include as well: cost criteria, positive scoring from previous use of the platforms, and capability for integration to national information systems.	Public spending				P	ST	M	O
106	Private platforms usage rules	Define clear rules regarding the procurement cases where the private platforms can be used. Such rules may include types of products/services/works, financial thresholds, etc.	Public spending				P	ST	M	O
107	Private platforms use justification	Define a set of criteria to be used for all cases of procurement procedures where the use of a private platform is proposed. Based on these criteria the CA wishing to use a private platform should provide a good justification for preferring the private platform over the national one.	Public spending			S	P	ST	M	O
108	Private platforms integration to national systems	It is proposed that a minimum set of requirements regarding integration of private e-Procurement platforms to national information systems is defined. Such national systems may include EOs registry, EOs blacklist, and reporting systems.	Inter-operability		S	P	S	ST	M	O

5 Future state proposal

The inputs that were used to define the proposed future state of the Slovak public e-Procurement environment were the following:

- the set of recommendations that resulted from the current state assessment
- the Strategy of Electronic Public Procurement published by the PPO in 2016, during the execution of this project, and further detailed in section 5.1 below
- best practices in the Public e-Procurement domain.

The proposed future state is described, similarly to the current state, in terms of four (4) dimensions: People and Organisation, Technology, Processes and Legislation.

The described future state is considered as being in place in a period of 2-3 years from today in 2019. The proposed roadmap towards the future state is described in the next chapter.

To not repeat all recommendations discussed in the previous chapter, but also to be clear on their coverage, we include in each section, if applicable, a table with the titles of the relevant recommendations proposed to be taken into consideration within the context of the respective Section. The ones that have been considered as primary for the specific area are in bold letters, while the ones that have been considered as secondary are not bolded.

5.1 Strategy of Electronic Public Procurement - PPO

Main points of the Strategy

- **Objective of the Strategy**: The main intention of the Strategy is to help effective and timely implementation of changes concerning e-PP resulting from the EU legislation such as new directives regulating contract awarding, the regulations of electronic identification for electronic transactions (eIDAS) and the directive on invoicing.

- **Sources of information that guided the Strategy**: EU legislation, national legislation (originating from the EU legislation), EU projects (ISA, OpenPEPPOL, eCertis, etc.)

- **Proposal of an effective functioning of electronic Public Procurement**: The future technology landscape is presented, consisting mainly of the SVO, "System of Public Procurement", and a number of other systems integrated with SVO.

The main components of the future landscape are:

- **SVO, the System of Public Procurement**: The SVO environment will consist of:

    - A set of modules forming the core functionality of SVO and covering the e2e procurement lifecycle:

        - preparation of call for tenders: SVO will offer enhanced functionality including support for the development of a PP plan, library of

templates and documents that the CAs can use or copy to create more easily their own tender documents, etc.

- e-Notices – supporting electronic notices through auto fill, copy, save and publishing functions
- e-Access – access to basic information, notification (activated after subscription), single sign-on with eID, support of other languages
- e-Submission – including integration with the Registry of Financial Statement, Registry of banned subjects, ESPD and e-Signature
- e-Evaluation – including automatic checking of document completeness, calculating total score (for MEAT criteria), enabling side-by-side comparison of offers, automatically sending a result of the evaluation to all suppliers, publishing information about the result of the evaluation process and ranking of the participants
- e-Contract Award – automatic submission of documents and information to the contract administration module, publishing to CRZ and online signing of the contract.
- e-Order – information in the offer and the contract will be stored and used to produce e-Order, e-Invoice and to support e-Payment
- e-Invoice – complying to the EU standards
- e-Payment – three types of payments: payment for the services of public administration (e.g. fee for registration, fines, etc.), payment in form of a guarantee, payment for services agreed in the contract
- archiving – the archiving (read-only mode) of information and documents related to PP for the period required by the law.

- Integration with modules of the UVPS: The preferred approach is to use as much as possible central functionalities that are available and that can be used by other systems as well. Modules that will be integrated include MEP (e-payment), eDesk module (providing all forms and documents, recording data for statistics), eNotify module (sending notifications via SMS or by other means), MED (enabling sending and delivering documents, keeping records about the time and date of delivery/unsuccessful delivery), eForm module (for submitting forms).
- Integration with other Slovak Republic systems: ITMS (central system for managing programmes and projects), CEDIS (system for audit, evidence of plans, monitoring and reporting the results of government audits of usage of the EU and other funds).

- **EKS, Electronic Contracting System.** EKS will be integrated with SVO, at least to the extent of publishing obligatory documentation in the profile of PPO and the Journal of PP. Single-sign-on will be ensured between EKS and SVO.

EKS will be also integrated with the lists and registries of UVO. EKS will provide statistics to SVO.

- **Private e-Procurement platforms.** Private providers will also have to comply with the legislative requirements for electronic communication. The crucial areas are the identification and authentication of subjects entering the system. SVO will also provide several interfaces for other functionalities to enable electronic communication to a greater extent also in private systems. To ensure contract awarding only through Information Systems satisfying the legislative requirements concerning electronic communication, there will be a requirement for a legislative change and a change in the certification of these private systems.

Observations on the strategy

The Strategy document, although failing to present a full picture, is a good starting point to debate the future desired Public e-Procurement environment in the Slovak Republic.

It lacks though significant components which are mandatory for a document to be a complete strategy. As a minimum a strategy should answer three critical questions:

- "Where" are we going to?
- "When" do we plan to get to the target?
- "How" are we going to get there?

Where are we going to?

The final picture, although very promising, is incomplete. It describes only the Technology component, but leaves out completely all other components, i.e. Processes, Governance, and Legislation.

The recommendations resulting from the assessment described in the previous chapter were characterised in terms of their content as Governance, Process, Legislation or Technology-related. 45% of the recommendations are primarily characterized as non-Technology related, i.e. belonging to one of the other three categories (not to mention an additional 35% that have been characterised as belonging secondarily to one of the three non-Technology categories). One might argue that not all recommendations are of the same complexity and volume. Still, the percentage of 45% means that the non-Technology items that have to be treated in order to achieve a good e-Procurement environment are too significant to be omitted from a strategy development.

When do we plan to get there?

There is no timeline in the Strategy document showing when the described picture will be in place. It may be a matter of months or a matter of years. It is not mentioned either whether this technology environment will be operational all at once ("big bang" approach), or in phases.

How are we going to get there?

There is no mention of a plan on how the transition from today's technology environment to the future one will be achieved. It is thus not evident whether the plan that is described is even feasible, if there are any prerequisites, risks or dependencies.

From the discussions with PPO we understand that this document was developed to satisfy an urgent need and it does not have a formal character, as it is officially not endorsed by the Government.

Nevertheless, it still has a useful content which the OECD took into account in the strategy proposal.

5.2 People and Organisation

Office of Public Procurement (PPO)

The PPO, as the central State administration authority for public procurement, is expected to be in full control of PP. Among its numerous responsibilities, the following are highlighted:

- The PPO defines and maintains the detailed e-procurement processes. Maintaining means keeping processes alive by continuously adapting and improving them based on market changes, technology changes and feedback from all stakeholders.
- Defines technology matters for e-Procurement. The PPO is responsible for managing the entire technology landscape and having the overall control of systems, monitoring systems, setting the rules for their operation. If there are e-Procurement systems provided by other authorities, the PPO should have the high-level control. Under this scheme, the PPO monitors the EKS use, requests and approves changes to the EKS
- The PPO continues to have an active role in the formulation of Public e-Procurement Legislation

All above items are considered mandatory for the PPO to be able to set a national PP strategy and implement it.

There are high expectations from the PPO currently and these will increase dramatically over time, especially as soon as the electronic procurement becomes mandatory, mainly due to big volumes of users (from CAs and EOs) who will be using new system functionalities and new processes. The PPO should have the structure, the capabilities, and the capacity to satisfy expectations.

It is advised that a separate study is conducted, to define the most suitable PPO organisation, to meet the requirements of the future state. Some points are proposed though to take into account when defining the future organisation.

Certain important services need to be enhanced in their operation and to should offered by the PPO. These services do not necessarily correspond to specific organisational units.

- Systems provision and operations service: The PPO provides the National System of Public Procurement, the SVO, in accordance to the published PPO Strategy (more information in Section 5.3. Technology). As a service, the PPO provides systems development, operation and support, users' technical support (2nd level), technical training, IT vendors' management. Also, control of e-Procurement systems, if such are provided by other authorities, e.g. EKS.
- Tenders support service: Supporting the important tenders and Framework Agreements – with experts in various areas of PP, depending on category of

goods/services/works. This includes also technical specifications' definitions and market research.

- Training service: The PPO supports training co-ordination (and provision for non-technical training), development of people, support (legal, operational, content-wise).
- Legal service: The PPO supports the provision of legal advice to CAs and CPBs related to the tendering phase and the contract execution phase. Also, contribution to the legal advisory role of PPO by collaboration with the various PPO teams with the target to keep the procurement processes, technology and legislation aligned.
- Helpdesk service: The PPO provides a structured 1st level helpdesk for CAs, EOs and all individuals and teams involved in the PP, working on Service Level Agreements and ensuring that all matters get replied to and resolved in specific timeframes.
- MAs support service: The PPO also provides support to MAs by providing information as well as access to information and related analysis tools, helping them to collaborate and share their knowledge and experience.
- Communications service: Conducting continuous communication activities to promote the good functioning of the Public e-Procurement. Important communication initiatives to be included in this area are the following:
    - Ensuring the visibility and awareness of the e-Procurement systems through a set of continuous activities, including information sessions with Commercial/ Technical Chambers in the Slovak Republic, with CAs, publication of information material and links in the above entities' websites.
    - Ensuring awareness on the security levels achieved and the approach taken to achieve them, regarding the e-Procurement systems. EOs, CAs, other Public Authorities and citizens should all be included in the communication recipients and the target is to build and maintain trust in the e-Procurement security.
    - Initiating and increasing the adoption of ESPD, to reduce the burden and increase the reliability of EOs' certification for the various tenders. PPO will need to develop and to execute a continuous communication plan towards both EOs and CAs for all to become aware and to buy into the ESPD concept.

✓ *PPO – Control of PP*	✓ *IS EVO – Support by PPO*	✓ *PP experts' teams*
✓ *Advertise security*	✓ *Information request management improvement*	✓ *Visibility / awareness increase*
✓ *ESPD integration & adoption*	✓ *One or two platforms?*	

Ministry of Interior (MoI) – EKS Management Team

The MoI has a clear CPB role. The MoI also provides and manages the EKS system, assuming that EKS is still a component of the future systems landscape (more information in Section 5.3. Technology). As described in the above section, it is expected that some aspects of the EKS operation are under the control of the PPO. Under this scheme the MoI provides the EKS system as a service to PPO.

A reduced-risk management structure of the EKS system is expected to be in place.

Given also the high experience of the MoI EKS management team, it is expected that the team will provide their expertise and useful advice to the PPO.

✓ *PPO – Control of PP*	✓ *EKS – Governance de-risking*	✓ *One or two platforms?*

Central Purchasing Bodies (CPBs)

CPBs have a significantly upgraded, but also more challenging role.

Legislation is in place to define clearly the role of the CPBs, including the CPBs' responsibilities and obligations towards the partnering CAs, as well as the obligations of the CAs towards the partnering CPBs.

Submission of procurement requests to the CPB is mandatory for certain categories. The CPB groups the requests and procures on behalf of the CAs, achieving better prices, better terms, and with reduced administrative burden as it runs one procurement procedure for a set of grouped requests instead of many. The CPB concludes Framework Agreements on behalf of its partnering CAs for certain pre-defined product categories. A clear process is in place, defining the cases and the procedures under which the CPB supports the CAs procurement needs.

To support the CPB in their enhanced role, the systems offer relevant capabilities/functionalities, such as grouping of requests (not only in implementing the grouping, but also in performing the analysis to identify good targets for grouping) and FAs' management.

Finally, it is advised for the Slovak Republic to consider the formation of an intermediate layer of ("mini") CPBs defined by an appropriate governance and process framework, to manage more efficiently the big number of CAs.

✓ *CPB role enhancement*	✓ *PP experts' teams*

Contracting Authorities (CAs) – Connected, trained, heard

A structured training programme is ongoing on a continuous basis, to ensure that all CAs are trained in the following areas:

- Process training on redesigned processes and legislation
- Technical training on the use of systems
- Best practice training: how to do better procurement, i.e. how to achieve higher EOs participation, how to write better specifications, how to achieve better prices and terms, how to better manage contracts, etc.

The training offered is two-phased: the initial phase for officials who assume a new role in e-procurement or who have not received the training before, and the "refresh" phase for officials who have received the training previously, but should be updated on process and systems changes and on evolving best practices.

An effective communication channel has been established for CAs to provide feedback and share experience and knowledge through defined processes. A Knowledge Database supports the sharing of information.

CAs have internet connectivity. Even if certain CAs do not yet have connection, there is an arrangement allowing them to conduct their procurement via other CAs that have connection.

CAs are coordinated by and reporting to their respective CPB regarding their specific procurement requests.

✓ *CA training*	✓ *Internet connectivity for CAs*

Managing Authorities (MAs)

MAs are strongly connected to each other as a body, exchanging information, sharing cases, incidents and experience. A Knowledge Database supports the sharing of information. The same knowledge base is used by the CAs as well, in order to maximise the sources of information as well as the benefit from sharing.

MAs have access to detailed procurement information coming from all existing systems (e.g. SVO and EKS), but consolidated in one repository and use Business Intelligence tools which allow them to make efficient analysis.

Controlling Bodies

One or more Control Bodies are established, adequately empowered to perform periodic, complete or sample-based and ad-hoc controls on public procurement procedures. Such bodies should be provided with the appropriate access to information and with efficient tools for flexible analysis at detailed and aggregated level. It is equally important to include any actions related to the establishment of such bodies in a communication plan towards all Public Procurement stakeholders, in order to give visibility and to improve the trust to Public Procurement.

✓ *Control bodies' establishment*

Economic Operators (EOs)

EOs are trained in the use of the systems and in the e-procurement processes. There are recurring training sessions for EOs and there are online tutorials available in the English language as well, on all systems' portals.

The EO training includes a number of actions for awareness and adoption of the ESPD.

EOs are registered in a central registry, which gives them the possibility to use the available e-Procurement system(s) without any additional registration. They do not need to register for each procurement procedure either.

EOs are registered for specific products/services/works categories. They can only participate in tenders for these categories. This practice protects the fair competition, but can also damage it by limiting the EOs because of incorrect setup of categories. It is thus advised that such practice is followed only if the market and the Public Procurement are in an adequately mature state to wisely define the categories.

EOs are receiving notifications for tenders within the ranges of products that they have subscribed to.

They are participating in a feedback process, providing feedback on the procurement process, on the systems and on specific procurement procedures directly to the PPO or through Chambers.

5.3 Technology

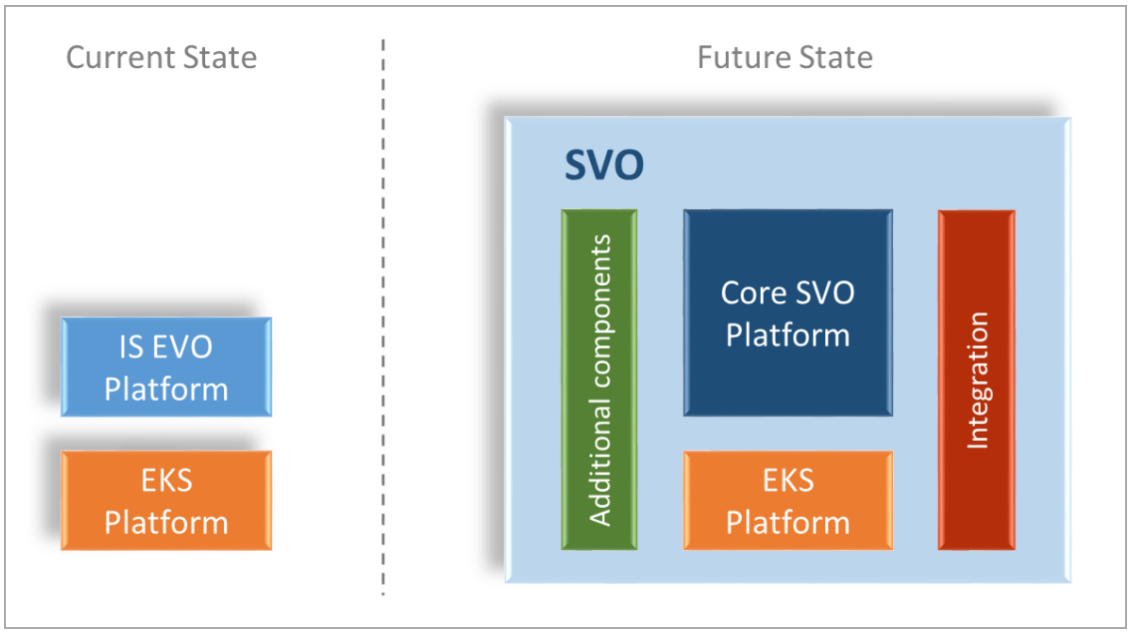
The key items characterising the future technology landscape are: friendly and easy-to-use systems, increased coverage of the procurement lifecycle, simplification of procurement processes, inter-operability with other national and international systems, and clarity of roles and usage.

National e-Procurement platforms selection

An important item shaping the future technology landscape is the existence of one or two national e-Procurement platforms. It is understood that the recent introduction of the EKS system brings many important benefits to the e-Procurement environment in the Slovak Republic. However, considering that the implementation of the EKS, in addition to the IS EVO, did not result from a national e-procurement Strategy which included two platforms and that there is also a downside to the introduction of a second platform, the current situation needs to be challenged. The co-existence of IS EVO and EKS is today, as discussed before in this report, an area of confusion regarding which platform is the right one to be used for certain procedures, sending possible negative messages to CAs and EOs regarding the provision by the State of two competitive platforms, and is a source of higher cost for the State.

It is strongly advised thus for the Slovak Republic to examine the necessity of the two platforms in the future landscape, by conducting a structured comparison between the scenarios of: having two platforms each for a subset of procurement procedures, and of having one platform supporting all procurement procedures. It is proposed that the comparison study is coordinated by an Authority independent of the PPO and the MoI, possibly the Deputy Prime Minister's Office.

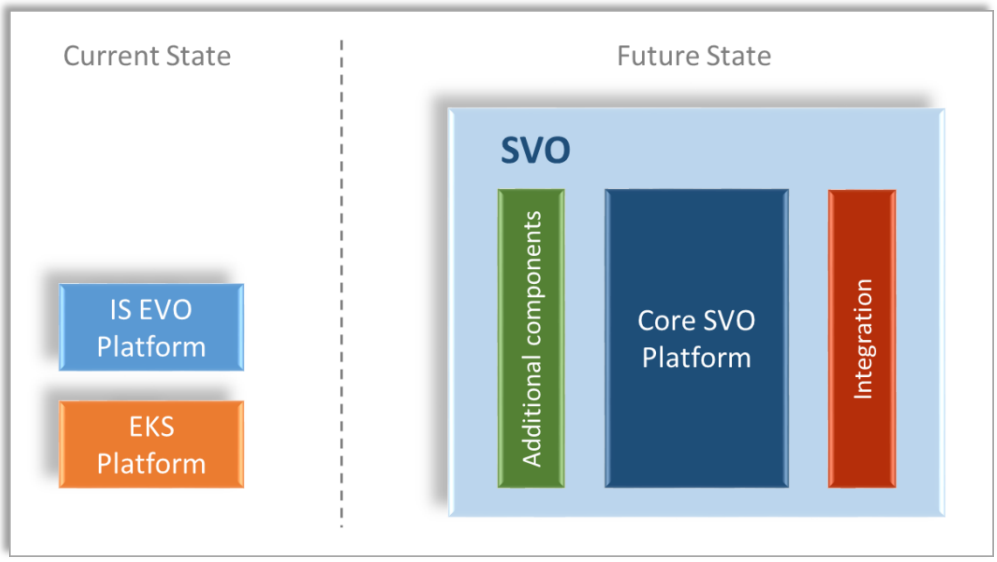
Figure 5. Scenario A – Two platforms



It should be emphasised here that "Scenario A: Two platforms" is not considered to be exactly as the current state, but as an improved state where there is a clear split between the use of the two platforms and a clear definition of the current lack of clarity in definition items, such as common goods/services/works and thresholds.

Similarly, "Scenario B: One platform" is not considered as equal to the pre-EKS state with IS EVO as the sole e-Procurement platform. It is considered as having a single platform that will incorporate the functionalities and the positive aspects of both existing ones, up to the level that these are transferable.

Figure 6. Scenario A – One platform



The comparison of the two above scenarios is proposed to use a balanced scorecard approach, which will consist of the following steps:

- Definition of **criteria for comparison**: This step includes the definition of a numeric rating scale for each criterion as well (e.g. 0-3, 1-5, 0-10, etc.), although these may be different for each criterion. The result should be a complete set of criteria, quantitative and qualitative. Qualitative criteria will ultimately be expressed in a quantitative form. Examples of criteria for comparison:
  - Achievement of e-Procurement objectives (reduction of public spending, transparency, fair competition, simplicity of procurement processes)
  - Cost of implementation of changes (integrations, changes in current systems and new modules, to achieve the future state)
  - Cost of annual maintenance and support
  - Cost of further ongoing changes (if, when required)
  - Cost of possible breach in current contractual obligations (e.g. if the use of a platform is terminated)
  - Personnel involved in the administration, operation and support of the platforms
  - Complexity of systems integration
  - Complexity of future system changes (e.g. because of legal or regulatory changes) or enhancements (for improvement)
  - Training requirements.
- Definition of **weight factors** according to the importance of each criterion
- **Rating of each scenario** on each criterion. This step includes the documentation of the rationale for each rating as well as the underlying assumptions, if any. Documentation of assumptions, if such are identified, is important, as sometimes an assumption used for the rating of a scenario on one criterion may have impact on the rating of the other scenario or on the rating on other criteria as well. For this reason, each assumption documented needs to be checked against both scenarios and all criteria.
- Calculation of overall rating, discussion of the two scenarios based on the comparison results and **final decision**.

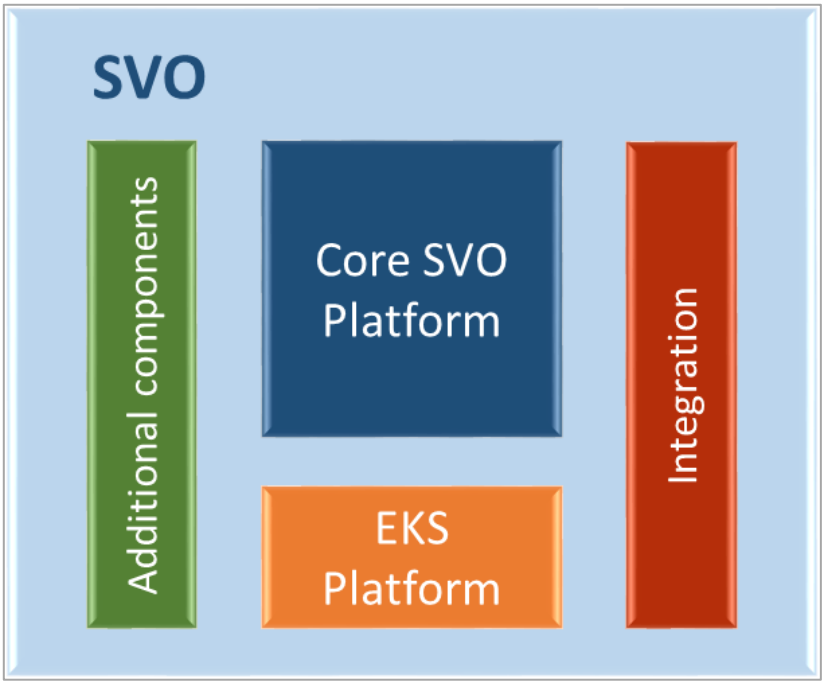
If there are two platforms the SVO is the superset of the two, under the assumption that the two platforms are clearly mutually exclusive, so that there are no overlaps in terms of which platform can be used for each procurement procedure.

Regarding the table of applying recommendations at the end of each Section or Sub-Section, there may be items related specifically to one of the two current platforms, which must be taken into account separately if the future landscape includes both.

✓ *One or two platforms?*	✓ *EKS – operation by private company?*

Architecture components

Figure 8. SVO components



For clarity reasons, we provide a brief description of the SVO high-level components presented in the previous pictures.

Core SVO Platform: The primary National e-Procurement platform, including the current IS EVO functionality and all additional items and improvements described in the Recommendations Table. It may be based on today's IS EVO modules, or may be a completely new platform. Its final composition will depend on the result of the tender proposed to run within the Strategy Implementation Roadmap discussed in "Section 6. Implementation roadmap".

EKS Platform: The secondary National e-Procurement platform. In case that "Scenario A: Two platforms" is selected, the EKS Platform will be a component integrated to the SVO environment. Its future core functionality is expected to be the same as today, possibly with certain changes in order to be aligned to the future legislation that will clarify the scope of each platform and with the improvements proposed in the Recommendations Table. Moreover, the future EKS Platform is expected to be sharing with the Core SVO Platform the same "Additional Components", as well as "Integration" layer.

In case that "Scenario B: One Platform" is selected, the EKS Platform will not be a separate component of the future architecture, but its scope and functionality will be covered by the SVO Core Platform.

Additional Components: Modules that might not be considered as a part of the Core e-Procurement Platforms functionality, nevertheless are required for its operation, e.g. Unified EO Registry, EOs rating and blacklisting, objections management system, reporting/Business Intelligence System, etc. In case of "Scenario A: Two platforms", these components are used

by both platforms. The information of the EOs registered is stored only once in the Unified EO Registry and is used by both platforms, so an EO needs to register only once in order to have access with a unique account to both platforms. The blacklist is common for both platforms. The objections management system is a common function supported by a common system; for both platforms, reports can be produced and Business Intelligence analysis can be performed using combined information from both platforms, etc.

Integration layer: A component that integrates each SVO environment component with other SVO components, and the SVO with all external systems (such as the National Registry of Contracts, Journal of PP, tax records, social security records, Commercial Chambers Registries, etc). The Integration layer is obviously used by both platforms in case of "Scenario A: Two platforms".

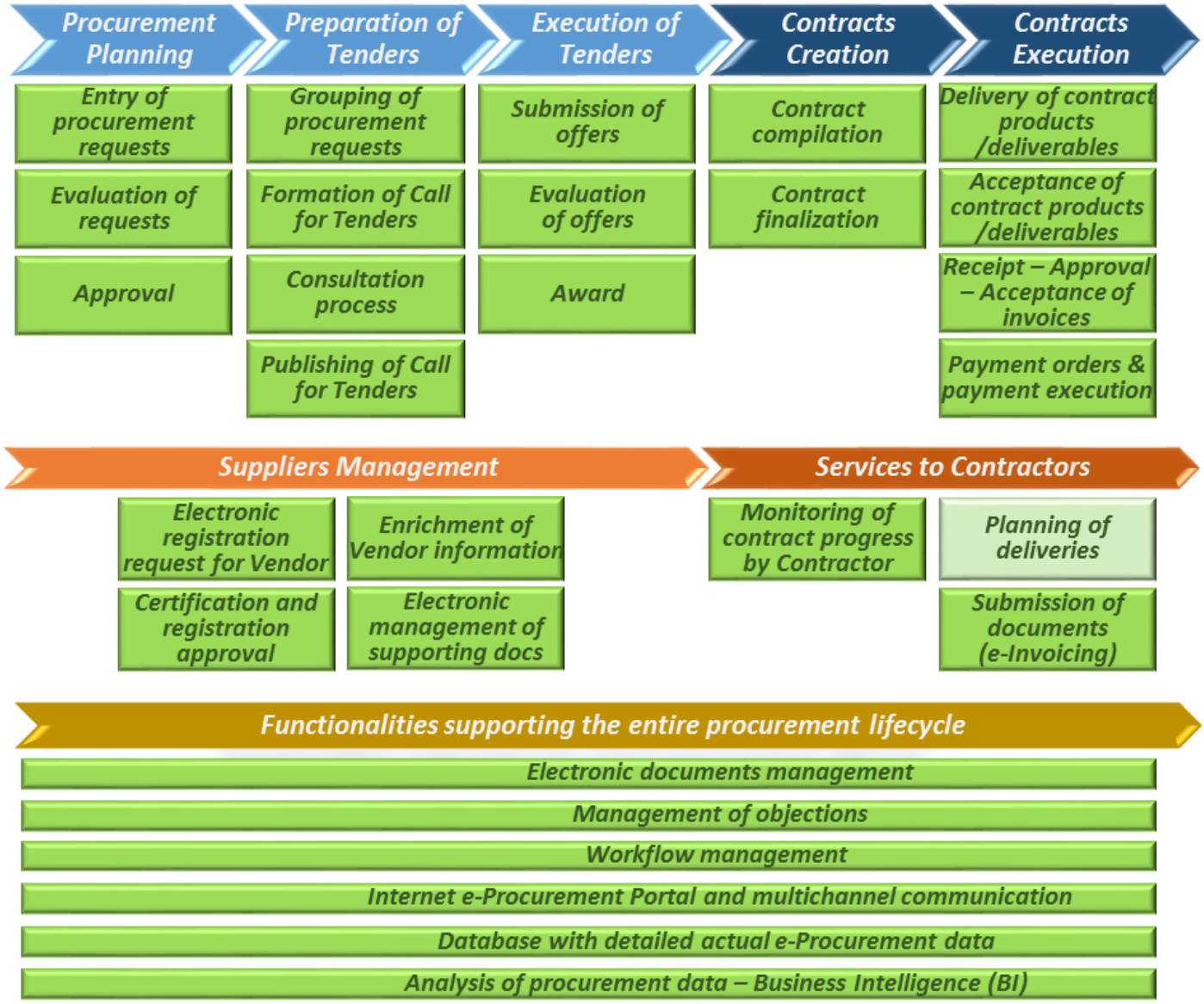
The SVO will consist of all above major components. The same term will be used regardless of whether its core e-Procurement component consists of one platform (the Core SVO Platform) or two platforms (the Core SVO Platform and the EKS Platform).

Furthermore, all recommendations referring to IS EVO should be applied to the future Core SVO Platform, while all recommendations referring to the EKS should be applied to the future EKS Platform (component of the future SVO system in Scenario A), or to the Core SVO Platform (in Scenario B).

Functionality coverage

The SVO is expected to cover the entire procurement lifecycle.

Figure 7. Coverage of the PP cycle by the future e-Procurement platform



A short description of the procurement lifecycle in terms of SVO functionalities follows:

- **Procurement Planning**

  The annual procurement plan is submitted in electronic format by each CA. Aggregation of individual plans to higher levels and approval processes are supported by the system.

  All procurement requests are submitted electronically by the CAs. Approval of requests is electronic and recorded in the system. Requests that, according to the regulation on CPBs, have to be forwarded to the CPBs for aggregated procurement execution or decision are forwarded automatically.

  The estimated contract value is calculated based on predefined rules and with the support of the system, which offers that necessary data from past procurement.

If there are more than one e-Procurement platforms (as part of the SVO) it is clear to all CAs which platform they will use for their procurement. Discretionary choices by CAs on which platform to use shouldn't be allowed.

✓ *Estimated contract value calculation*	✓ *Procurement request approval functionality*	✓ *Users single registration*
✓ *Systems separation - clarity*	✓ *IS EVO - ID card login*	

- **Preparation of Tenders**

  Procurement requests can be grouped with support from the system and consolidated into a single procurement. This can be done either by the CPBs or by CAs who have agreed to procure for a group of other smaller CAs on a voluntary basis.

  The call for tenders' preparation is supported by the system, which makes available templates applicable to as many as possible cases, as well as the history of all previous tender documents (especially descriptions and technical specifications) which can be re-used wholly or partially in new tenders.

  Public consultation can be conducted directly from the SVO, through which the call for tenders is published and feedback is recorded.

  The system supports the 1st ex-ante control. The tender evaluation factors and respective rating and comments, as well as the approval (or rejection) of the tender to go ahead are recorded in the system.

  The call for tenders is published on the SVO website and automatically sent to the appropriate repositories as well: Journal or Public Procurement and TED (if applicable). The basic information about the call for tenders is available in both Slovak and English languages.

  EOs are automatically notified, based on their subscription to specific goods, services or works categories.

✓ *Grouping of requests*	✓ *IS EVO - Tender description templates*	✓ *Public consultation functionality*
✓ *Ex-ante controls functionality*	✓ *English language support improvement*	✓ *Geography limitation in tenders*
✓ *EKS to Journal of PP integration*	✓ *EKS to e-Sender integration*	✓ *Tenders publication everywhere*
✓ *Procedures separation - clarity*	✓ *IS EVO - e-Signature functionality*	✓ *IS EVO - Notice publishing to TED first*
✓ *IS EVO - invitation to e-Auction modification*	✓ *IS EVO - Innovation partnership*	✓ *IS EVO - Direct competitive procedure*
✓ *IS EVO - Design contest*	✓ *IS EVO - Competitive dialogue*	

- **Execution of Tenders**

  The EOs submit their offers fully electronically. EOs can use the ESPD for providing compliance to required certifications. EOs do not need to register for each tender they participate in. They use the credentials provided to them during their initial registration to

the EO National Registry. If ESPD is not used, the required certificates are transferred automatically from the source national systems, as the SVO is integrated with these, via the UPVS, or are submitted in electronic format by the EO. Blacklisted EOs are not allowed to participate.

Automatic certification check (either though ESPD or through the electronic submission of documents) is performed during the participation request phase and, if not complete, the EO is not allowed to submit a tender. EOs use e-Signature to confirm the validity of their submitted documents. No special (i.e. non-commonly available) software is required for EOs to submit their tenders.

Questions by the EOs are submitted electronically and answers by the CA are also shared in electronic format. All information exchange (Q&As) is recorded in the system.

The offers are evaluated with the support of the system. All ratings, intermediate results and comments, as well as total scores are recorded in the system.

If the procedure is e-Auction, then the proposed winning tenderer is automatically decided at the end of the auction.

As soon as there is a proposed winner, the implementation of the 2nd ex-ante control takes place, supported by the system.

As soon as the tender is awarded, the certificates of the winning EO are acquired automatically from the integrated national repositories, or the EO submits electronically the relevant documents.

✓ *IS EVO - Tender evaluation functionality*	✓ *EKS – EO initial certification*	✓ *EKS – Pre-award check*
✓ *EKS – 2nd ex-ante control support*	✓ *Integration with national records*	✓ *e-Signature functionality*
✓ *EO unified notification*	✓ *ESPD integration & adoption*	✓ *EO unified blacklisting*
✓ *EKS – Blacklist fix*	✓ *IS EVO - No Adobe*	✓ *IS EVO - UPVS integration*
✓ *IS EVO - Procurement documentation - set to "public"*	✓ *IS EVO - ID card in e-Auction*	✓ *IS EVO - Financial statements register integration*
✓ *IS EVO - e-Catalog proposal support*	✓ *IS EVO - e-Catalog tenders evaluation & processing*	✓ *IS EVO - IS Data Collection integration*
✓ *IS EVO - e-Certis integration*		

- **Contract creation**

  After all pre-contract checks are complete and successful, the contract is prepared in the system and signed electronically by CA and EO. The contract is published automatically at the adequate repositories, Journal of PP, and National Registry of Contracts. The list of tenderers and results are published. The contract is available both in electronic format and on paper as well (printed from electronic), both formats officially valid.

✓ *IS EVO - Contract creation functionality*	✓ *Paper contract and e-Contract availability*	✓ *Minimum valid tenders*
✓ *IS EVO – Publish tender result*		

- **Contract execution**

  The contract enters the execution phase. Electronically generated orders are submitted (if applicable) to the EO according to the contract terms.

  SVO includes the functionality of e-Catalog and Dynamic Purchasing System (DPS) as well. Framework agreements are also supported and facilitated by the system functionality.

  The EO delivers the goods/services/works to the CA according to the orders. Delivery notes are registered in the system. Format acceptance of the contract deliverables by the CA is registered in the system. The EO sends the related invoices though e-Invoicing.

  A three-way matching is performed in the system (order, delivery note, invoice) to verify the consistency of all documents recorded. Approval of invoices is recorded in the system.

  Payment orders are electronically generated. E-payment is the preferred payment execution method. Payment orders are transmitted to banks, who transfer the appropriate amounts to the EOs accounts. When all payments have been executed and after a check of all contract items is completed, the contract and the related procurement procedure is closed. Evaluation of the EO follows.

✓ *e-Orders functionality*	✓ *Invoice management functionality*	✓ *e-Invoicing functionality*
✓ *Payment management functionality*	✓ *IS EVO – DPS functionality*	✓ *Integration to CA systems*
✓ *IS EVO – e-Catalog functionality*	✓ *EKS – e-Catalog improvement*	✓ *e-Payments functionality*

- **Suppliers management**

  EOs request registration in electronic format. After any required certification checks and approvals, the EOs are registered to the National Registry of EOs. Depending on relevant legislation, the EO may be registered as eligible to submit tenders for certain products/services/works categories officially certified.

  The Registry of EOs is integrated with the e-Procurement platform, the National systems providing the required certifications for participation to tenders and for tender awards.

  The EO information can be updated during its lifetime. A usual source of update is the evaluation of the EO, taking place at the closing of each contract. Negative evaluations may result to the blacklisting of the EO.

✓ *EO unified registry*	✓ *EO unified blacklisting*	✓ *EO specialisation declaration*
✓ *IS EVO – Initial registration functionality*	✓ *IS EVO – Persons ban register integration*	✓ *IS EVO – EO register integration*
✓ *IS EVO – References register integration*	✓ *IS EVO – Financial statements register integration*	

- **Services to contractors**

  EOs who have an active contract with a CA can monitor the contract execution in the system, e.g. quantities they have delivered, quantities accepted by the CA, quantities

remaining to be delivered, invoices submitted and paid or unpaid, payment order, payments executed. This especially helps EOs who do not have their own systems for such monitoring, but also supports all EOs to check the consistency between their own records and those of the CA. EOs can submit their invoices in electronic format (e-Invoicing).

✓ *E-Invoicing functionality*

- **Functionalities supporting the entire procurement lifecycle**

  All documents are submitted electronically and managed electronically.

  Objections are managed electronically. Objections are submitted using electronic forms, decisions on the objections are sent to EO in electronic form and all further communication is electronic. All communication is registered and time-stamped.

  The SVO offers workflow management capability, to implement automatic workflows in various areas of the end-to-end procurement process, e.g. procurement request approval, for public consultation, e-Ordering, e-Invoicing and e-Payments.

  A database with detailed actual and historical e-Procurement data is available for all stakeholders who need to have access, e.g. CAs, MAs, CPBs. Each stakeholder may have different access levels. The procurement database stores information from all e-Procurement systems and all platforms (if more than one platform is available). Flexible search facility is provided for all stakeholders to easily retrieve information in the database. The "open data" standards are supported and access is provided to all entities with systems that can connect and retrieve data for performing their own analysis.

  A flexible business intelligence tool for multidimensional analysis of the procurement data is available to those who have access to the Procurement Database. The tool implements the calculation of a set of KPIs measuring the performance of public procurement in various areas.

  A Knowledge database has been setup, for the use of CAs and MAs who wish to share valuable information, good practices, exceptional cases (e.g. price fixing, fraud, bid rigging), and experience.

✓ *IS EVO – Workflow management*	✓ *Business Intelligence component*	✓ *PP information search tool*
✓ *PP information search for MAs – quick*	✓ *PP information – Open Data*	✓ *KPIs implementation*
✓ *Knowledge Database*	✓ *Objection e-Submission functionality*	✓ *IS EVO - e-Forms: e-Proposals functionality*
✓ *IS EVO - e-Forms: e-Decisions functionality*		

Private e-Procurement platforms

During the discussions with the Slovak State officials and the EC representation, it has been requested to consider the use of the Private Platforms in the future.

Private e-Procurement platforms are undoubtedly a significant component of the current state, as previously discussed. It is recognised that the continuation of the use of PPs by CAs may be valuable for a certain period, for various reasons:

- Private platforms will continue to provide an alternative solution to national platforms, at least until the official launch of the SVO. This might be also useful in reducing as much as possible the enhancements required to be implemented in the IS EVO, to support the period until the SVO launch.
- It will be useful to study the benefits provided by the private platforms, which make them preferable to the existing national platforms, to ensure that such benefits are realised in the future by the SVO as well.
- The companies offering the private e-Procurement platforms will be protected from facing an immediate danger of stopping their business, especially if the biggest part of their revenue comes from public procurement.

It is proposed though that the inclusion of private e-Procurement platforms in the immediate future landscape is implemented in a controlled manner. Thus, a set of conditions is proposed:

1. Clear and detailed **rules for private platforms certification** will be defined in the legislation (if not already defined) including maximum cost benchmarks. The rules should be revised when required, e.g. due to changes in the legislation or regulation, due to gradual evolution in public procurement know-how, etc. The rules should include requirements related to positive scoring of private platforms from previous tenders. This assumes a process and respective tool for scoring a private platform at the completion of each procurement procedure.
2. **All private platforms will have to get certified** by the PPO or other Authority, according to the defined rules, if they are interested in becoming candidates for running public procurement procedures. Certification will have a predefined duration, e.g. one year, and will need to be obtained again. The reason for this recommendation is the possibility of changes in the certification rules and the inclusion of positive scoring from previous procurement procedures in the certification rules.
3. **Clear rules regarding the procurement cases where the private platforms can be used** will be defined in the legislation (types of products/services/works, financial thresholds, etc.).
4. **Every CA wishing to use a private platform will have to justify its preference** for each procurement procedure, by means of a predefined set of criteria. Such criteria should be defined by the appropriate body (or bodies). Indicative criteria include:
    - **Cost**: Is the cost of the specific procurement procedure via the specific private platform lower than the respective cost would be if the national platform were used? The cost of procurement through a national platform to be used for comparison will be either the cost to be paid by the CA per procurement procedure where the national platform is used (if such a cost exists), or (if no cost is paid per procurement procedure by the CAs) a

benchmark cost for the use of the national platform defined by the relevant government body.

- **Functionality**: Does the private platform offer a better functionality than the national platform, that is significant for the good implementation of the specific procurement procedure?
- **Simplicity and speed**: Is the execution of the specific procurement procedure significantly simpler and/or faster by using the private platform than by using the national platform?
- **Coverage**: Does the private platform cover the specific procurement procedure case while the national platform does not?
- **Reliability**: Is the private platform considered and proven to be significantly more reliable from a technical point of view than the national platform?
- **Transparency**: Is the private platform considered and proven to be significantly more transparent than the national platform?

5. For each procurement procedure where it is desired to use a private platform, an application will be submitted including information on the specific procurement, the platform proposed and the justification for using the private platform according to the predefined criteria discussed in the previous point. A special committee – from the PPO or other appropriate body – will evaluate the application and approve or reject it based on the justification provided.

6. Overall limits may be defined by the State regarding the total annual amount to be spent for running procurement procedures with the use of private platforms.

7. It is crucial that the initial implementation as well as the further evolution of the SVO will take into account all input from the procurement procedures where a private platform has been used, in order to improve its functionality, efficiency, cost effectiveness, coverage, etc.

8. As a result of the above point, it is expected that the use of private platforms will gradually reduce and ultimately possibly be eliminated, as the benefits that currently justify their use will be eventually realised by the SVO and the justification for their use will be limited to very few and exceptional cases, if any.

9. Therefore, a revision of the decision is proposed on an annual basis to allow the use of private platforms, after the launch of the SVO.

✓ *Private platforms certification rules*	✓ *Private platforms usage rules*	✓ *Private platforms use justification*
✓ *Private platforms integration to national systems*		

Important points on Technology

A **modular concept** should be adopted in the development of any new components. This is important in order to facilitate a phased implementation approach, which is typical for such big transformations. Furthermore, since the SVO may finally be a combination of old and new functionality it is safer not to add the extra functionality in the old components, but to develop new components which may be provided by different vendors. The risk of negative side-effects to old components is reduced in this way.

As there will be a number of components in the system, old and new ones, as well as a number of integrations with existing national systems, it is important that an overall **architecture based on an integration layer** (through an Enterprise Service Bus – ESB) is adopted, instead of point-to-point interfaces, which increase both the implementation and especially the maintenance complexity. This is not always possible or simple to do, especially when dealing with older systems that already offer specific interfaces and cannot be altered. An integration layer though should be the preference for all cases where this is possible.

No system or component needs to be taken as a given. The decision of keeping two platforms or continuing with one has been discussed already. Furthermore, we understand that the IS EVO is a nine-year old system with little or no evolution since its initial deployment. This means that certain important requirements of the future systems landscape may be very difficult or even impossible to implement on the existing IS EVO components, such as: integration architecture through ESB, workflow management capability, modern/simple/friendly user interface. The **possibility of replacing instead of improving certain components** should thus be considered.

System capacity and stability should be ensured and thoroughly tested. The current IS EVO has issues of low performance and technical instability. Such issues should have been resolved, by careful capacity estimation, stress testing and exhaustive functional testing before any components, new or improved are put into production. A **stable internet connectivity** of adequate bandwidth should be ensured for all CAs

As a thorough review of the e2e procurement processes has been proposed, for simplification and efficiency reasons, it is expected that a number of changes will be required to be implemented on the existing systems as a result.

✓ *IS EVO – Capacity review*	✓ *IS EVO – Crashes fix*	✓ *IS EVO – technical issues fix*
✓ *Security assessment*	✓ *Data protection review*	✓ *KPIs implementation*
✓ *Knowledge Database*	✓ *e-Processes compliance to law*	✓ *IS EVO – Process simplification*
✓ *EKS – process review for fairness*	✓ *IS EVO – Increase usage - quick*	✓ *PPO Feedback window*
✓ *Internet connectivity for CAs*	✓ *IS EVO - Full e-Procurement support*	✓ *Private platforms usage reduction*

5.4 Processes

The future end-to-end procurement process was described at a high level in "Section 0 - Functionality coverage", as it proposed to be implemented with the new functionality that the SVO will be offering. Although the Section was discussing the future systems landscape and available functionality, all parts of the e2e process presented will need to be designed at the process level first and then implemented at the systems level. It is assumed thus here that new processes have been designed, based on the high-level process framework presented in the previous section, aligned with and fully utilising the systems new and improved capabilities.

Certain points need special attention in the future e-Procurement process framework design:

There is a **clear and simple split of procurement processes,** according to various well-defined attributes, such as product/service/work category, threshold, funding type (EU/non-EU).

There is a **clear and simple definition of each attribute**: for example, regarding product categories it should be very clear which are the common goods/services/works and which are not, the thresholds should be easy to understand and to respect, etc.

In case there are more than one e-Procurement platforms, it should be **very clearly defined which platform is used in each procurement case**. There is no possibility of CA choice regarding which platform to use for a specific procedure. The definition is clear and simple, so that there is no room for subjective interpretation or erroneous characterisation of a procurement so that it ends up being implemented in the wrong platform.

All processes are redesigned from scratch, with the following objectives:

- **Processes are optimised for the use of the systems**, taking into account the new and improved functionality. There is no point in transferring the current manual or poorly designed processes in new systems. Unfortunately, this is a usual case resulting in inefficient processes and very low return on investment. The process redesign will be considered as a separate part of the overall project and will be done by experts in procurement process design.
- The redesigned **processes are simple** (much simplified compared to the existing ones) and easy to learn and to follow. It is crucial for all stakeholders to focus on the content – doing better procurement instead of struggling with executing a complex process.
- The **processes are reflecting the full legislation and regulation**. Following the process will mean that one is automatically compliant with the legislation. It is inefficient for public officials (or EOs) to spend time and effort checking the legislation, on top of following the public procurement processes
- The processes are fully traceable and auditable. All information from each step is recorded, all documents are stored electronically, all communication is authored and time stamped.

- The **Open data principle is adopted**: All information is open to the public unless otherwise specified on an exception basis (such as procurement related to defence material) or because of confidential business information.

More specific comments on processes will not be provided as all have been presented within the individual recommendations in "Section 4.6 - Recommendations". For reference, the table below includes the process-related recommendations where "Process" is the primary focus.

✓ *EO specialisation declaration*	✓ *IS EVO – Initial registration functionality*	✓ *Estimated contract value calculation*
✓ *Works location announcement*	✓ *Publishing tender information - Control*	✓ *Geography limitation in tenders*
✓ *Tenders publication everywhere*	✓ *EKS – EO initial certification*	✓ *Minimum valid tenders*
✓ *EKS – Pre-award check*	✓ *EKS – 2nd ex-ante control support*	✓ *IS EVO – Process simplification*
✓ *EKS - process review for fairness*	✓ *KPIs implementation*	✓ *e-Processes compliance to law*
✓ *Security assessment*	✓ *IS EVO – Increase usage - quick*	✓ *ESPD integration and adoption*
✓ *IS EVO - ESPD support*		

5.5 Legislation

Although not discussed by the PPO as an option, it is still strongly suggested for the PPO to explore the possibility of an amendment to the PPA in order to shift the deadline of 1 April 2017 to a later date, respecting though the deadlines defined by the EU Directives.

The main concern is the obligation for all CAs to conduct all their procurement procedures electronically by 1 April 2017, which, as previously explained, seems to be a very difficult, if at all feasible, target. The EU deadline for this target is October 2018, 18 months later.

Respecting the current situation though in terms of legislation, analysis in this document will be based on the deadlines stated in the Act of Public Procurement and in the Act No. 305/2013 Coll. of the e-Government.

Certain legislation-related items should be addressed when developing future legislative or regulatory framework. Most items have been discussed already in previous sections and have also been presented as individual recommendations in "Section 4.6 - Recommendations". A brief summary is presented below.

Based on discussions with various stakeholders it seems that there is presently a lack of clarity about a number of points, important for the development of the e-Procurement system. Hence the focus for the following items on **clarity**:

- clarification of the role of the PPO, describing the extent of PPO control over Public Authorities related to Public Procurement and over e-Procurement platforms
- clear definition of e-Procurement platform to be used for each procurement case, based on simple and clear criteria

- clear definition of procedure to be used for each procurement case, based on simple and clear criteria
- clear definition of "common goods/services/works" and simple definition of thresholds
- clear definition of information to be published at each step of a procurement procedure, per procedure type.

Certain other items focus on the **EOs**:

- obligation of the EOs to declare the subcontractors that they are going to use if they are awarded a tender, and to provide adequate information for the evaluation of the subcontractors as well.
- setting a lower limit for the number of valid tenders reaching the final stage before the award.
- definition of obligations related to the adoption of the ESPD
- acceptance as a valid legal document of both the electronic and the printed on paper format of an electronic contract.

Certain legislative arrangements are expected to enhance and enforce the role, responsibilities, and power of the **CPBs**.

Finally, it is considered of crucial importance for the Authorities involved in the legislation formulation to ensure a good alignment of legislation and e-Procurement processes, through a close collaboration and common design (of processes and legislation) activity. The target is for the e-Procurement processes to fully respect the legislation, but also for the legislation not to become an obstacle to defining efficient processes.

✓ *PPA and Act of e-Government deadlines amendment*	✓ *PPO – Control of PP*	✓ *Systems separation – clarity*
✓ *Procedures separation – clarity*	✓ *Common goods – clarify*	✓ *Thresholds – simplify and clarify*
✓ *Publishing tender information – clarify*	✓ *Subcontractors declaration*	✓ *Minimum valid tenders*
✓ *Paper contract and e-Contract availability*	✓ *Paper contract and e-Contract availability*	✓ *ESPD integration and adoption*
✓ *CPB role enhancement*	✓ *Legislation and processes joint review*	

6 Implementation roadmap

6.1 Overall approach

In order to define the implementation roadmap towards the future state of e-Procurement described in the previous Chapter, the following items have been taken into account:

- the requirements that have to be respected by March-April 2017 due to legal obligations, presented in "Section 4.5 - Gap analysis for the fulfilment of the obligations"
- the requirements that have to be respected by various deadlines due to obligations related to the EU Directives, presented in "Section 4.5 - Gap analysis for the fulfilment of the obligations"
- the set of detailed recommendations and their prioritisation, presented in "Section 4.6 - Recommendations"
- the proposed future state of e-Procurement presented in "Chapter 5 - Future state proposal"
- the Project of Electronisation of Public Procurement, owned and implemented by the PPO, currently in progress, presented in "Section 3.5 - Projects in progress".

As the scope of changes made to achieve the proposed future state is very significant and the timeframe for the implementation of the requirements related to the legal obligations is extremely short, it is preferred to follow a phased-approach, to satisfy the immediate legal obligations, but also to implement gradually a high-class e-Procurement environment. The following three phases are proposed:

- **Phase I**

  Timeline: June 2016 – July 2017

  Go-live (for pilot): 17 March 2017

  Objective: be ready for the April 2017 milestone. Implement the requirements resulting from the Slovak Legislation, specifically the Act No. 305/2013 Coll. of the e-Government and the Act No. 343/2015 Coll. of Public Procurement, identified as gaps for the 4/2017 milestone. Phase I activities focus on enhancing the existing systems, IS EVO, and EKS.

- **Phase II**

  Timeline: December 2016 – February 2019

  Go-live (for pilot): 14 September 2018

  Objective: Implement the SVO system including the core functionality of IS EVO, the functionality prioritised by the PPO and additional components towards an improved technology landscape as well as improved processes.

– **Phase III:**

  Timeline: May 2018 – December 2019

  Go-live (for pilot): 2 August 2019

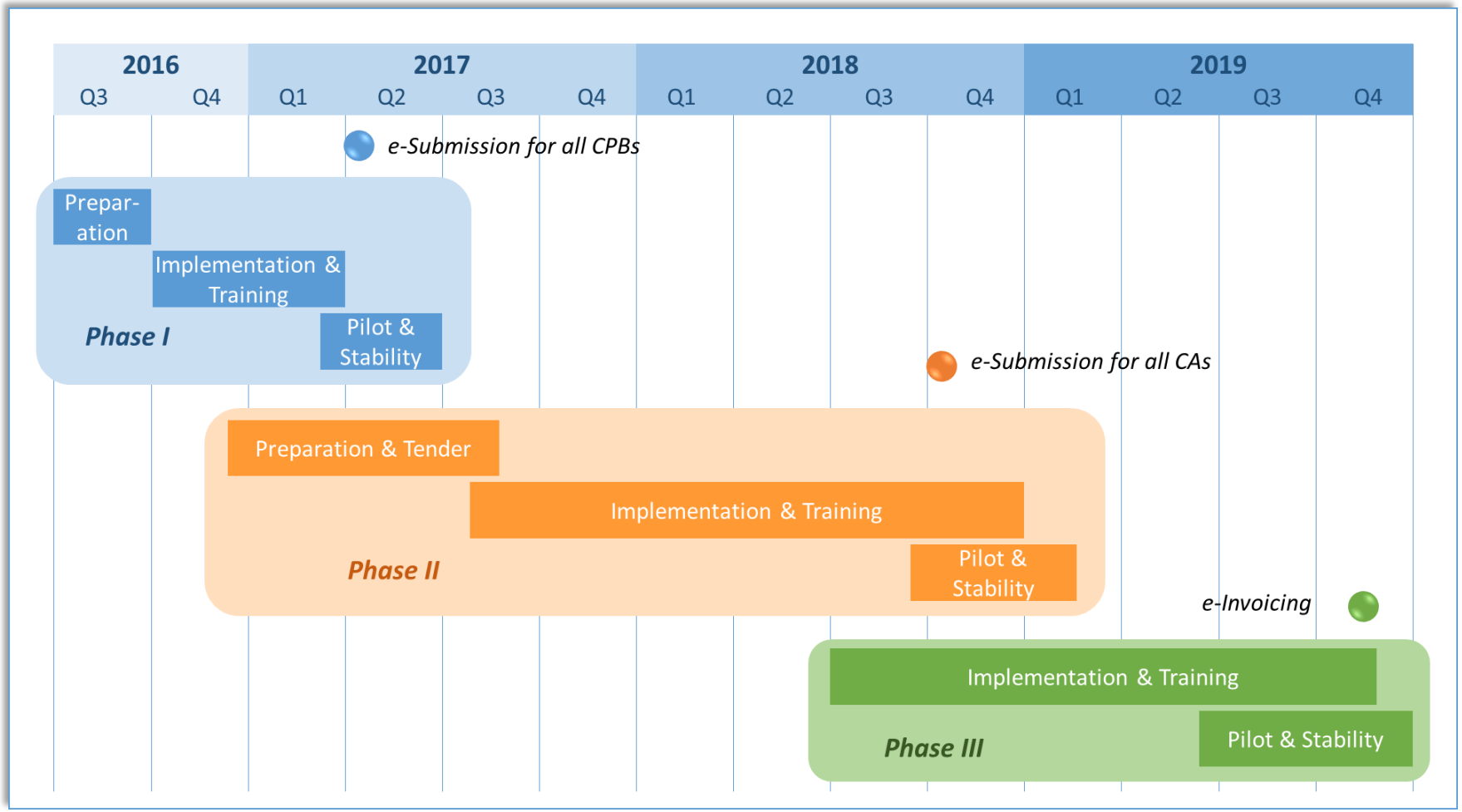
  Objective: Implement additional components and optimise further the processes in order to implement a full coverage of the end-to-end e-Procurement lifecycle and achieve a high-class e-Procurement environment.

The Slovak Republic is currently changing the legislation to align with the deadlines defined by the EU Directives. The Roadmap presented here assumes that the changes in the legislation have been made.

The significant changes in the Roadmap over the one presented in the Draft version of this report in September 2016 are a result of the above assumption.

The high-level timeline showing the three phases is presented below

Figure 8. Phases of the proposed Roadmap



As we will see in the next sections, where a proposed plan with the activties of each phase is presented, certain items are repeated in all three phases:

- All phases include a process review activity, which is running in parallel to the analysis and design activities. It is considered crucial to conduct a thorough review and re-design of processes affected in each phase. Processes may be affected either because a system change introduces a new process or changes to existing one(s), or because the specific phase includes a specific process improvement activity regardless of systems changes.
- All phases include a long Training activity, which starts in parallel to the User Acceptance Test (UAT), as long as the systems are ready and extends for 5-6 months. This training is intended for the CPBs and CAs, introducing them to the SVO concepts. The training should prioritise the CAs who are going to run tenders first. The PPO should have collected the procurement plans of all CAs for the near future, in order to plan the training and the pilot.
- All phases include a 1 ½ month pilot run. The new systems/components are in production, but only few CAs are allowed to run tenders, so that systems can be assessed and that any issues can be identified, in a controlled environment.

We show below the major milestones of the roadmap, for each phase:

Figure 9. Major milestones of the proposed Roadmap

The high-level project plan for each Phase is presented in the respective Section.

6.2 Phase I

Phase I has started with a study conducted by the PPO, aimed at identifying the exact items that need to be implemented to achieve compliance to the law (Act No. 305/2013 Coll. of the e-Government and Act No. 343/2015 Coll. of Public Procurement. The deadline for implementation of the identified items is 1 April 2017.

The changes to be implemented are covered contractually by the existing agreements with the systems vendors, so there is no need for selection of vendors after a tender procedure.

As most of the requirements for implementation during Phase I are related to the legislation obligations and have been provided by the PPO only as titles, their complete scope, volume, and complexity is unknown. In case these requirements are significant in number and/or complexity and cannot be covered entirely by April 2017, a realistic and optimal plan should be made to prioritise the requirements in such a way that a feasible subset will be implemented by April 2017, if possible, and the rest as soon as possible.

It is assumed that PPO develops the electronic forms for proposals and decisions before the start of the development by the vendor.

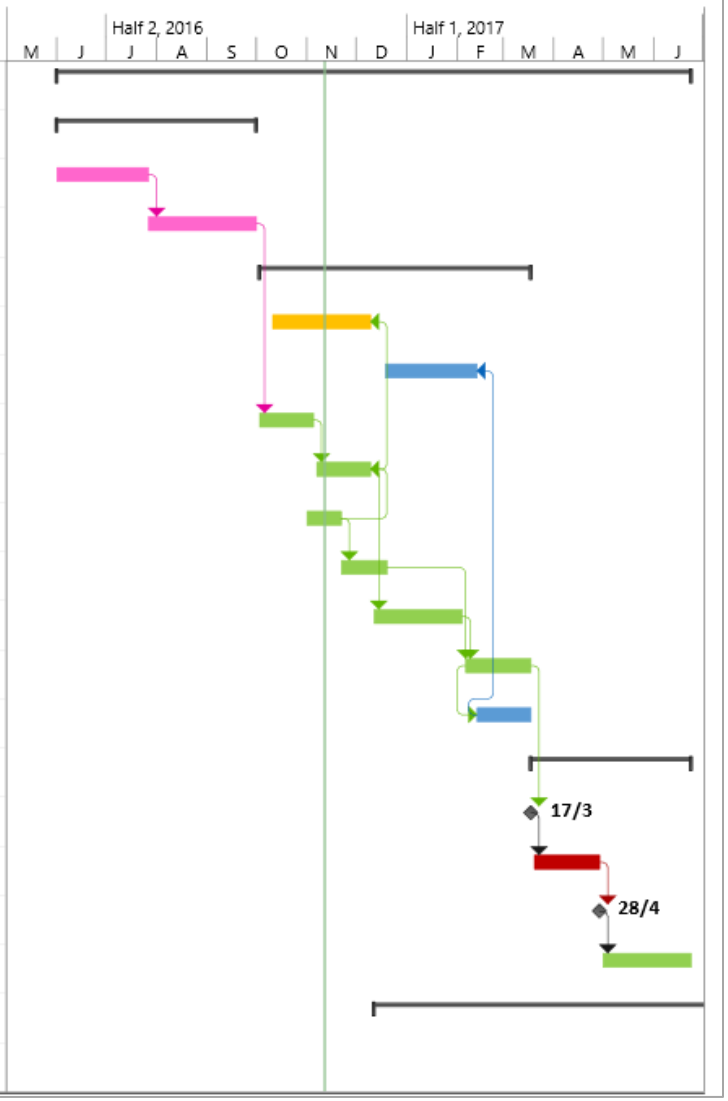
Go-live is on 11 April 2017 and the live operation of the new functionalities starts with a 1 ½ -month pilot.

The scope of Phase I includes the implementation of the following recommendations:

Technology	Governance
PPO Feedback window	CA training
IS EVO – ID card login	PPO – Control of PP
IS EVO – Full e-Procurement support	IS EVO – Support by PPO
IS EVO – e-Signature functionality	EKS – Governance de-risking
e-Signature functionality	
IS EVO – UPVS integration	**Processes**
IS EVO – Notice publishing to TED first	EKS – 2nd ex-ante control support
IS EVO – Procurement documentation - set to "public"	EKS – Pre-award check
IS EVO – ID card in e-Auction	EKS – EO initial certification
IS EVO – invitation to e-Auction modification	Private platforms integration to national systems
IS EVO – e-Forms: e-Proposals functionality	**Legislation**
IS EVO – e-Forms: e-Decisions functionality	PPA and Act of e-Government deadlines amendment
Objection e-Submission functionality	Systems separation – clarity
Internet connectivity for CAs	Procedures separation – clarity
IS EVO – Capacity review	Common goods – clarify
IS EVO – Crashes fix	Thresholds – simplify and clarify
IS EVO - technical issues fix	Private platforms certification rules
EKS – Blacklist fix	Private platforms usage rules
EKS – e-Catalog improvement	Private platforms use justification

Figure 10. Phase I plan

ID	Task Name	Duration	Start	Finish
1	**Phase I**	**278 days**	**Wed 1/6/16**	**Fri 23/6/17**
2	**Preparation**	**88 days**	**Wed 1/6/16**	**Fri 30/9/16**
3	Study	40 days	Wed 1/6/16	Tue 26/7/16
4	Planning	48 days	Wed 27/7/16	Fri 30/9/16
5	**Implementation**	**120 days**	**Mon 3/10/16**	**Fri 17/3/17**
6	Process review	44 days	Tue 11/10/16	Fri 9/12/16
7	Training preparation CPBs	40 days	Mon 19/12/16	Mon 13/2/17
8	Analysis	25 days	Mon 3/10/16	Fri 4/11/16
9	Design	25 days	Mon 7/11/16	Fri 9/12/16
10	Forms analysis & design	15 days	Tue 1/11/16	Mon 21/11/16
11	Forms Development	20 days	Tue 22/11/16	Mon 19/12/16
12	Development	40 days	Mon 12/12/16	Fri 3/2/17
13	UAT	30 days	Mon 6/2/17	Fri 17/3/17
14	Training CPBs	25 days	Mon 13/2/17	Fri 17/3/17
15	**Pilot & Stability**	**70 days**	**Fri 17/3/17**	**Fri 23/6/17**
16	Go-live Pilot I	0 days	Fri 17/3/17	Fri 17/3/17
17	Pilot run	30 days	Mon 20/3/17	Fri 28/4/17
18	Go-live Full I	0 days	Fri 28/4/17	Fri 28/4/17
19	Stabilization	40 days	Mon 1/5/17	Fri 23/6/17
20	**Phase II**	**570 days**	**Mon 12/12/16**	**Fri 15/2/19**
42	**Phase III**	**420 days**	**Mon 28/5/18**	**Fri 3/1/20**

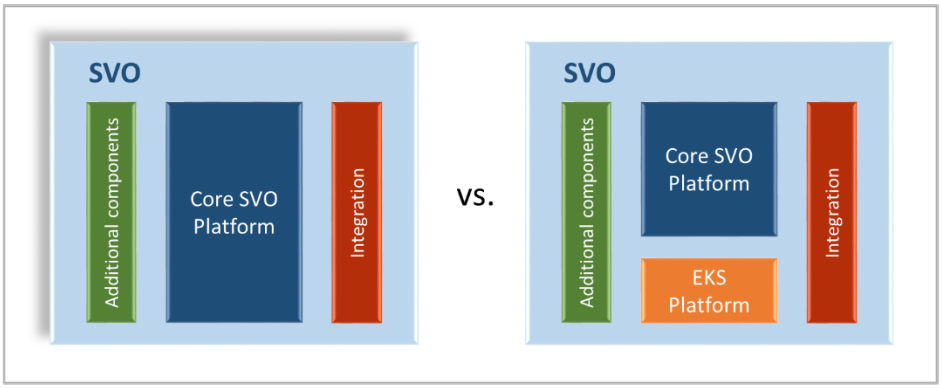


6.3 Phase II

Phase II starts with a **tender, for the selection of the vendor who will implement the SVO, including Phase II and Phase III scope,** the major part of the roadmap.

This phase includes the evaluation of scenarios and **selection between a one or two e-Procurement platform architecture**. This exercice will be co-ordinated by an independent Authority and should begin as soon as possible. It is probable that for this exercice to be properly conducted, some financial estimates will be required regarding the re-building of the core functionalities of EKS in the single platform. A possible approach is to include this as a separate scope in the open tender for vendor(s) selection, requesting a separate pricing.

Figure 11. Future architecture: One vs. two platforms



It is understood that if the decision is taken to proceed with the SVO Core Platform as the single platform, then:

- The SVO Core Platform will provide as a minimum the functionality provided currently by IS EVO and EKS.
- All recommendations referring now to any of the two current platforms or to both will refer to the SVO Core Platform.

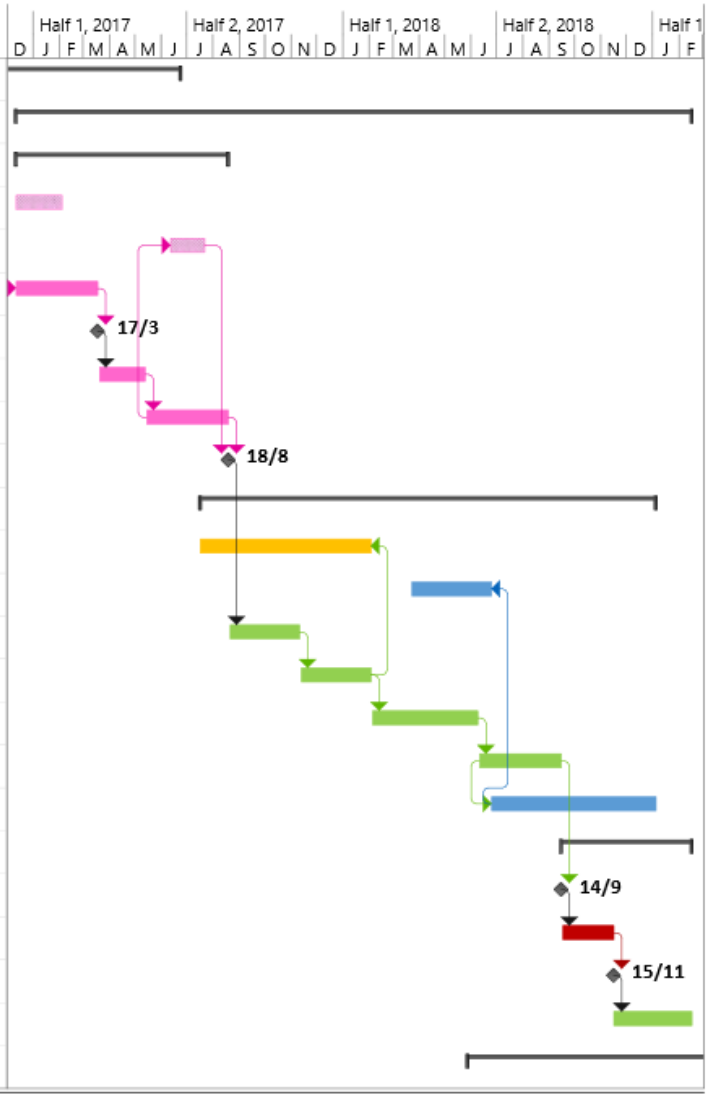
Go-live is on 14 September 2018 and the live operation of the SVO starts with a two-month pilot. The actual plan and go-live date for Phase I and Phase III will be revised and agreed together with the vendor(s) chosen to implement the scope.

The scope of Phase II includes the implementation of the following recommendations:

Technology	Governance
PPO Feedback window	CA training
EO unified blacklisting	PP experts teams
EO unified registry	One or two platforms?
Users single registration	Advertise security
IS EVO – e-Catalog functionality	Information request management improvement
EKS to Journal of PP integration	Visibility/awareness increase
Integration with national records	
ESPD integration and adoption	**Processes**
Ex-ante controls functionality	IS EVO – Process simplification
EKS – Operation by private company	EKS –process review for fairness
IS EVO – Persons ban register integration	KPIs implementation
IS EVO – EO register integration	Security assessment
IS EVO – References register integration	IS EVO – Initial registration functionality
IS EVO – e-Certis integration	Tenders publication everywhere
IS EVO – Financial statements register integration	
IS EVO – ESPD support	
IS EVO – Innovation partnership	**Legislation**
IS EVO – Direct competitive procedure	Publishing tender information – clarify
IS EVO – Design contest	Subcontractors declaration
IS EVO – Competitive dialogue	Legislation and processes joint review
IS EVO – IS Data Collection integration	
IS EVO – e-Catalog proposal support	
IS EVO – e-Catalog tenders evaluation and processing	

Figure 12. Phase II plan

ID	Task Name	Duration	Start	Finish
1	**Phase I**	**278 days**	**Wed 1/6/16**	**Fri 23/6/17**
20	**Phase II**	**570 days**	**Mon 12/12/16**	**Fri 15/2/19**
21	**Preparation**	**180 days**	**Mon 12/12/16**	**Fri 18/8/17**
22	1/2 Systems decision - Part A	40 days	Mon 12/12/16	Fri 3/2/17
23	1/2 Systems decision - Part B	30 days	Mon 12/6/17	Fri 21/7/17
24	RFP preparation	70 days	Mon 12/12/16	Fri 17/3/17
25	Tender start	0 days	Fri 17/3/17	Fri 17/3/17
26	Tenders submission	40 days	Mon 20/3/17	Fri 12/5/17
27	Tender evaluation	70 days	Mon 15/5/17	Fri 18/8/17
28	Award	0 days	Fri 18/8/17	Fri 18/8/17
29	**Implementation**	**385 days**	**Mon 17/7/17**	**Fri 4/1/19**
30	Process review	145 days	Mon 17/7/17	Fri 2/2/18
31	Training preparation CAs	66 days	Fri 23/3/18	Mon 25/6/18
32	Analysis	60 days	Mon 21/8/17	Fri 10/11/17
33	Design	60 days	Mon 13/11/17	Fri 2/2/18
34	Development	90 days	Mon 5/2/18	Fri 8/6/18
35	UAT	70 days	Mon 11/6/18	Fri 14/9/18
36	Training CAs	140 days	Mon 25/6/18	Fri 4/1/19
37	**Pilot & Stability**	**110 days**	**Fri 14/9/18**	**Fri 15/2/19**
38	Go-live Pilot II	0 days	Fri 14/9/18	Fri 14/9/18
39	Pilot run	44 days	Mon 17/9/18	Thu 15/11/18
40	Go-live Full II	0 days	Thu 15/11/18	Thu 15/11/18
41	Stabilization	66 days	Fri 16/11/18	Fri 15/2/19
42	**Phase III**	**420 days**	**Mon 28/5/18**	**Fri 3/1/20**



6.4 Phase III

Phase III continues with the implementation of the 3rd wave of changes, including the additional components to be implemented in SVO with the vendor selected at the beginning of Phase II.

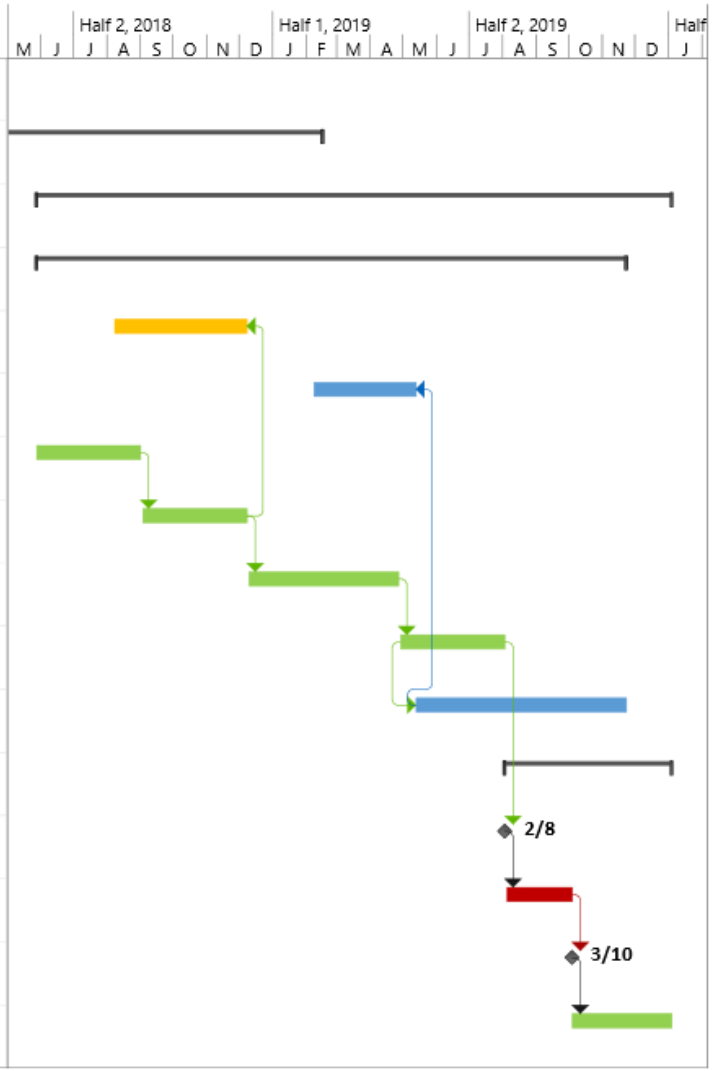
Go-live is on 2 August 2019 and the live operation of the new functionalities starts with a two-month pilot.

The scope of Phase III includes the implementation of the following recommendations:

Technology	Governance
PPO Feedback window	CA training
BI component	Control Bodies establishment
Grouping of requests	CPB role enhancement
Knowledge Database	
PP information search tool	**Processes**
PP information search for MAs – quick	IS EVO – Process simplification
PP information – Open Data	Minimum valid tenders
IS EVO – Publish tender result	Estimated contract value calculation
EO unified notification	e-Processes compliance to law
IS EVO – Tender description templates	Publishing tender information - Control
No Adobe	EO specialisation declaration
Public consultation functionality	Geography limitation in tenders
e-Orders functionality	Works location announcement
e-Payments functionality	
IS EVO – Tender evaluation functionality	**Legislation**
IS EVO – Workflow management	Legislation and processes joint review
IS EVO – Dynamic Purchasing System functionality	Paper contract and e-Contract availability
Data protection review	
IS EVO – Contract creation functionality	
Invoice management functionality	
Payment management functionality	
Procurement request approval functionality	
EKS to e-Sender integration	
e-Invoicing functionality	
Integration to CA systems	
English language support improvement	
Private platforms usage reduction	

Figure 13. Phase III plan

ID	Task Name	Duration	Start	Finish
1	**Phase I**	**278 days**	**Wed 1/6/16**	**Fri 23/6/17**
20	**Phase II**	**570 days**	**Mon 12/12/16**	**Fri 15/2/19**
42	**Phase III**	**420 days**	**Mon 28/5/18**	**Fri 3/1/20**
43	**Implementation**	**390 days**	**Mon 28/5/18**	**Fri 22/11/19**
44	Process review	88 days	Wed 8/8/18	Fri 7/12/18
45	Training preparation CAs	66 days	Fri 8/2/19	Mon 13/5/19
46	Analysis	70 days	Mon 28/5/18	Fri 31/8/18
47	Design	70 days	Mon 3/9/18	Fri 7/12/18
48	Development	100 days	Mon 10/12/18	Fri 26/4/19
49	UAT	70 days	Mon 29/4/19	Fri 2/8/19
50	Training CAs	140 days	Mon 13/5/19	Fri 22/11/19
51	**Pilot & Stability**	**110 days**	**Fri 2/8/19**	**Fri 3/1/20**
52	Go-live Pilot III	0 days	Fri 2/8/19	Fri 2/8/19
53	Pilot run	44 days	Mon 5/8/19	Thu 3/10/19
54	Go-live Full III	0 days	Thu 3/10/19	Thu 3/10/19
55	Stabilization	66 days	Fri 4/10/19	Fri 3/1/20



Annex I

Information sources

Area	Document	Source	Published
EU Directives	Directive 2014/23/EU of the European Parliament and of the Council of 26 February 2014 on the award of concession contracts	EU	2014
EU Directives	Directive 2014/24/EU of the European Parliament and of the Council of 26 February 2014 on public procurement and repealing Directive 2004/18/EC	EU	2014
EU Directives	Directive 2014/25/EU of the European Parliament and of the Council of 26 February 2014 on procurement by entities operating in the water, energy, transport and postal services sectors and repealing Directive 2004/17/EC	EU	2014
EU – other documents	E2E eProcurement to modernise public administration	EU	2013
EU-Slovak Republic Partnership Agreement	Partnership Agreement of the Slovak Republic for the years 2014 – 2020	EU	2014
EU-Slovak Republic Partnership Agreement	Summary of the Partnership Agreement for the Slovak Republic, 2014-2020	EU	2014

Area	Document	Source	Published
EU-Slovak Republic Partnership Agreement	Press release: European Commission adopts 'Partnership Agreement' with the Slovak Republic on using EU Structural and Investment Funds for growth and jobs in 2014-2020	EU	2014
EU-Slovak Republic Partnership Agreement	Observations on the Partnership Agreement with the Slovak Republic	EU	2014
Slovak Republic - Law on PP	343_2015 Law on Public Procurement (in Slovak)	National Council of the Slovak Republic	2015
Slovak Republic - Law on PP	343_2015 Law on Public Procurement (in English) – Machine translation	National Council of the Slovak Republic, Machine translation	2015
IS EVO and EKS	Electronic Public Procurement in the Slovak Republic (presentation)	PPO	2011
IS EVO and EKS	Data on IS EVO usage	PPO	2015
IS EVO and EKS	The EKS architecture, functionality, and future development	MoI (Ms. Tatiana Behrová)	2016
IS EVO and EKS	Comparison of the National Systems of Electronic Public Procurement	MoI (Ms. Tatiana Behrová)	2016
OECD – other documents	*Government at a Glance 2015*	OECD	2015
OECD – other documents	*Government at a Glance 2015 - Country Fact Sheet*	OECD	2015
OECD – other documents	OECD Recommendation of the Council on Public Procurement	OECD	2015

Area	Document	Source	Published
EU – other documents	European Single Procurement Document	EU	
EU – other documents	e-Certis	EU	
Slovak Republic – material collected	Conception of Public Procurement	PPO (OECD summary and translation)	
Slovak Republic – material collected	Reforming plan	PPO (OECD summary and translation)	
Slovak Republic – material collected	Strategy of Electronic Public Procurement (in Slovak)	PPO	2016
Slovak Republic – material collected	Strategy of Electronic Public Procurement (in English)	(PPO) OECD summary and translation	2016

DEVELOPMENT AND IMPLEMENTATION OF A NATIONAL E-PROCUREMENT STRATEGY FOR THE SLOVAK REPUBLIC

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www.oecd.org/gov/ethics/public-procurement.htm