![European Bank for Reconstruction and Development logo]

EBRD UNCITRAL Public Procurement Reform Initiative

Direct Award Blueprint

FINAL DRAFT

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ABBREVIATIONS

Term	Description
API	Application Programming Interfaces
BPE	Business Process Editor
BPMN	Business Process Model Notation
CAN	Contract Award Notice
CDU	Central Database Unit
CN	Contract Notice
CP	Contracting Process
EBRD	European Bank for Reconstruction and Development
NEPP	Networking Electronic Procurement Platform
OCDPS	Open Contracting Digital Procurement System
PE	Procuring Entity
PMD	Procurement Method Details
PN	Procurement Plan
UNCITRAL	United Nations Commission on International Trade Law

1. Introduction

The Open Contracting Digital Procurement System (OCDPS) has been conceptualised and developed by the EBRD UNCITRAL Public Procurement Initiative. It aims at providing an innovative approach to digital procurement.

The OCDPS meets most of the recommendations and best practices identified in international standards and has already been highlighted as a major development on a global basis. It also guarantees compliance with international legal frameworks such as the UNCITRAL Model Law and is aligned with the World Trade Organization Government Procurement Agreement. It has been enriched with the knowledge acquired in previous successful implementations in different jurisdictions such as Ukraine or Moldova.

1.1 Aim of the document

The main purpose of this document is to provide a detailed technical design for the Networking Electronic Procurement Platforms (NEPPs) to implement all the necessary processes and functionalities related to the direct award procedure.

The Procuring Entity (PE) awards a contract to a pre-identified Supplier under given conditions. This direct award must be documented and justified based on the specific circumstances and characteristics of the contract. It shall be subject to the prescribed thresholds. The direct award is a non-competitive procedure.

In a direct award procedure, once the PE has concluded a contract offline with a selected Supplier, it must be reported it in the System. To do that, the PE should prepare a contract conclusion report by publishing the initial scope and conditions of the concluded contract and the information regarding the selected Supplier and the justification of choice.

2. Technical design

To technically implement the direct award procedure in the System, the technical aspects described in this section should be taken into consideration.

2.1 Business Processes

The following diagram shows the sequence of the business processes implemented under a direct award procedure. It shows a sequence of interactions, covering the preparation stage and publication of information about the Supplier selected for a direct award procedure:
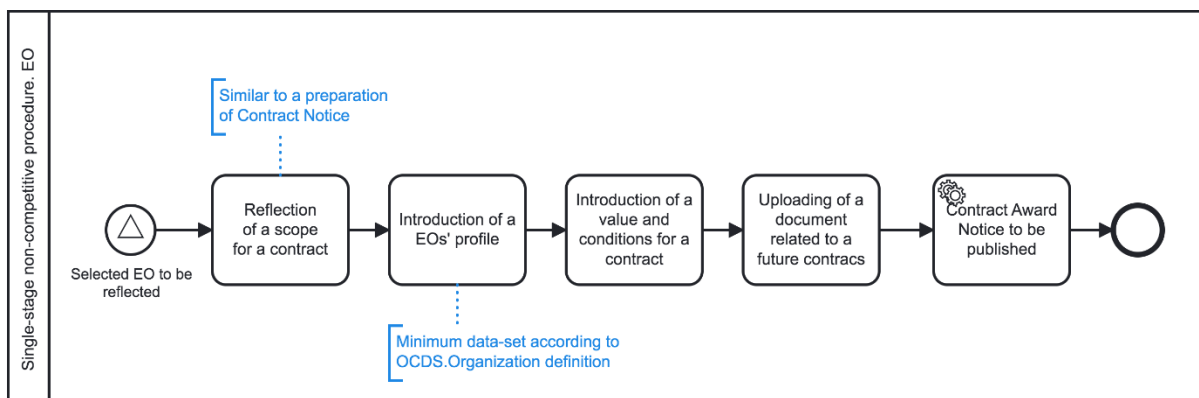
Figure 1 - BPMN for an indication of a Supplier selected for direct award

2.2 The contracting process with a direct award to a selected Supplier

This difference from the competitive procedure brings a technical difference at the implementation level. A contracting process based on a direct award procedure doesn't involve any active online participation of Suppliers. There will be no bids received from Suppliers via System for this procedure. All the information regarding communication between the PE and the selected Suppliers is offline and isolated an award object in the System.

2.2.1 Indication of a Supplier selected for direct award

In the case of a direct award, the PE needs to add information about the contracted Supplier together with the conditions and the value of the contract in the System. To do that, the PE shall add an *award* for the contracted Supplier (*Figure 1 – BPMN for indicating a Supplier selected for a direct award*).

2.3 Indication of direct award

The PE must indicate the decision by updating a relevant award in the System with the following attributes:

- any textual description;
- any documents related to negotiations;
- date when negotiations took place;
- an internalID for these negotiations (if applicable);
- results of the negotiations: whether a decision to award a contract is positive or negative.

2.4 Initiation of a contract

General lifecycle of the contract is organized in accordance with a following state-chart diagram:
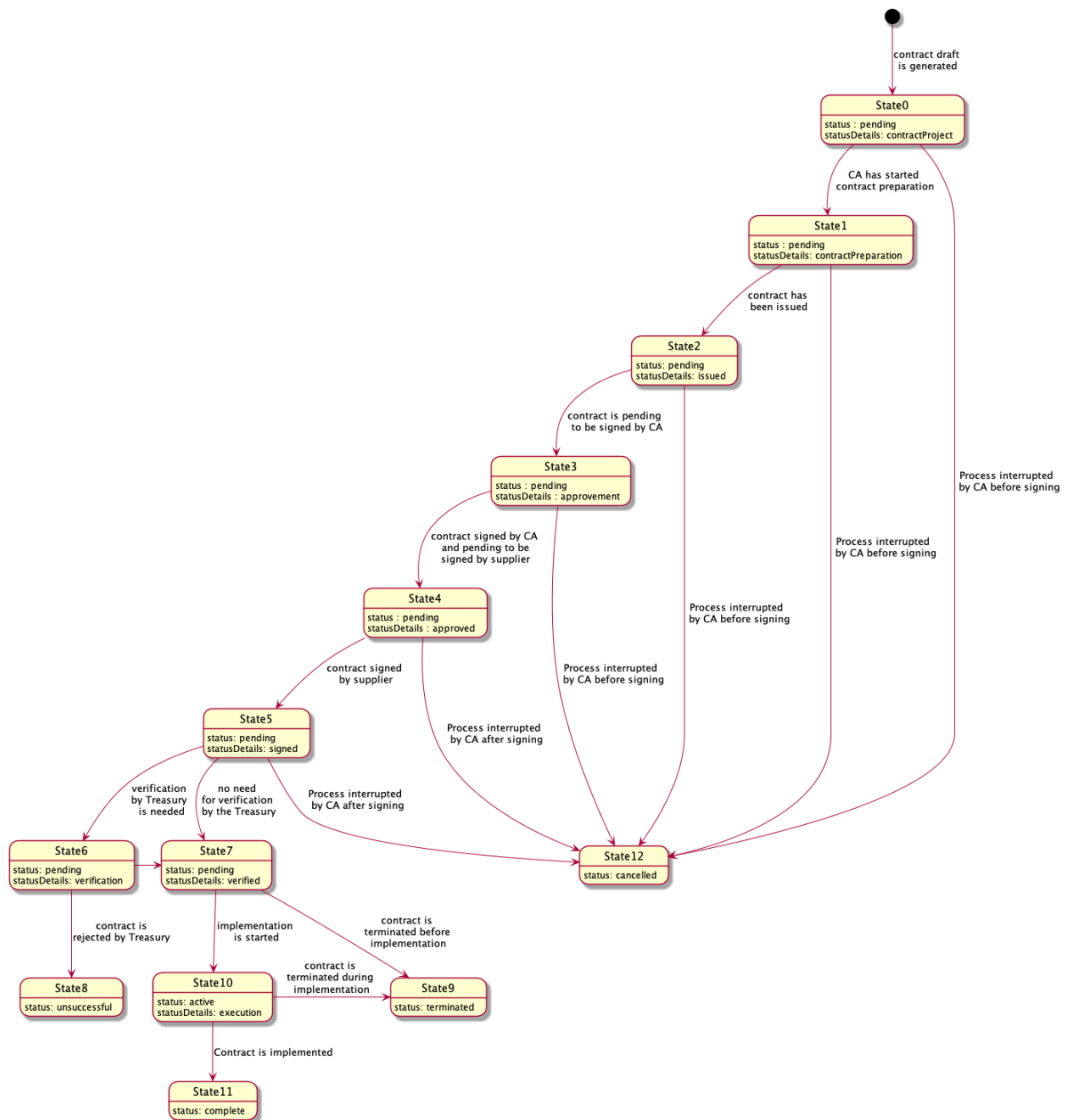
2.4.1 Contract preparation

The PE shall complete the data required to issue the contract (its PDF version) based on a prescribed template: separate for different procurement categories (goods, works or service). An auto-generated draft of the contract describes the required information.

Get X-OPERATION-ID and needed data set from Form Service

```
POST ?form=update-ac&ocid=...&lang=... HTTP/1.1
Authorisation: Bearer QWxhZGRpbjpPcGVuU2VzYW1l
Host: operation.eprocurement.systems


201 OK
Content-Type: application/json; charset=UTF-8
{
 "X-OPERATION-ID": "f5c6a3c0-5ff8-463f-9c0c-d4c1f324b7fb",
 "schema": {},
```

```
  "data": {}
 }
```

Registration Documentation

The Supplier can register files for the future updated contract before such contract is updated. Document registration is an iterative process. Accordingly, a registration request must be made for each document added.

```
POST /registration HTTP/1.1
Authorisation: Bearer QWxhZGRpbjpPcGVuU2VzYW1l
Content-Type: application/json
Host: storage.eprocurement.systems


{
 "hash": "9a0364b9e99bb480dd25e1f0284c8555",
 "weight": "1024",
 "filename": "file.txt"
}


201 Created
Content-Type: application/json; charset=UTF-8


{
 "success": true,
 "data": {
   "id": "4c4f5a50-89cd-11e8-b758-dd76462396b0",
   "url": "http://storage.eprocurement.systems/get/4c4f5a50-89cd-11e8",
   "dateModified": "2018-07-17T14:25:47Z"
 }
}
```

Send Request

```
POST /do/contract/ocds-000-00001/ocds-000-00001-ac-1/ocds-000-00001-ac-1 HTTP/1.1
Authorisation: Bearer QWxhZGRpbjpPcGVuU2VzYW1l
X-OPERATION-ID: f5c6a3c0-5ff8-463f-9c0c-d4c1f324b7fb
X-TOKEN: c3bdd497-ac2d-4e25-bd7f-cd55111aa7b4
Content-Type: application/json
Host: bpe.eprocurement.systems


{}


202 Accepted
Content-Type: application/json; charset=UTF-8
```

Feed Point Response

```
{
 "initiator": "platform",
 "X-OPERATION-ID": "f5c6a3c0-5ff8-463f-9c0c-d4c1f324b7fb",
 "X-RESPONSE-ID": "f5c6a3c1-5ff8-463f-9c0c-d4c1f324b7fb",
 "data": {
   "ocid": "ocds-000-00001-ac-1",
   "url": "http://public.eprocurement.systems/tenders/ocds-000-00001/ocds-000-00001-ac-1",
   "operationDate": "2018-08-14T13:51:06Z",
 }
}
```

Uploading Documentation

The Supplier can upload files for the newly updated awarded contract. Document uploading is an iterative process. Accordingly, a registration request must be made for each document added.

```
POST /registration HTTP/1.1
Authorisation: Bearer QWxhZGRpbjpPcGVuU2VzYW1l
Content-Type: application/json
Host: storage.eprocurement.systems


{
 "hash": "9a0364b9e99bb480dd25e1f0284c8555",
 "weight": "1024",
 "filename": "file.txt"
}


201 Created
Content-Type: application/json; charset=UTF-8


{
 "success": true,
 "data": {
   "id": "4c4f5a50-89cd-11e8-b758-dd76462396b0",
   "url": "http://storage.eprocurement.systems/get/4c4f5a50-89cd-11e8",
   "dateModified": "2018-07-17T14:25:47Z",
   "datePublished": null
 }
}
```

2.4.2 Issuing of prepared Contract

Once all updates are done, the PE indicates that this contract is fully prepared for signing.

Get X-OPERATION-ID

```
POST ?form=... HTTP/1.1
Authorisation: Bearer QWxhZGRpbjpPcGVuU2VzYW1l
Host: operation.eprocurement.systems


201 OK
Content-Type: application/json; charset=UTF-8


{
 "X-OPERATION-ID": "f5c6a3c0-5ff8-463f-9c0c-d4c1f324b7fb"
}
```

Send Request

```
POST /issue/contract/ocds-000-00001/ocds-000-00001-ac-1 HTTP/1.1
Authorisation: Bearer QWxhZGRpbjpPcGVuU2VzYW1l
X-OPERATION-ID: f5c6a3c0-5ff8-463f-9c0c-d4c1f324b7fb
X-TOKEN: c3bdd497-ac2d-4e25-bd7f-cd55111aa7b4
Content-Type: application/json
Host: bpe.eprocurement.systems


202 Accepted
Content-Type: application/json; charset=UTF-8
```

Feed Point Response

```
{
 "initiator": "platform",
 "X-OPERATION-ID": "f5c6a3c0-5ff8-463f-9c0c-d4c1f324b7fb",
 "X-RESPONSE-ID": "f5c6a3c1-5ff8-463f-9c0c-d4c1f324b7fb",
 "data": {
   "ocid": "ocds-000-00001-ac-1",
   "url": "http://public.eprocurement.systems/tenders/ocds-000-00001/ocds-000-00001-ac-1",
```

```
    "operationDate": "2018-08-14T13:51:06Z",
 }
}
```

The System automatically generates a PDF document of the contract based on the received data and standardised template. Such document will be available as a docType:contractSigned to the 'documents' section of a specific contract. It will be switched to 'statusDetails: approvement'. After that, the signing and validation process starts. Also, the System will include a description of required confirmations via adding a 'confirmationRequests' array of objects to the 'contract'.

2.4.3 Signing

Once the contract is issued, and the PDF version is generated and added to the contract. Documents by the System, contract status will be updated to 'statusDetails: approvement'. It will be ready to be signed by the PE. To confirm that the PE signs the contract:

Get X-OPERATION-ID and needed data set from Form Service

```
POST ?form=... HTTP/1.1
Authorisation: Bearer QWxhZGRpbjpPcGVuU2VzYW1l
Host: operation.eprocurement.systems


201 OK
Content-Type: application/json; charset=UTF-8
{
 "X-OPERATION-ID": "f5c6a3c0-5ff8-463f-9c0c-d4c1f324b7fb",
 "schema": {},
 "data": {}
}
```

Registration documentation

The Supplier can register files for the future updated contract before such contract is updated. Document registration is an iterative process. Accordingly, a registration request must be made for each document added.

```
POST /registration HTTP/1.1
Authorisation: Bearer QWxhZGRpbjpPcGVuU2VzYW1l
Content-Type: application/json
Host: storage.eprocurement.systems


{
 "hash": "9a0364b9e99bb480dd25e1f0284c8555",
 "weight": "1024",
 "filename": "file.txt"
}


201 Created
Content-Type: application/json; charset=UTF-8


{
 "success": true,
 "data": {
   "id": "4c4f5a50-89cd-11e8-b758-dd76462396b0",
   "url": "http://storage.eprocurement.systems/get/4c4f5a50-89cd-11e8",
   "dateModified": "2018-07-17T14:25:47Z"
 }
}
```

Send Request

```
POST /do/confirmation/buyer/ocds-000-00001/ocds-000-00001-ac-1/confirmationRequestID HTTP/1.1
POST /do/confirmation/Supplier/ocds-000-00001/ocds-000-00001-ac-
1/confirmationRequestID HTTP/1.1
Authorisation: Bearer QWxhZGRpbjpPcGVuU2VzYW1l
X-OPERATION-ID: f5c6a3c0-5ff8-463f-9c0c-d4c1f324b7fb
X-TOKEN: c3bdd497-ac2d-4e25-bd7f-cd55111aa7b4
Content-Type: application/json
Host: bpe.eprocurement.systems


{}


202 Accepted
Content-Type: application/json; charset=UTF-8
```

Feed Point Response

```
{
 "initiator": "platform",
 "X-OPERATION-ID": "f5c6a3c0-5ff8-463f-9c0c-d4c1f324b7fb",
 "X-RESPONSE-ID": "f5c6a3c1-5ff8-463f-9c0c-d4c1f324b7fb",
 "data": {
   "ocid": "ocds-000-00001-ac-1",
   "url": "http://public.eprocurement.systems/tenders/ocds-000-00001/ocds-000-00001-ac-1",
   "operationDate": "2018-08-14T13:51:06Z",
 }
}
```

Uploading Documentation

The Supplier can upload files for the newly updated awarded contract. Document uploading is an iterative process. Accordingly, a registration request must be made for each document added.

```
POST /registration HTTP/1.1
Authorisation: Bearer QWxhZGRpbjpPcGVuU2VzYW1l
Content-Type: application/json
Host: storage.eprocurement.systems


{
 "hash": "9a0364b9e99bb480dd25e1f0284c8555",
 "weight": "1024",
 "filename": "file.txt"
}


201 Created
Content-Type: application/json; charset=UTF-8


{
 "success": true,
 "data": {
   "id": "4c4f5a50-89cd-11e8-b758-dd76462396b0",
   "url": "http://storage.eprocurement.systems/get/4c4f5a50-89cd-11e8",
   "dateModified": "2018-07-17T14:25:47Z",
   "datePublished": null
 }
}
```

2.4.4 Validation

Not available yet in the System.

2.4.5 Activation

Not available yet in the System.

2.4.6 Execution

Not available yet in the System.

2.4.7 Amendments and extensions

Not available yet in the System.

2.4.8 Termination

Not available yet in the System.

2.5 Cancellation of a procedure or lot

Technically, the cancellation mechanism for a tender is implemented differently from the cancellation mechanism for a separate lot.

2.5.1 Cancellation of procedure

Before the first awarded contract is concluded, issued, signed and activated, the PE can cancel the procedure based on one or several pre-defined reasons. The procedure cannot be cancelled after at least one awarded contract passes the preparation phase and is activated. Only lots can be cancelled as long as they are under the status "active". When a procurement procedure is divided into lots, cancellation of all lots means the cancellation of the whole procurement procedure.

```
POST ?form=cancellation-
tender&ocid=...&lang=... HTTP/1.1
Authorization: Bearer
QWxhZGRpbjpPcGVuU2VzYW1l
Host: operations.eprocurement.systems

201 OK
Content-Type: application/json;
charset=UTF-8

{
 "X-OPERATION-ID": "f5c6a3c0-5ff8-463f-
9c0c-d4c1f324b7fb",
 "schema": {},
 "data": {}
}
```

Registration Documentation

The PE can register files for the future cancelation of a contracting process before such amendment is updated. Document registration is an iterative process.

```
POST /registration HTTP/1.1
Authorization: Bearer QWxhZGRpbjpPcGVuU2VzYW1l
Content-Type: application/json
Host: storage.eprocurement.systems

{
 "hash": "9a0364b9e99bb480dd25e1f0284c8555",
 "weight": "1024",
 "filename": "file.txt"
}

201 Created

Content-Type: application/json; charset=UTF-8

{
 "success": true,
 "data": {
```

```
    "id": "4c4f5a50-89cd-11e8-b758-dd76462396b0",
    "url": "http://storage.eprocurement.systems/get/4c4f5a50-89cd-11e8",
    "dateModified": "2018-07-17T14:25:47Z"
  }
}
```

Send Request

```
POST /cancel/cn/ocds-000-00001/ocds-000-00001-cn HTTP/1.1
Authorization: Bearer QWxhZGRpbjpPcGVuU2VzYW1l
X-OPERATION-ID: f5c6a3c0-5ff8-463f-9c0c-d4c1f324b7fb
X-TOKEN: c3bdd497-ac2d-4e25-bd7f-cd55111aa7b4
Content-Type: application/json
Host: bpe.eprocurement.systems

{}

202 Accepted
Content-Type: application/json; charset=UTF-8
```

Feed Point Response

```
{
 "initiator": "platform",
 "X-OPERATION-ID": "f5c6a3c0-5ff8-463f-9c0c-d4c1f324b7fb",
 "X-RESPONSE-ID": "f5c6a3c1-5ff8-463f-9c0c-d4c1f324b7fb",
 "data": {
   "ocid": "ocds-000-00001-cn",
   "url": "http://public.eprocurement.systems/tenders/ocds-000-0000/ocds-000-00001-cn",
   "operationDate": "2018-08-14T13:51:06Z",
 }
}
```

Feed Point Response

```
{
 "initiator": "platform",
 "X-OPERATION-ID": "f5c6a3c0-5ff8-463f-9c0c-d4c1f324b7fb",
 "X-RESPONSE-ID": "f5c6a3c1-5ff8-463f-9c0c-d4c1f324b7fb",
 "data": {
   "ocid": "ocds-000-00001-cn",
   "url": "http://public.eprocurement.systems/tenders/ocds-000-0000/ocds-000-00001-cn",
   "operationDate": "2018-08-14T13:51:06Z",
 }
}
```

Uploading Documentation

The Supplier can upload files for the newly created amendment. Document uploading is an iterative process. Accordingly, a registration request must be made for each document added.

```
POST /registration HTTP/1.1
Authorization: Bearer QWxhZGRpbjpPcGVuU2VzYW1l
Content-Type: application/json
Host: storage.eprocurement.systems

{
 "hash": "9a0364b9e99bb480dd25e1f0284c8555",
 "weight": "1024",
 "filename": "file.txt"
}

201 Created
Content-Type: application/json; charset=UTF-8
{
```

```
 "success": true,
 "data": {
   "id": "4c4f5a50-89cd-11e8-b758-dd76462396b0",
   "url": "http://storage.eprocurement.systems/get/4c4f5a50-89cd-11e8",
   "dateModified": "2018-07-17T14:25:47Z",
   "datePublished": null
 }
}
```

2.5.2 Cancellation of a single lot

Cancellation of a lot is executed within the standard update of a Contract Notice: the identifier of the lot or lots to be cancelled needs to be absent in update-payload based on CN command-model.

The PE can cancel either the whole procurement procedure or a specific lot or set of lots any time before its completion.

3. Command models

The following command model operates with data-objects under the offline method based on a direct award procedure.

3.1 createAward

See below the command model for the creation of a new award, based on the ocds definition of an award object:

Attribute	Description
suppliers	The party, or parties, responsible for this award.
value	The total value of the award
description	Description of an award
relatedLot	Identifier of a lot related to this award

Table 1. Model for the creation of an award (createAward)

4. Tutorial

The step-by-step tutorial in this section explains how to use both the Central Database Unit's (CDU) command and query APIs to fulfil all the requirements above and perform all the functionality covered by the method.

4.1 Pre-conditions

The contracting process for the direct award begins the same way as for any other procurement method: from the line in the annual procurement plan (PIN or simplified PN) based on the need described and the sources of financing declared for this need.

4.2 Getting started

The following tutorial shows step by step a sequence of all actions and requests a contributor (NEPP) needs to conduct throughout the entire process covered by the use-cases.

4.2.1 Introduce an award

Indication of a Supplier selected for direct award

In the case of reporting on a direct award, the PE needs to indicate the Supplier selected to be awarded the direct contract by adding a relevant award.

Get X-OPERATION-ID

```
POST HTTP/1.1
Authorisation: Bearer QWxhZGRpbjpPcGVuU2VzYW1l
Host: operation.HOST

201 OK
Content-Type: application/json; charset=UTF-8
{
  "X-OPERATION-ID": "f5c6a3c0-5ff8-463f-9c0c-d4c1f324b7fb"
}
```

Add an award

To introduce a new award object, the standard createAward command-model should be used for the preparation of a POST-request for BPE with the following parameters:

```
do/award/cpid/ocid?lotID
```

Where:
- ○ cpid   - OCID of parent Contracting Process (cProcess)
- ○ ocid   - OCID of a process phase (cpPhase)
- ○ lotID   - identifier of specific lot where award to be created

```
POST              /do/award/ocds-000-00001/ocds-000-00001-cn?lotId=...              HTTP/1.1
Authorisation:                    Bearer                    QWxhZGRpbjpPcGVuU2VzYW1l
X-OPERATION-ID:                                   f5c6a3c0-5ff8-463f-9c0c-d4c1f324b7fb
Content-Type:                                                           application/json
Host:                                                                           bpe.HOST

{}       //      data      set      based      on      createAward      command-model

202                                                                             Accepted
Content-Type: application/json; charset=UTF-8
```

Feed Point Response

As a result of the command execution, an award object in status:pending is created in the System describing the invitation of a specific SUPPLIER to the procurement procedure. The System will inform the contributor with the following message:

```
{
  "initiator": "platform",
  "X-OPERATION-ID": "f5c6a3c0-5ff8-463f-9c0c-d4c1f324b7fb",
  "X-RESPONSE-ID": "f5c6a3c1-5ff8-463f-9c0c-d4c1f324b7fb",
  "data": {
    "ocid": "ocds-000-00001-cn",
    "url": "http://public.HOST/tenders/ocds-000-00001/ocds-000-0000-cn",
    "operationDate": "2018-08-14T13:51:06Z",
    "outcomes": [
      {
        "id": "ocds-000-00001-award-1",
        "X-TOKEN": "c3bdd497-ac2d-4e25-bd7f-cd55111aa7b4"
      }
    ]
  }
}
```

An award section is included in the initial query-model of the cpPhase. It will consequently include all the awards introduced with the initial status:pending.

The creation of the very first award:pending, moves the procedure into the awarding state. Thus, awardPeriod is launched.

All entities sent with the introduction of each award as Suppliers will be included in initial parties of the cpProcess with the role `Supplier`.

4.2.2 Completing a form on the tender result

To reflect the intention to award a direct contract, the PE needs to switch each introduced award into one relevant statusDetails. The PE determines this award with *award.statusDetails:active*. and move on to the following selected Supplier (either previously introduced as a separate award or introducing a new award object).

Get X-OPERATION-ID

```
POST HTTP/1.1
Authorisation: Bearer QWxhZGRpbjpPcGVuU2VzYW1l
Host: operation.HOST

201 OK
Content-Type: application/json; charset=UTF-8
{
  "X-OPERATION-ID": "f5c6a3c0-5ff8-463f-9c0c-d4c1f324b7fb"
}
```

Registration of documentation

The PE can register documents for this award update.

```
POST /registration HTTP/1.1
Authorization: Bearer QWxhZGRpbjpPcGVuU2VzYW1l
Content-Type: application/json
Host: storage.HOST
{
  "hash": "9a0364b9e99bb480dd25e1f0284c8555"
}
201 Created
Content-Type: application/json; charset=UTF-8
{
  "success": true,
  "data": {
    "id": "4c4f5a50-89cd-11e8-b758-dd76462396b0",
    "url": "http://storage.HOST/get/4c4f5a50-89cd-11e8",
    "dateModified": "2018-07-17T14:25:47Z"
  }
}
```

Request an award update

To update an *award* object, the standard *updateAward* command-model should be used for the preparation of a POST-request for BPE with the following parameters:

```
do/award/cpid/ocid/awardID
```

Where:
- cpid   - OCID of parent Contracting Process (cProcess)
- ocid   - OCID of a process phase (cpPhase)
- awardID   - identifier of specific award to be updated

```
POST        /do/award/ocds-000-00001/ocds-000-00001-cn/ocds-000-00001-award-2        HTTP/1.1
Authorisation:                        Bearer                        QWxhZGRpbjpPcGVuU2VzYW1l
X-OPERATION-ID:                                      f5c6a3c0-5ff8-463f-9c0c-d4c1f324b7fb
X-TOKEN:                                             c3bdd497-ac2d-4e25-bd7f-cd55111aa7b4
Content-Type:                                                                application/json
Host:                                                              bpe.eprocurement.systems

{}        //        data        set        based        on        updateAward        command-model

202                                                                                  Accepted
Content-Type: application/json; charset=UTF-8
```

Feed Point Response

As a result of the command execution, the relevant *award* is switched to another state, indicated by the PE in the request. The System will inform the NEPP with the following message:

```json
{
  "initiator": "platform",
  "X-OPERATION-ID": "f5c6a3c0-5ff8-463f-9c0c-d4c1f324b7fb",
  "X-RESPONSE-ID": "f5c6a3c1-5ff8-463f-9c0c-d4c1f324b7fb",
  "data": {
    "ocid": "ocds-000-00001-cn",
    "url": "http://public.HOST/tenders/ocds-000-00001/ocds-000-00001-cn",
    "operationDate": "2018-08-14T13:51:06Z",
    "outcomes": {
      "awards": [
        {
          "id": "ocds-000-00001-cn"
        }
      ]
    }
  }
}
```

Upload documentation

The PE can now upload new documents of the CN:

```
POST /upload/389684cc28c242b79c97c56be5142e25 HTTP/1.0
Authorization: Bearer QWxhZGRpbjpPcGVuU2VzYW1l
Content-Length: 58
Content-Type: multipart/form-data; boundary=----------a_BoUnDaRy572732436472$
Host: storage.HOST

------------a_BoUnDaRy572732436472$
content
------------a_BoUnDaRy572732436472$--

201 Created
Content-Type: application/json; charset=UTF-8

{
  "data": {
    "url": "https://storage.HOST/get/389684cc28c242b79c97c56be5142e25"
  }
}
```

Request full result

Once all previous actions are finalised, the newly updated *award* is available in a Public Point as a part of a relevant cpPhase:

```
GET /get/tenders/ocds-000-00001/ocds-000-00001-cn?offset= HTTP/1.1
Host: public.HOST

200 OK
Content-Type: application/json; charset=UTF-8

{} data set based on cpPhase query-model including an award
```

4.2.3 Awarding and completion of a procedure

The final actions by the PE to initiate the contract preparation and, consequently, the completion of a procedure are the same as for any other procurement procedure.