

**EBRD UNCITRAL Public Procurement Reform Initiative**

***Open tendering Blueprint***

*FINAL DRAFT*

***October 2021***

Table of Contents

[1 Introduction 7](#_Toc80268872)

[1.1 Aim of the document 7](#_Toc80268873)

[2 Technical design 8](#_Toc80268874)

[2.1 Business process model 8](#_Toc80268875)

[2.2 State-chart diagram 8](#_Toc80268876)

[2.3 OCDS building blocks applied 8](#_Toc80268877)

[2.3.1 Tender 8](#_Toc80268878)

[2.3.2 Bids 9](#_Toc80268879)

[2.3.3 Qualifications 9](#_Toc80268880)

[2.3.4 Awards 12](#_Toc80268881)

[2.3.5 Contracts 12](#_Toc80268882)

[2.3.6 Parties 12](#_Toc80268883)

[2.4 OCDS dataflow 13](#_Toc80268884)

[2.4.1 State 0: Announcement of the initiation 13](#_Toc80268885)

[2.4.2 State 1 - Tendering (active.tendering) 15](#_Toc80268886)

[2.4.3 State 6.1 - Suspension due to non-clarification 17](#_Toc80268887)

[2.4.4 State 6.2 - Unsuccessful completion of tendering 17](#_Toc80268888)

[2.4.5 State 2 - Qualification phase (active.qualification) 18](#_Toc80268889)

[2.4.6 State 6.3 - Unsuccessful completion of qualification 21](#_Toc80268890)

[2.4.7 State 3 - Evaluation (active.evaluation) 21](#_Toc80268891)

[2.4.8 State 6.4 - Unsuccessful completion of the evaluation 25](#_Toc80268892)

[2.4.9 State 4 - Completion of the procedure 26](#_Toc80268893)

[2.4.10 State 5 - Cancellation of the procedure 27](#_Toc80268894)

[3 Annexes 28](#_Toc80268895)

[3.1 Annex 1 – Evaluation of tenders. Coefficients for conversion 28](#_Toc80268896)

[3.2 Annex 2 - Ranking for evaluation 32](#_Toc80268897)

[3.2.1 Normalised price 32](#_Toc80268898)

[3.2.2 Ranking approach 32](#_Toc80268899)

**LIST OF FIGURES**

[*Figure 1 - BPMN for a general open tendering* 8](#_Toc80268914)

[*Figure 2 - State-chart diagram for an open tendering* 8](#_Toc80268915)

[*Figure 3 – Code for qualification* 11](#_Toc80268916)

[*Figure 4 - State-chart diagram for a ‘qualification’ object* 12](#_Toc80268917)

[*Figure 5 – Code for tender criteria* 14](#_Toc80268918)

[*Figure 6 – Code for tender conversions* 15](#_Toc80268919)

[*Figure 7 – Code for stating an enquiry period* 15](#_Toc80268920)

[*Figure 8 – Code for enquiries* 16](#_Toc80268921)

[*Figure 9 – Code for answers to enquiries* 16](#_Toc80268922)

[*Figure 10 – Code for bids* 17](#_Toc80268923)

[*Figure 11 – Code for suspension* 17](#_Toc80268924)

[*Figure 12 – Code for the unsuccessful outcome of the procurement process at lot level* 18](#_Toc80268925)

[*Figure 13 – Code for the unsuccessful outcome of the procurement process at tender level* 18](#_Toc80268926)

[*Figure 14 – Code for disclosure of submissions* 19](#_Toc80268927)

[*Figure 15 – Code for qualifications’ initial status* 19](#_Toc80268928)

[*Figure 16 – Code for qualifications* 20](#_Toc80268929)

[*Figure 17 – Code for disclosure of proposals* 21](#_Toc80268930)

[*Figure 18 – Code for initiation of the evaluation period* 21](#_Toc80268931)

[*Figure 19 – Code for initiating the evaluation of proposals* 22](#_Toc80268932)

[*Figure 20 – Code for evaluation of proposals* 23](#_Toc80268933)

[*Figure 21 – Code for the award decision* 23](#_Toc80268934)

[*Figure 22 – Code for cancellation of the award decision* 24](#_Toc80268935)

[*Figure 23 – Code for confirmation of a negative award decision* 24](#_Toc80268936)

[*Figure 24 – Code for confirmation of a positive award decision* 25](#_Toc80268937)

[*Figure 25 – Code for contract initiation* 25](#_Toc80268938)

[*Figure 26 – Code for unsuccessful outcome of the procurement initiation at lot level* 26](#_Toc80268939)

[*Figure 27 – Code for unsuccessful outcome of the procurement initiation at tender level* 26](#_Toc80268940)

[*Figure 28 – Code for successful outcome of the procurement initiation at lot level* 26](#_Toc80268941)

[*Figure 29 – Code for successful outcome of the procurement initiation at tender level* 27](#_Toc80268942)

[*Figure 30 – Code for conversions* 29](#_Toc80268943)

[*Figure 31 – Code for boolean criteria* 29](#_Toc80268944)

[*Figure 32 – Code for criteria with coefficient* 30](#_Toc80268945)

[*Figure 33 – Code for criteria with a predefined set of coefficients* 31](#_Toc80268946)

[*Figure 34 – Code for criteria using conversions* 31](#_Toc80268947)

**ABBREVIATIONS**

|  |  |
| --- | --- |
| **Term** | **Description** |
| API | Application Programming Interfaces |
| BPMN | Business Process Model Notation |
| CAN | Contract Award Notice |
| CN | Contract Notice |
| NEPP | Networking Electronic Procurement Platform |
| OCDS | Open Contracting Data Standard |
| PE | Procuring Entity |
| UNCITRAL | United Nations Commission on International Trade Law |

# Introduction

The Open Contracting Digital Procurement System (OCDPS) has been conceptualized and developed by the EBRD UNCITRAL Public Procurement Initiative and 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, and it has been enriched with the knowledge acquired in previous successful implementations in different jurisdictions such as Ukraine or Moldova.

## Aim of the document

The main purpose of this document is to provide a detailed technical design in order for the Networking Electronic Procurement Platforms (NEPPs) to be able to implement all the necessary processes and functionalities related to the open tendering procedure in their platforms.

The open tender procedure consists of the public advertisement of the public procurement process by the PE, and the possibility for any supplier to submit a bid. The evaluation process shall be transparent and must guarantee the fair treatment of all bidders.

Depending on the award criteria set in an open tender procedure, there can be different evaluation approaches:

* Price only: the only award criteria taken into account is the price, only the value of the bid is compared in order to identify the most suitable tender (cheapest goes first);
* Cost only: the assumption is that all the tenderers have the same price, which is equal to the amount of the lot. Therefore, a normalised price shall be calculated for each bid received based on the amount of the lot as a basis (cheapest goes first);
* Quality only: the assumption is that the price is not relevant for the evaluation of bids and award criteria are only related to quality (most qualified goes first);
* Rated criteria: both price and value are taken into account for the evaluation of bids, award criteria reflect qualitative, technical and sustainable aspects of the tender.

This process can be implemented with the following two variants:

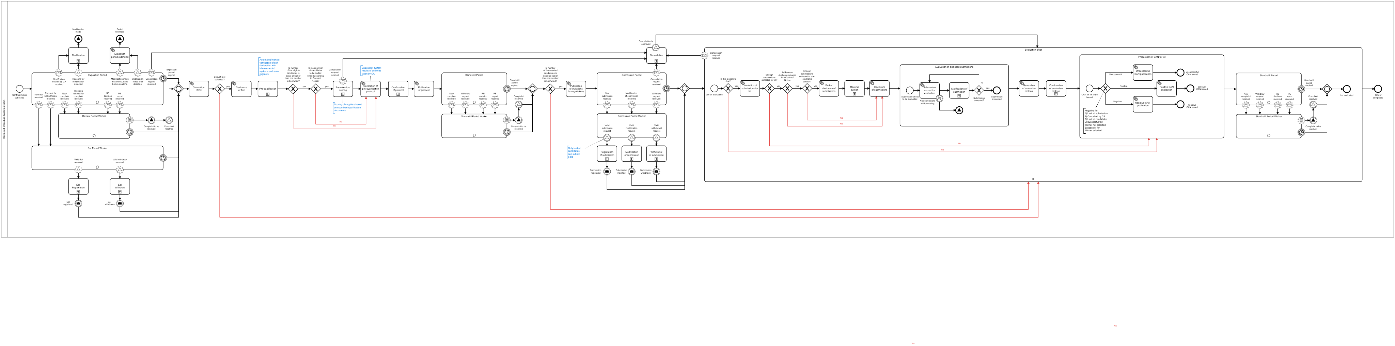
* Open tender with electronic reverse auction, used for low value purchases of goods and services;
* Open tender without electronic reverse auction.

An additional feature of the open tender is the possibility of aggregating the demand, thereby consolidating the acquisition of several products or services within the same tendering process.

# Technical design

## 2.1 Business process model

The following BPMN reflects the general process for open tendering as prescribed by 2011 UNCITRAL Model Law on Public Procurement, on which the system is based:



*Figure 1 - BPMN for a general open tendering[[1]](#footnote-1)*

## 2.2 State-chart diagram

The following image presents the sequence of stages applicable for open tendering:

Diagrama

Descripción generada automáticamente

*Figure 2 - State-chart diagram for an open tendering*

More detail on the different statuses is provided in section “[2.4 OCDS dataflow](#_2.4_OCDS_dataflow)” of this document.

## 2.3 OCDS building blocks applied

### 2.3.1 Tender

With a tender block, all the data describing an aspect of the competitive part of the tendering process can be designed and structured.

Along with all the common information prescribed by Open Contracting Data Standard (OCDS) 1.1 for a tender building block (<https://standard.open-contracting.org/latest/en/schema/reference/#tender>), some specifics can also be designed as follows:

##### 2.3.1.1 Targets

Where a PE intends to achieve particular quantifiable results within the competitive part of the tendering process, such targets can be designed with a targets building block. The block is built according to [ocds\_metrics\_extension](https://github.com/open-contracting-extensions/ocds_metrics_extension)[[2]](#footnote-2).

Actually, the targets building block can be used at:

* the planning stage, for forecasts for the procurement process;
* the tender stage, for stating the targets for the procurement process;
* the award and signature of the contract stages, for stablishing of the targets agreed with the successful supplier;
* the contract management stage (execution of the contract by the awardee), to control the actual performance information (including KPIs).

##### 2.3.1.2 Criteria

To prescribe a scope of qualification and conditions for participation (exclusion grounds, selection and qualification criteria), a criteria building block should be used inside the tender. In the same way, qualification and evaluation check-points for the PE itself can be included in the criteria array: e.g. request for a declaration of absence of the conflict of interests. The block is built according to an [eOCDS\_structuredAwardCriteria](https://github.com/eOCDS-approaches/eOCDS-structuredAwardCriteria)[[3]](#footnote-3).

##### 2.3.1.3 Conversions

Once quantitative criteria have to be included in the CN and applicable options and weights, a separate extension must be applied to allow the PE to include all the conversions needed for future qualification and evaluation. Conversions are built on [eOCDS-conversions](https://github.com/eOCDS-Extensions/eOCDS-conversions)[[4]](#footnote-4), which is a tool that enables the describing of the conversions used and their applicable coefficients.

##### 2.3.1.4 Enquiries

The enquiries extension can be used to record questions raised by the PE during a tendering process and the answers provided by the supplier. The [ocds\_enquiry\_extension](https://github.com/open-contracting-extensions/ocds_enquiry_extension)[[5]](#footnote-5) adds an enquiries array to tender, consisting of one or more enquiry objects, each with fields for a question and an answer.

### 2.3.2 Bids

Any supplier that wants to take part in the open tendering procurement procedure can submit a bid in response to the published CN. An array of submitted bids can be designed using the [ocds\_bid\_extension](https://github.com/open-contracting-extensions/ocds_bid_extension)[[6]](#footnote-6)

### 2.3.3 Qualifications

To reflect the qualify/does not qualify conclusions or a result of automated eligibility checks (where applicable), PEs can form qualifications. Each such object includes a result of the qualification of suppliers for each submission received against the eligibility criteria (both exclusion grounds and selection criteria) expressed by the PE in the CN. The resulting status for each submission received is selected from a predefined code list, and values not included in this predefined code list are not allowed in any case.

Mentioned qualifications can be designed with the following OCDS-structure:

|  |
| --- |
| {  "properties": {  "qualifications":   "title": "Qualifications",  "description": "Qualification conclusions by Procuring Entities or a result of automated eligibility check (where applicable)",  "type":"array",  "items"{  "$ref": "#/definitions/Qualification"  }   }  },  "definitions": {  "Qualification": {  "title": "Qualification",  "description": "For reflection qualification conclusions or a result of automated eligibility check (where applicable) for the specific submission received",  "type": "object",  "properties": {  "id": {  "title": "ID",  "description": "A local identifier for this qualification",  "type": "string"  },  "date": {  "title": "Date",  "description": "The date when this qualification concluded",  "type": "string",  "format": "date-time"  },  "internalId": {  "title": "",  "description": "",  "type": "string"  },  "status": {  "title": "Status",  "description": "The status of the qualification, drawn from the codelist",  "type": "string",  "enum":[  "pending",  "active",  "unsuccessful",  "cancelled"  ]  },  "statusDetails":{  "title": "Status details",  "description": "The status details of the qualification, drawn from the codelist",  "type": "string",  "enum":[  "pending",  "active",  "unsuccessful",  "cancelled"  ]  },  "description": {  "title": "Description",  "description": "Description or justification for the qualification conclusion made",  "type": "string",  "format": "date-time"  },  "relatedSubmission": {  "title": "Related submission",  "description": "",  "type": "string"  },  "candidates": {  "title": "Candidates",  "description": "The Organization Reference for party of this qualification",  "type": "array",  "items": {  "$ref": "#/definitions/OrganizationReference"  }  },  "documents": {  "title": "Documents",  "description": "Any documents and attachment related to the submission",  "type": "array",  "items": {  "$ref": "#/definitions/Document"  }  },  "requirementResponses": {  "type": "array",  "description": "A set of the relevant requirementResponses",  "items": {  "$ref": "#/definitions/RequirementResponse"  }  }  }  }  } } |

*Figure 3 – Code for qualification*

##### 2.3.4.1 State-chart diagram - qualifications

Diagrama

Descripción generada automáticamente

*Figure 4 - State-chart diagram for a ‘qualification’ object*

### 2.3.4 Awards

The [award section](https://standard.open-contracting.org/latest/en/schema/reference/#award)[[7]](#footnote-7) is used to announce any awards issued for a tender. There can be multiple awards made. Releases can contain all or a subset of these awards.

### 2.3.5 Contracts

The [contract section](https://standard.open-contracting.org/latest/en/schema/reference/#contract)[[8]](#footnote-8) is used to provide details of contracts that have been entered into. Every Contract must have a related award, linked via the awardID field.

### 2.3.6 Parties

Each party (organisations or other participants) referenced in a release must be included in the parties section.

##### 2.3.6.1 Organisations

The specific details prescribed by an [Organisation Schema](https://standard.open-contracting.org/latest/en/schema/reference/?highlight=organization#organization)[[9]](#footnote-9) can be provided for each party. Organisation identifiers should be taken exclusively from an existing code list (containing not the name of the Organisation but an identifier instead).

##### 2.3.6.2 Persons

Specific information related to a person, representing a particular organisation, can also be described according to [eOCDS-persons](https://github.com/eOCDS-Extensions/eOCDS-persons)[[10]](#footnote-10).

##### 2.3.6.3 Details

Additional details on a particular organisation can be expressed with [ocds\_organizationClassification\_extension](https://github.com/open-contracting-extensions/ocds_organizationClassification_extension)[[11]](#footnote-11) and [ocds\_partyDetails\_scale\_extension](https://github.com/open-contracting-extensions/ocds_partyDetails_scale_extension)[[12]](#footnote-12).

## 2.4 OCDS dataflow

### 2.4.1 State 0: Announcement of the initiation

#### 2.4.1.1 Contract Notice

The general scope of data needed to publish a CN for this type of procurement method is based on a single-stage procedure where any supplier can submit a tender in response to the published CN.

#### 2.4.1.1.1 Subject of procurement

According to a PE strategy, the goods and/or services to be purchased are broken into line items and lots.

A tender process can be divided into lots, where suppliers can submit a tender for one or more lots. Details of each lot can be provided according to ([ocds\_lots\_extension](https://extensions.open-contracting.org/en/extensions/lots/v1.1.5/)[[13]](#footnote-13)). Items, documents and other features may then reference the lot they are related to, using relatedLot. Where no relatedLot identifier is given, the values should be interpreted as applicable to the whole tender.

#### 2.4.1.1.2 Awarding methodology

The PE prescribes a methodology for the further qualification of submissions and evaluation of the tender based on the following techniques:

For a qualification process, the PE describes the Qualification method - how the qualification decision will be taken:

* manual - where the PE intends to undertake a qualification process involving an evaluation panel;
* automated - where the PE transfers the qualification process to a system based on the criteria prescribed by the CN.

Attributes are to be described and included in a structure of the CN in accordance with [ocds\_otherRequirements\_extension](https://github.com/open-contracting-extensions/ocds_otherRequirements_extension).

For an evaluation process, the PE describes:

* Awarding criterion – a general indicator on which the award decision will be based:
  + priceOnly - where awardCriteria: priceOnly - only bid.value to be compared to identify the most suitable tender – Cheapest goes first;
  + costOnly - where awardCriteria: costOnly - assumption that all the tenderers have the same bid.value equal to lot.value. This means that the normalised price must be calculated based on the lot.value for each tender received. The cheapest goes first;
  + qualityOnly - where awardCriteria: qualityOnly - assumption that the price doesn't matter and the only valuable part of the tender is the quality - meaning the set of values of criteria selected by the supplier while submitting a tender. This means that the normalised price needs to be calculated for each tender received, based on '1'. Most qualified goes first;
  + ratedCriteria - where awardCriteria: ratedCriteria - assumption that both price and quality matter. This means that the normalised price needs to be calculated for each tender received, based on bid.value. The cheapest goes first.
* Awarding criteria is applied for the initial scoring of the tenders received. Using a separate tender.awardCriteriaDetails attribute, the PE prescribes how all the tenders received shall be scored (by a system) for further evaluation:
  + automated - the awarding will be approached automatically based on ‘awardCriteria’ and a set of relevant requirementResponses received from the tenderers against `requirements` applied by the PE;
  + manual - the awarding will be approached manually.

#### 2.4.1.1.3 Criteria and requirements

A separate criteria array can be added into the tender building block schema to describe:

* Qualification and evaluation criteria and its minimum requirements;
* specific requirements related to a procurement subject;
* specific requirements related to delivery/performance;
* general and specific essential conditions of the future Contract;
* requirements related to the PE;
* criteria for future advanced evaluation by the committee.

|  |
| --- |
| {  "tender": {  "criteria": [  {}  ]  } } |

*Figure 5 – Code for tender criteria*

#### 2.4.1.1.4 Conversions - weightings for a scoring function

A separate conversions array can be added into the tender building block:

* To describe conversions used and their applicable coefficients, either as a list of precise values or as a mathematical formula for calculation of the value of a particular coefficient in this particular case (depending on the value received within requirementResponse related to a specific requirement) to be applied;
* to relate each conversion used (together with coefficients) with used criteria or targets (where applicable);
* to include applicable options to used criteria or observations for targets.

|  |
| --- |
| {  "tender": {  "conversions": [  {}  ]  } } |

*Figure 6 – Code for tender conversions*

#### 2.4.1.2 Call for enquiries

To indicate the start of the explanatory phase of a procurement process, the PE shall establish a start date as an enquiry session.

Such an indication shall be done by adding a separate enquiryPeriod object into the tender building block, which will reflect an end date of the explanatory phase prescribed by the PE and its start date, reflected as a system moment of initiation of the explanatory phase:

|  |
| --- |
| {  "tender": {  "enquiryPeriod": {  "startDate": "",  "endDate": ""  }  } } |

*Figure 7 – Code for stating an enquiry period*

### 2.4.2 State 1 - Tendering (active.tendering)

#### 2.4.2.1 Enquiries - requests and clarifications

Within a call for clarifications tender.enquiryPeriod, any interested supplier is allowed to send enquiries - requests for clarification. Such requests remain anonymous. Once tender.enquiryPeriod.endDate is achieved, no more enquiries can be received.

Enquiries

|  |
| --- |
| {  "tender": {  "enquiries": [  {  "id": "",  "title": "",  "description": "",  "relatedLot": ""  }  ]  } } |

*Figure 8 – Code for enquiries*

All the enquiries received within tender.enquiryPeriod are disclosed immediately as enquiries array items. All the enquiries’ authors remain confidential until the start of the evaluation.

Answers

During the enquiryPeriod, the PE can submit an answer to a question received:

|  |
| --- |
| {  "tender": {  "enquiries": [  {  "id": ""  "answer": "",  "dateAnswered": ""  }  ]  } } |

*Figure 9 – Code for answers to enquiries*

#### 2.4.2.2 Submission - bids

Each supplier is allowed to submit a tender within the given tender.tenderPeriod indicated in the CN. Each tender is based on a Bids schema. Each tender shall fulfil all the requirements prescribed by the criteria related to items or lots, with a relevant list of the responses by the suppliers and providing an array of requirementResponses.

|  |
| --- |
| Having a set of requirements predefined by the PE and several values available, tenderers preparing their submissions include values for each requirement and fulfil the general corporate profiles’ data as requested by the PE or required by the Legal Framework of a particular jurisdiction. |

Thus, each tenders includes:

* An organisation profile according to the extended organisation model;
* a set of documents of the tender, specified with relevant types of documents for their future splitting into the different "envelopes";
* a set of requirementResponses according to criteria specified by the PE within the CN:
  + Commitment on exclusion grounds;
  + commitment on selection criteria (including absolute values if required);
  + reflections on requirements characterise the nature of the subject of procurement;
  + reflections on requirements characterise the nature of the delivery and post-delivery.
* absolute financial value of a tender- bids[\*].value;
* decomposed array of unit prices (if requested by the PE) - bids[\*].items.unit.value;

|  |
| --- |
| {  "bid": {  "id": "",  "status": "",  "relatedLots": [],  "tenderers":[],  "items": [  {  "id": "",  "description": "",  "quantity": "",  "unit": {},  "relatedLot":""  }  ],  "requirementResponses":[]  } } |

*Figure 10 – Code for bids*

All the tenders collected remain confidential and closed until the end of the period for tendering - tender.tenderPeriod.endDate. Once tender.tenderPeriod.endDate is reached, no tenders can be received, withdrawn or corrected.

### 2.4.3 State 6.1 - Suspension due to non-clarification

Where initiation is suspended, a particular value for tender.statusDetails is used:

|  |
| --- |
| {  "tender":{  "statusDetails": "suspended"  } } |

*Figure 11 – Code for suspension*

### 2.4.4 State 6.2 - Unsuccessful completion of tendering

Where not enough bids were collected during the tendering period, the procedure will end unsuccessfully with no future actions by the PE. The procurement process shall be moved to a phase of preparation of negative award notice.

#### 2.4.4.1 Indication of the unsuccessful outcome of the procurement process

For lots

A negative character of procurement under a specific lot is reflected with lot.status: unsuccessful, where the lot is closed unsuccessfully due to a lack of submissions of tenders for evaluation, or where all the tenders were rejected.

|  |
| --- |
| {  "lots": [  {  "status": "unsuccessful"  }  ] } |

*Figure 12 – Code for the unsuccessful outcome of the procurement process at lot level*

For the entire initiation (tender)

Where all the lots are unsuccessful, the entire procurement initiation goes to State 6.2. A negative character of procurement under the entire initiation (procurement process) is reflected with tender.status: unsuccessful, where the initiation is closed unsuccessfully due to a lack of submissions of tenders for evaluation, or where all the tenders were rejected. Details of a negative closure are reflected in tender.statusDetails.

* lackOfSubmissions
* allDisqualified
* allRejected

|  |
| --- |
| {  "tender": {  "status": "unsuccessful",  "statusDetails": ""  }  } |

*Figure 13 – Code for the unsuccessful outcome of the procurement process at tender level*

### 2.4.5 State 2 - Qualification phase (active.qualification)

#### 2.4.5.1 Initiation of the qualification phase

##### Disclosure of submissions

All the submissions are disclosed as a submissions array according to the relevant schema where there are enough submissions. All the submissions’ authors are added into parties as organisations with a role: candidate.

|  |
| --- |
| {  "submissions": {  "details": [  {  "id": "1",  "requirementResponses": [  {  "id": "",  "value": "true",  "requirement": {},  "relatedTenderer": {}  },  {  "id": "",  "value": "true",  "requirement": {},  "relatedTenderer": {}  }  ],  "tenderers": [  {}  ]  }  ]  } } |

*Figure 14 – Code for disclosure of submissions*

##### Qualification envelopes

A set of qualifications is established against each submission received to allow the PE to reflect its decision on each submission. Such objects are initially established with status: pending and statusDetails: awaiting. Since no order is prescribed for the pre-qualification sequence, the PE can evaluate submissions received randomly.

|  |
| --- |
| {  "qualifications": [  {  "id": "",  "status": "pending",  "statusDetails": "awaiting",  "candidates": [],  "relatedSubmission": ""  }  ] } |

*Figure 15 – Code for qualifications’ initial status*

#### 2.4.5.2 Declaration of non-conflict of interest

Before starting qualification, each declared member of the evaluation panel shall respond with a confirmation of the absence of conflict of interest against each candidate from each qualification by sending requirementResponses.

#### 2.4.5.3 Qualification of submissions

Once evaluation committee members submit all the non-conflict of interest declarations, the qualification for review is switched into qualification.statusDetails: consideration.

Consideration

The PE shall update the qualifications with all the required meta-data. By updating, the PE reflects its decision on each submission received. The PE is allowed to:

* Add any qualification.documents if needed;
* add qualification.requirementResponses if any relevant requirements related to the PE within the qualification phase prescribed by tender.criteria is applied;
* add text qualification.descriptions where any justification is needed;
* add qualification.date when any decision was taken;
* add qualification.internalID, if any.

Indication of a decision

Once consideration of a specific submission is complete and the related qualification is fully updated with all relevant data, the PE shall change the qualification state, reflecting a positive or negative decision in this regard:

* qualification.status: pending / statusDetails: active → qualification.status: active / statusDetails: none. It means that the submission is qualified, and it will be evaluated in the next stage.
* qualification.status: pending / statusDetails: unsuccessful → qualification.status: unsuccessful / statusDetails: none. It means the submission is disqualified.

|  |
| --- |
| {  "qualifications": [  {  "id": "",  "internalid":"",  "date":"",  "status": "pending",  "statusDetails":"active",  "documents":[],  "requirementResponses":[],   "candidates": [],  "relatedSubmission": ""  },  {  "id": "",  "internalid":"",  "date":"",  "status": "pending",  "statusDetails":"unsuccessful",  "description": "This is why this submission was rejected",  "documents":[],  "requirementResponses":[],   "candidates": [],  "relatedSubmission": ""  }  ] } |

*Figure 16 – Code for qualifications*

As soon as the PE has completed the qualification and all the submissions received are updated with the relevant meta-data, the PE indicates the end of qualification.

### 2.4.6 State 6.3 - Unsuccessful completion of qualification

Where all the tenders were disqualified, the qualification phase will end unsuccessfully with no future actions by the PE.

### 2.4.7 State 3 - Evaluation (active.evaluation)

#### 2.4.7.1 Initiation of the evaluation phase

##### Disclosure of the proposals

All the tenders are disclosed as a tenders array according to the relevant schema. All the authors (bid.tenderers) are updated into parties as an organisations with a role: tenderer.

|  |
| --- |
| {  "bids": {  "details":[  {  "id": "",  "status": "pending",  "statusDetails":"",  "relatedLots": [],  "tenderers":[],  "items": [  {  "id": "",  "description": "",  "quantity": "",  "unit": {},  "relatedLot":""  }  ],  "requirementResponses":[]  }  }  ] } |

*Figure 17 – Code for disclosure of proposals*

##### Establishment of a period for evaluation

A separate object awardPeriod is added into a tender block where the specific startDate for awarding is determined automatically.

|  |
| --- |
| {  "tender": {  "awardPeriod": {  "startDate": ""  }  } } |

*Figure 18 – Code for initiation of the evaluation period*

##### Evaluation envelopes

Such objects are based on an awards schema and initially established with status:pending with statusDetails:none for all.

|  |
| --- |
| {  "awards": [  {  "id": "",  "status": "pending",  "suppliers": [],  "relatedLots": [],  "relatedBid": ""  }  ] } |

*Figure 19 – Code for initiating the evaluation of proposals*

##### Disclosure of the enquirers

Together with the initiation of the evaluation phase, all the enquirers (tender.enquiries[\*].author) are reflected into the parties with a role: enquirer once tender.enquiryPeriod.endDate is reached.

#### 2.4.7.2 Initial ranking on award criteria

Depending on tender.awardCriteria and tender.AwardCriteriaDetails, initial automated ranking can or cannot be done, as described in [Annex 2: Ranking for evaluation](#rankingForEvaluation):

|  |
| --- |
| Depending on previously established or not established eligibility checks, the resulting state may be:   * award.statusDetails: consideration - where an eligibility check took place previously * award.statusDetails: awaiting – where an eligibility check was not conducted by the PE previously |

#### 2.4.7.3 Evaluation

To evaluate the tender, the PE shall update the related award with all the required meta-data. In these updates, the PE is allowed to:

* Add any documents if needed;
* Add requirementResponses if there are any relevant requirements related to the PE within the evaluation phase prescribed by tender.criteria;
* Add text descriptions where any justification is needed;
* Add date when the decision was taken;
* Add internalID, if any.

##### Indication of a decision

Once the evaluation of a specific tender is complete and the related award is fully updated with all relevant data, the PE shall switch the award to one of the following states, reflecting a positive or negative decision:

* award.statusDetails: active - means the related tender is selected as a winning tender to be awarded;
* award.statusDetails: unsuccessful - means the related tender is rejected.

|  |
| --- |
| {  "awards": [  {  "id": "",  "description": "",  "status": "pending",  "date": "active",  "suppliers": [],  "relatedLots": [],  "relatedBid": "",  "documents": [],  "requirementResponses": [],  "indernalId": ""  }  ] } |

*Figure 20 – Code for evaluation of proposals*

As soon as the PE has completed the evaluation and the winning candidates for a particular lot are identified, or all the proposals under this lot are rejected, the PE indicates the end of evaluation for the lot by publishing an intention to award a contract (award decision).

#### 2.4.7.4 Award decision

The PE prepares a Notice on Award Decision to reflect a decision regarding each specific lot and the proposal selected to be awarded a contract (award.statusDetails:active). This data entity is based on a contract schema and included in a contracts array.

Initially, these contracts are established with status: pending and statusDetails, which reflects a decisions' character:

* contract.statusDetails: active where the decision regarding the lot is positive (winner is identified);
* contract.statusDetails: unsuccessful where the decision regarding the lot is negative (all the tenders were rejected).

|  |
| --- |
| {  "contracts": [  {  "id": "",  "date": "",  "awardId": "",  "status": "pending",  "statusDetails": "awaiting",  }  ] } |

*Figure 21 – Code for the award decision*

#### 2.4.7.5 Stand-still period

In this state, no one can take any actions except the PE, which switches the process to a relevant state. No other actions can be prescribed for the system - all review procedures go offline, and the time tracking is up to the PE.

#### 2.4.7.6 Cancellation of the award decision

To reflect a decision to cancel a specific award decision previously taken previously under a particular lot, the PE shall switch the relevant contract object into the contract.status: cancelled.

|  |
| --- |
| {  "contracts": [  {  "status": "cancelled"  }  ] } |

*Figure 22 – Code for cancellation of the award decision*

#### 2.4.7.7 Confirmation of the award decisions

Suppose no blockers are indicated during the standstill period. In that case, the PE can initiate contract preparation for the awarded lot or finalisation of an unsuccessful output of a lot where all the proposals were rejected during the evaluation phase.

##### Confirmation of a negative award decision

Confirmation of a negative award decision requires switching the relevant contract object to final status: unsuccessful, with a parallel indication of the reason for a negative outcome as a statusDetails:

|  |
| --- |
| {  "contracts" : [  {  "id":"",  "awardId":"",  "status":"unsuccessful",  "statusDetails": "allOffersRejected"  }  ] } |

*Figure 23 – Code for confirmation of a negative award decision*

##### Confirmation of a positive award decision

Confirmation of a positive decision requires reflecting the subsequent contract initiation into a relevant contract object by indicating statusDetails, provided that the object remains intermediate status: pending:

|  |
| --- |
| {  "contracts" : [  {  "id":"",  "awardId":"",  "status":"pending",  "statusDetails": "contractPreparation"  }  ] } |

*Figure 24 – Code for confirmation of a positive award decision*

#### 2.4.7.8 Contract initiation

A parallel data stream will be initiated to describe and reflect the scope of a contract to be concluded on a positive award decision. This stream is a separate OCDS-record where all the information related to future contracts is collected from a current procurement process. To establish the relation with this parallel stream, the relevant Contract reflects a positive award decision. It shall be extended with a relatedProcess.relationship: [x\_contracting]:

|  |
| --- |
| {  "contracts" : [  {  "id":"",  "awardId":"",  "status":"pending",  "statusDetails": "contractPreparation",  "relatedProcesses": [  {  "id": "",  "relationship": [  "x\_contracting"  ],  "scheme": "ocid"  }  ]  }  ] } |

*Figure 25 – Code for contract initiation*

At this point, the preparation of a contract is concluded.

### 2.4.8 State 6.4 - Unsuccessful completion of the evaluation

Where all the tenders collected during the tendering period were rejected, the evaluation phase will end unsuccessfully with no future actions by the PE.

#### 2.4.8.1 Indication of the unsuccessful outcome of the procurement initiation

###### For lots

A negative character of procurement under a specific lot is reflected with lot.status: unsuccessful, where the lot is closed negatively due to a lack of submissions of tenders, or where all the tenders were rejected.

|  |
| --- |
| {  "lots": [  {  "status": "unsuccessful"  }  ] } |

*Figure 26 – Code for unsuccessful outcome of the procurement initiation at lot level*

###### For the entire initiation (tender)

A negative character of procurement under the entire initiation (procurement process) is reflected with tender.status: unsuccessful, where the initiation is closed negatively due to a lack of submissions of tenders, or where all the tenders were rejected. The details of a negative closure are reflected in tender.statusDetails.

* lackOfSubmissions
* allDisqualified
* allRejected

|  |
| --- |
| {  "tender": {  "status": "unsuccessful",  "statusDetails": ""  } } |

*Figure 27 – Code for unsuccessful outcome of the procurement initiation at tender level*

### 2.4.9 State 4 - Completion of the procedure

#### 2.4.9.1 Indication of a successful outcome of a procurement initiation

###### For lots

A positive character of procurement under a specific lot is reflected with lot.status: complete

|  |
| --- |
| {  "lots": [  {  "status": "complete"  }  ] } |

*Figure 28 – Code for successful outcome of the procurement initiation at lot level*

###### For the entire initiation

A positive character of procurement under an entire initiation (procurement process) is reflected with tender.status: complete.

|  |
| --- |
| {  "tender": {  "status": "complete"  } } |

*Figure 29 – Code for successful outcome of the procurement initiation at tender level*

### 2.4.10 State 5 - Cancellation of the procedure

State5 is a cancellation of the procedure. The cancellation flow is common to any procurement method and is described separately (in the API guide for NEPPs).

# 3 Annexes

## 3.1 Annex 1 – Evaluation of tenders. Coefficients for conversion

#### 3.1.1 Background

Evaluation of the tenders submitted by suppliers is critical for the procurement process. For this reason, care must be taken to ensure that the outcome is the right one and that it has been decided fairly and transparently.

##### 3.1.1.1 Scoring matrix for evaluation

Tender evaluation should:

* Have award criteria that are weighted to reflect importance/priority and are focused on the requirements of the specification (judging on quality rather than price);
* Be relevant to the subject matter of the Contract;
* Preferably be based on a model that considers a balance between price and quality, where the price is the dominant criteria in %. Care must be taken to ensure that the price/quality split reflects the requirements of the Contract;
* Have approval for the award criteria and the evaluation model (including weightings of each criterion); and
* Use an Evaluation Committee made up of appropriate and relevant representation having the necessary experience, technical skills and knowledge.

#### 3.1.2 Technical design

A separate conversions array is added into tender building block according to a [Conversions schema](https://github.com/eOCDS-Extensions/eOCDS-conversions/blob/master/release-schema.json) ￼‘Conversions’, which allows describing used conversions and their applicable coefficients.

* To describe used conversions and their applicable coefficients, either as a list of precise values or as a mathematical formula for calculating the value of a particular coefficient in this particular case (depending on the value received within requirementResponse related to a specific requirement) to be applied.
* To relate each conversion used (together with coefficients) with used criteria or targets (where applicable).
* To include applicable options to used criteria or observations for targets.

|  |
| --- |
| {  "tender": {  "conversions": [  {}  ]  } } |

*Figure 30 – Code for conversions*

##### 3.1.2.1 True/false requirement and its coefficients of conversion

The PE can use this simple criterion that requires only a true/false answer. For example, suppose the currently submitting supplier is a domestic tenderer. In that case, his/her tender will get a ratio that increases the advantage of its price by 20%:

|  |
| --- |
| {  "criteria": [  {  "id": "001",  "title": "Benefits",  "description": "Benefits domestic bidders",  "source": "tenderer",  "relatesTo": "tenderer",  "requirementGroups": [  {  "id": "001-1",  "requirements": [  {  "id": "001-1-1",  "title": "Is supplierdomestic bidder?",  "description": "",  "dataType": "boolean"  }  ]  }  ]  }  ] } |

*Figure 31 – Code for boolean criteria*

Using criteria, we can describe this criterion as such. But using conversions, we can also describe applicable coefficients:

|  |
| --- |
| {  "conversions": [  {  "relatesTo": "requirement",  "relatedItem": "001-1-1",  "rationale": "Domestic bidders receive a 20% price preference",  "coefficients": [  {  "value": true,  "coefficient": 0.8  },  {  "value": false,  "coefficient": 1  }  ]  }  ] } |

*Figure 32 – Code for criteria with coefficient*

Therefore, if the supplier responds that his/her company is a domestic tenderer, using cross-reference through requirement.id we can extract an applicable coefficient - 0.8.

##### 3.1.2.2 Requirement with a predefined set of coefficients of conversion for a specific criterion value

The PE can use criteria that require a precise answer with digitalisation. For example, when a minimum product warranty of 1 year is required for all tenders but warranties of 2 years receive a 15% advantage and warranties of 3 years or more receive a 30% advantage:

|  |
| --- |
| {  "criteria": [  {  "id": "002",  "title": "Product warranty",  "description": "A minimum product warranty of 1 year is required for all bids. Warranties of 2 years receive a 15% advantage. Warranties of 3 years or more receive a 30% advantage.",  "source": "tenderer",  "relatesTo": "item",  "relatedItem": "1",  "requirementGroups": [  {  "id": "002-1",  "requirements": [  {  "id": "002-1-1",  "title": "A minimum product warranty of 1 year is guaranteed",  "dataType": "boolean",  "expectednValue": true  },  {  "id": "002-1-2",  "title": "The number of years for proposed product warranty",  "dataType": "integer",  "minValue": 1,  "maxValue": 3  }  ]  }  ]  }  ] } |

*Figure 33 – Code for criteria with a predefined set of coefficients*

Using criteria, we can describe this criterion as such where the supplier is required to confirm that s/he guarantees at least 1 year of product warranty (002-1-1) and specify a precise number of years for this guarantee for the proposed product (002-1-2). Using conversions, we can also describe applicable coefficients:

|  |
| --- |
| {  "conversions": [  {  "relatesTo": "requirement",  "relatedItem": "002-1-2",  "rationale": "Number of years for product guarantee",  "description": "",  "coefficients": [  {  "value": 1,  "coefficient": 1  },  {  "value": 2,  "coefficient": 0.85  },  {  "value": 3,  "coefficient": 0.7  }  ]  }  ] } |

*Figure 34 – Code for criteria using conversions*

Depending on the supplier’s response, we will have an applicable coefficient for future conversion.

## 3.2 Annex 2 - Ranking for evaluation

Depending on tender.awardCriteria and tender.awardCriteriaDetails, initial automated ranking can or cannot be done:

|  |  |  |
| --- | --- | --- |
| **awardCriteria** | **awardCriteriaDetails** | **formula** |
| priceOnly | automated | bid.value |
| manual | - |
| costOnly | automated | bid.requirementResponses \* lot.value |
| manual | - |
| qualityOnly | automated | bid.requirementResponses \* 1 |
| manual | - |
| ratedCriteria | automated | bid.requirementResponses \* bid.value |
| manual | - |

*Table 1 Ranking for evaluation*

As shown in the above table, automated ranking can be undertaken automatically using a set of criteria and the relevant conversions applied by the PE for each available value of each applied requirement and published in a CN, on the one hand; and the bid.requirementResponses submitted by each supplier against published criteria on the other hand. These two data-sets allow the normalised value for each bid based on the same approach to be calculated.

### 3.2.1 Normalised price

Where normalised price must be calculated, the following formula is applied for each tender to identify which one is most suitable by normalised price:

*Pn = P \* C1 \* C2 \* ... Cn*

where:

* Pn – the value of normalised price
* P - basic price taken from bid.value or lot.value or equal to '1' depending on awardCriteria
* C1 ... Cn - values of the coefficients to be applied (related with values of requirements, available for supplier and indicated in requirementResponses)

### 3.2.2 Ranking approach

##### 3.2.2.1 priceOnly

Where awardCriteria: priceOnly - only bid.value is compared to identify the most suitable tender. The cheapest goes first.

##### 3.2.2.2 costOnly

Where awardCriteria: costOnly – the assumption is that all the tenderers have the same bid.value equal to lot.value. It means that the normalised price needs to be calculated for each bid received based on lot.value as a basis. The cheapest goes first.

##### 3.2.2.3 qualityOnly

Where awardCriteria: qualityOnly – the assumption is that the price doesn't matter and the only valuable part of the tender is quality - meaning set of values of criteria selected by the supplier while submitting a bid. It means that the normalised price needs to be calculated for each bid received, based on '1'. Most qualified goes first.

##### 3.2.2.4 ratedCriteria

Where awardCriteria: ratedCriteria – the assumption is that both price and value matter. It means that the normalised price needs to be calculated for each bid received based on ‘bid.value'. The cheapest goes first.

Where automated ranking is the case, all the awards are ranked into order for evaluation. The first award (most suitable according to the prescribed evaluation function) will be switched to the next state ‘available for evaluation’ by the PE.

1. <https://my.huddle.net/workspace/36712039/files/#/folder/49506928/list> [↑](#footnote-ref-1)
2. <https://github.com/open-contracting-extensions/ocds_metrics_extension> [↑](#footnote-ref-2)
3. <https://github.com/eOCDS-approaches/eOCDS-structuredAwardCriteria> [↑](#footnote-ref-3)
4. <https://github.com/eOCDS-Extensions/eOCDS-conversions> [↑](#footnote-ref-4)
5. <https://github.com/open-contracting-extensions/ocds_enquiry_extension> [↑](#footnote-ref-5)
6. <https://github.com/open-contracting-extensions/ocds_bid_extension> [↑](#footnote-ref-6)
7. <https://standard.open-contracting.org/latest/en/schema/reference/#award> [↑](#footnote-ref-7)
8. <https://standard.open-contracting.org/latest/en/schema/reference/#contract> [↑](#footnote-ref-8)
9. <https://standard.open-contracting.org/latest/en/schema/reference/?highlight=organization#organization> [↑](#footnote-ref-9)
10. <https://github.com/eOCDS-Extensions/eOCDS-persons> [↑](#footnote-ref-10)
11. <https://github.com/open-contracting-extensions/ocds_organizationClassification_extension> [↑](#footnote-ref-11)
12. <https://github.com/open-contracting-extensions/ocds_partyDetails_scale_extension> [↑](#footnote-ref-12)
13. [https://extensions.open-contracting.org/en/extensions/lots/v1.1.5](https://extensions.open-contracting.org/en/extensions/lots/v1.1.5/) [↑](#footnote-ref-13)