

**Business Interoperability Specification**

**OpenPEPPOL AISBL**

**Pre Award Coordinating Community**

**ICT - Models**

Peppol Business Interoperability Specification

Pre-award guide:

Notification & Two-Stage Procedures

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**Abbreviations**

|  |  |
| --- | --- |
| **Abbreviation** | **Description** |
| BII | Business Interoperability Interface |
| BIS | Business Interoperability Specification |
| br | Business rule |
| CWA | CEN Workshop Agreement |
| CEN WS/BII3 | CEN Workshop on Business Interoperability Interfaces for Public Procurement in Europe |
| CAN | Contract Award Notice |
| CN | Contract Notice |
| CA | Contracting Authority |
| EO | Economic operator |
| CEN | European Committee for Standardisation |
| ESPD | European Single Procurement Document |
| Peppol | Pan-European Public Procurement Online |
| PIN | Prior Information Notice |
| P | Profile |
| PB | Publication Body |
| SME | Small and Medium Sized Enterprise |
| eForms | Standard forms for the publication of notices |
| TED | Tenders Electronic Daily |
| Trdm | Transaction Data Model |

# Introduction

Peppol has developed a set of Business Interoperability Specifications (BIS) [[Peppol BIS](https://peppol.org/learn-more/peppol-interoperability-framework/)] to support interoperability in the pre- and post-award areas. The scope of Peppol is public procurement but the BISs apply as well to private trade since many private customers use tendering as good business practice. In those cases, official notification of calls and contracts and other transactions are often not applicable [[Peppol](https://peppol.org/)].

The scope of the Peppol BIS in the domain of Pre-Award is to support the main flows of open as well as two-stage procedures. This includes processes such as publication of notices, search of notices, calls for tenders, tenderer qualification, tenders and awarding notifications. During these processes additional support processes may be executed between contracting bodies and economic operators, such as procurement procedure subscription, call for tenders’ questions and answers, tender withdrawal or tender clarifications. The benefit for users of this guideline in relation to the published Peppol BIS is that it provides a choreography that explains the sequence of two-stage procedures.

All Peppol specifications and guidelines are based upon the directives [2014/24/EU](https://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX%3A32014L0024) on public procurement and [2014/25/EU](https://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX%3A32014L0025) on procurement by entities operating in the water, energy, transport and postal services sectors and [2014/23/EU](https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:02014L0023-20180101) on the award of concession contracts and [2009/81/EG](https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A32009L0081) on the coordination of procedures for the award of contracts in the fields of defence and security. Supplementary regulations such as Regulation (EU) 2019/1780 establishing standard forms for the publication of notices [[eForms](https://eur-lex.europa.eu/eli/reg_impl/2019/1780/oj)] and Regulation (EU) 2016/7 establishing the standard form for the European Single Procurement Document [[ESPD](https://eur-lex.europa.eu/eli/reg_impl/2016/7/oj)] have been considered for the collection of the underlying legal requirements.

This document therefore describes the choreography to execute two-stage procedures using Peppol. Thus, the notification and two-stage procedure guideline is a procedural specification. The guideline does not define individual transactions, but it refers to the already established Peppol BISs and standards, in which the transactions and the transaction information requirements are listed and defined. Even though the guideline is based on a set of PEPPOL BISs, its contents are derived from the agreement of the CEN Workshop on Business Interoperability Interfaces for Public Procurement in Europe [[CEN\_BII3](https://cenbii.eu/the-bii-approach-to-interoperability/)]. Particularly the CEN Workshop Agreement - E-Tendering - Part 108: Profile BII39 Restricted Procedure (CWA 17027-108:2016) is referenced.

The Peppol guideline for notification and two-stage procedures extends the CWA 17027-108:2016 in the following way. It first introduces the restricted procedure process analogous to CWA 17027-108:2016. This process is used as a reference choreography for a two-stage procedure. However, further choreographies are then illustrated, which can be regarded as variants or derivations of the reference process. The Procurement Directives consider restricted procedures, competitive procedures with negotiation, competitive dialogues, innovation partnerships and dynamic purchasing systems as concrete manifestations of two-stage procedures. Common to these is that contracting authorities make use of the possibility to limit the number of candidates invited to submit a tender [[2014/24/EU](https://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX%3A32014L0024)].

Even though this guideline describes the entire choreography of two-stage procedures, Peppol eTendering service providers may also implement only certain parts or aspects of the procedure guideline. For example, it is possible to implement only the processes up to the provision of the call for tender documents or to exclusively realize processes and transactions that support the publication and search of notices (eNotification). However, it should be noted that individual process steps should be implemented in sequential order, starting from the beginning of the process, as the process steps depend on each other. It is therefore not possible to implement just a single BIS, such as Tender Withdrawal, without having implemented the BIS Tender. It is also recommended to implement the simple form of an open procedure first before going further and implement a more complex two-stage procedure variant. This would be good practices since the two-stage procedure reuses all transactions that have to be implemented for the open procedure. Conversely, this does not apply. The guideline for open award procedures can be found at [[Pre-Award Open Procedure](https://docs.peppol.eu/pracc/files/Peppol-BIS-pre-award-guide_Notification-and-Open-Procedure-v1.0.pdf)]

The two-stage procedure guideline is structured as follows. It illustrates the scope (section 2), the business environment (section 3), the business requirements (section 4), the business process choreography (section 5) and the Peppol artifacts (section 6) to implement an open procedure based on Peppol.

# Scope

## Audience

The audience for this document is organizations wishing to be Peppol enabled for exchanging pre-award business documents, and/or their ICT-suppliers. These organizations may be:

* Service providers
* Contracting Authorities
* Economic Operators
* Publication Bodies
* Software Developers

More specifically, it is addressed towards the following roles:

* ICT Architects
* ICT Developers
* Business Experts

For further information on Peppol/OpenPeppol please see [[Peppol About](https://peppol.org/about/)].

## Procedures handled with this guideline

The scope of this guideline describes several kinds of procurement procedures that are built upon one or more selection milestones until the final contract will be signed. Selection may either based on approval of qualification or on negotiation results during the whole procurement process.

The scope of this guideline does especially not include procurement procedure types leading to electronic auctions or contracting frameworks.

## Peppol specifications in scope of the Notification & Two-Stage Procedures Guideline

Peppol pre-award enables trading partners to exchange standards-based electronic eTendering documents over the Peppol network (based on a 4-corner model) [[Peppol eDelivery](https://peppol.org/learn-more/peppol-interoperability-framework/)]. These documents are described as profiles, the PEPPOL Business Interoperability Specifications (BIS) [[Peppol BIS](https://peppol.org/learn-more/peppol-interoperability-framework/)], and depict business process like the search of notices, the publication of call for tenders, the submission of tenders, etc.

The Peppol BISs in the pre-award domain have been developed by the OpenPEPPOL AISBL Pre-Award Domain Community (PrAC) and are published as part of the Peppol specifications [[Peppol Pre Award](https://peppol.eu/downloads/pre-award/)]. The Peppol BIS in the pre-award constitute the specifications that frame the execution of eTendering procedures [[Peppol eTendering](https://docs.peppol.eu/pracc/)].

The Peppol pre-award BISs and transactions referenced in this guideline are intended to be exchanged between the tendering systems of economic operators and contracting bodies. This means that it is expected that the parties have connected their systems to the internet, and that they have middleware in place to enable them to send and receive the Peppol transactions in a secure way, using an agreed syntax and the Peppol network.

In order to implement the Peppol profiles and transactions, however, further guidelines must be considered, in particular:

* Use of transport specifications are described in the BIS eDelivery guide for pre-award [[Pre Award eDelivery](https://docs.peppol.eu/pracc/files/BIS-eDelivery-guide-for-pre-award-v1.2.pdf" \o "https://docs.peppol.eu/pracc/files/BIS-eDelivery-guide-for-pre-award-v1.2.pdf)]
* Use of cryptographic specifications are described in the BIS eDocuments guide for pre-award [[Pre Award eDocuments](https://docs.peppol.eu/pracc/files/BIS-eDocuments-guide-for-pre-award-v1.2.pdf)]

The content model of the Peppol transactions can be used in procurement platforms or portals, so that these platforms as well as procurement systems of economic operators and contracting bodies are based on the same information and process models, which makes them interoperable. Even if platforms are not technically interoperable (e.g. not yet connected to the Peppol network), the processes and content models facilitate a common understanding.

The two-stage procedure guideline references and arranges various Peppol BISs in the pre-award domain to describe coherent behavior regarding the execution of two-stage procedures using Peppol. It thereby points to variants such as restricted procedures, competitive procedures with negotiation, competitive dialogues, innovation partnerships and dynamic purchasing systems. The use of Peppol pre-award BISs for Open Procedures is described in the Peppol BIS pre-award guide - Notification and Open Procedure [[Pre-Award Open Procedure](https://docs.peppol.eu/pracc/files/Peppol-BIS-pre-award-guide_Notification-and-Open-Procedure-v1.0.pdf)].

The set of Peppol BISs for supporting Two-Stage Procedures in the pre-award area are collected at [[Peppol Pre-Award](https://docs.peppol.eu/pracc/)]:

Table 1: Peppol BIS supporting the Two-Stage procedures

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **PEPPOL Profile ID** | **Profile name** | **CEN Profile ID** | **PEPPOL**  **Transaction ID** | **PEPPOL Transaction name** | **CEN Transaction ID** |
| [P001](https://docs.peppol.eu/pracc/profiles/p001/index.html) | Procurement procedure subscription | BII46 | [T001](https://docs.peppol.eu/pracc/transactions/T001/index.html) | Subscribe to Procedure | Trdm81 |
| [T002](https://docs.peppol.eu/pracc/transactions/T002/index.html) | Subscribe to Procedure Confirmation | Trdm82 |
| [T022](https://docs.peppol.eu/pracc/transactions/T022/index.html) | Unsubscribe from Procedure Confirmation | Trdm107 |
| [P002](https://docs.peppol.eu/pracc/profiles/p002/index.html) | Procurement document access | BII60  BII47 | [T003](https://docs.peppol.eu/pracc/transactions/T003/index.html) | Tender Status Inquiry | Trdm97 |
| [T004](https://docs.peppol.eu/pracc/transactions/T004/index.html) | Call for Tenders | Trdm83 |
| [P003](https://docs.peppol.eu/pracc/profiles/p003/index.html) | Tender Submission | BII54 | [T005](https://docs.peppol.eu/pracc/transactions/T005/index.html) | Tender | Trdm90 |
| [T006](https://docs.peppol.eu/pracc/transactions/T006/index.html) | Tender Reception Notification | Trdm45 |
| [P004](https://docs.peppol.eu/pracc/profiles/p004/index.html) | Call for Tenders Questions and Answers | BII48 | [T007](https://docs.peppol.eu/pracc/transactions/T007/index.html) | Tender Questions | Trdm84 |
| [T008](https://docs.peppol.eu/pracc/transactions/T008/index.html) | Tender Answers | Trdm85 |
| [P005](https://docs.peppol.eu/pracc/profiles/p005/index.html) | Tender Clarification | BII50 | [T009](https://docs.peppol.eu/pracc/transactions/T009/index.html) | Tender Clarification Request | Trdm84 |
| [T010](https://docs.peppol.eu/pracc/transactions/T010/index.html) | Tender Clarification | Trdm85 |
| [P006](https://docs.peppol.eu/pracc/profiles/p006/index.html) | Search Notice | BII45 | [T011](https://docs.peppol.eu/pracc/transactions/T011/index.html) | Search Notice Request | Trdm99, |
| [T012](https://docs.peppol.eu/pracc/transactions/T012/index.html) | Search Notice Response | Trdm100, Trdm78, Trdm79, Trdm80 |
| [P007](https://docs.peppol.eu/pracc/profiles/p007/index.html) | Tender Withdrawal | BII53 | [T013](https://docs.peppol.eu/pracc/transactions/T013/index.html) | Tender Withdrawal | Trdm89 |
| [T014](https://docs.peppol.eu/pracc/transactions/T014/index.html) | Tender Withdrawal Notification | Trdm45 |
| [P008](https://docs.peppol.eu/pracc/profiles/p008/index.html) | Publish Notice | BII10, BII14, BII43 | [T015](https://docs.peppol.eu/pracc/transactions/T015/index.html) | Publish Notice (Contract Notice) | Trdm78, Trdm79, Trdm80 |
| [T016](https://docs.peppol.eu/pracc/transactions/T016/index.html) | Notice Publication Response | Trdm065 |
| [P009](https://docs.peppol.eu/pracc/profiles/p009/index.html) | Notify Awarding | BII58 | [T017](https://docs.peppol.eu/pracc/transactions/T017/index.html) | Awarding Notification | Trdm94 |
| [P010](https://docs.peppol.eu/pracc/profiles/p010/index.html) | Tendering Message Response | BII Architecture 107 | [T018](https://docs.peppol.eu/pracc/transactions/T018/index.html) | Tendering Message Response | [BII Architecture 107](https://standards.cencenelec.eu/dyn/www/f?p=205:110:0::::FSP_PROJECT:61996&cs=1F1CAB7AB3DA79B9397033D8EC7A317CE) |
| [P011](https://docs.peppol.eu/pracc/profiles/p011/index.html) | Qualification | BII49 | [T019](https://docs.peppol.eu/pracc/transactions/T019/index.html) | Qualification | Trdm86 |
| [T020](https://docs.peppol.eu/pracc/transactions/T020/index.html) | Qualification Reception confirmation | Trdm042 |
| [P012](https://docs.peppol.eu/pracc/profiles/p012/index.html) | Qualification Response | BII51 | [T023](https://docs.peppol.eu/pracc/transactions/T023/index.html) | Qualification Response | Trdm87 |
| [P013](https://docs.peppol.eu/pracc/profiles/p013/index.html) | Invitation to Tender | BII52 | [T024](https://docs.peppol.eu/pracc/transactions/T024/index.html) | Invitation to tender | Trdm88 |
| [T003](https://docs.peppol.eu/pracc/transactions/T003/index.html) | Tender Status Inquiry | Trdm97 |
| [P035](https://docs.peppol.eu/pracc/profiles/p035/index.html) | Pre-Award Catalogue | BII35 | [T036](https://docs.peppol.eu/pracc/transactions/T036/index.html) | PreAward Catalogue | Trdm68 |
| [T035](https://docs.peppol.eu/pracc/transactions/T035/index.html) | PreAward Catalogue Request |

## Goals of the Notification & Two-Stage Procedures Guideline

The main business benefits to be gained by implementing this guideline is the execution of two staged procedures. The goals are described below.

Table 2: Goals of the Notification & Two-Stage Procedure Guideline

| **ID** | **Description** |
| --- | --- |
| G39-001 | Reduce human errors and resources - Automated matching of the Tender with the Call for Tender document should eliminate human keying errors and facilitates redeployment of resources. |
| G39-002 | No previous bi-lateral setup or agreements. Required - Parties (economic operators and contracting bodies) should communicate without a previous bi-lateral setup or agreements. |
| G39-003 | Facilitate Automated Tender Preparation - e-Tendering/e-Submission solutions should allow Economic Operators (semi)automatically to generate a tender based on the information defined in call for tenders documents |
| G39-004 | Transparency - The contracting body wants to obtain the best value-for-money by maximising the transparency of its tender procedures in order for economic operators to easily find this business opportunity. |
| G39-005 | Equal treatment - The contracting body has the obligation to treat all economic operators equally during the whole tender procedure. |
| G39-006 | Competition - The contracting body wants to obtain the best value-for-money by maximising the competition among bidders. |
| G39-007 | Insurance bid - The economic operator wants insurance that his bid is valid and has been received by the contracting body within the time limit set out in the tender documents. |
| G39-008 | Efficiency - The contracting body wants to increase efficiency in the business process, e.g. when evaluating the received bids, in order to save time and costs. |
| G39-009 | Interoperability - The Member state policymakers want interoperability between all tendering solutions in order to facilitate one single European Market because the better interoperability the more bids. |
| G39-010 | Equal access - economic operators want equal access to all public procurement business opportunities. |
| G39-011 | Integrity of the bid - The contracting body and the economic operator want insurance that the integrity of the bid is secured, i.e. insurance of accuracy and consistency when storing and retrieving data. |
| G39-012 | Authentication - The contracting body wants insurance that it is dealing with real economic operators during the tender procedure. |
| G39-013 | Legal valid bid - The contracting body wants insurance that the bid is signed by persons mandated by the economic operators therefore being a legally valid bid. |
| G39-014 | Administrative burdens - The Member state policymakers want to lower the administrative burden in public procurement for economic operators and contracting bodies. |
| G39-015 | Re-use of information - The economic operator re-uses as much information and documents as possible when preparing a bid in order to save time and costs. |
| G39-016 | Standards - The economic operator wants to receive as much as possible standardized tender documents, in order to easily understand the content and to easily respond by creating a tender and to respond with standardized evidence and product information that are requested. |
| G39-017 | Accountability - The contracting body - being accountable for the procedure - doesn't want to make mistakes during the whole tender procedure. |

# Business Environment

This guideline is intended to support transmission of electronic documents for processing (semi-)automated open procurement procedures. The legal requirements that were taken into account are requirements from European legislation, in particular the EU Directives on public procurement [2014/24/EU](https://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX%3A32014L0024), [2014/25/EU](https://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX%3A32014L0025), [2014/23/EU](https://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX%3A32014L0024) and [2009/81/E](https://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX%3A32014L0024)G.

Additionally, supplementary regulations such as Commission Implementing Regulation (EU) 2019/1780 establishing standard forms for the publication of notices [[eForms](https://eur-lex.europa.eu/eli/reg_impl/2019/1780/oj)] and Commission Implementing Regulation (EU) 2016/7 establishing the standard form for the European Single Procurement Document [[ESPD](https://eur-lex.europa.eu/eli/reg_impl/2016/7/oj)] have been considered relevant for the collection of legal requirements.

The descriptions in this section describe the business environment of a restricted procedure. As described before, the reference choreography for two-stage procedures is based on the restricted procedure. Thus, also the business environment and subsequent descriptions are firstly directed to the restricted procedure. Later on, further procedures are introduced, which can be seen as variations of two-staged procedures.

The illustration of the business environment points to the relevant Peppol BISs that depict a particular business process. Additionally, the guideline references the underlying CEN BII3 Workshop Agreement. The CEN BII3 workshop is a standardisation initiative within CEN (European Committee for Standardisation). It provides a framework for interoperability in pan-European electronic transactions expressed as a set of technical specifications ("Profiles") [[CEN\_BII3](https://standards.cencenelec.eu/dyn/www/f?p=205:32:0::::FSP_ORG_ID,FSP_LANG_ID:2073699,25&cs=1764296F93587711762A3AB227353671A)].

The profiles provided by CEN BII3 and Peppol are designed to facilitate effective public e-procurement based on a modular approach for implementation, with a focus on global interoperability. Thereby, BII profiles can be seen as “agreements” on message contents and business processes and are the baseline for many Peppol BISs which add specific technical implementation perspectives that are further illustrated in section 6. Thus, the CEN profile descriptions rather focus on the core choreographies, transactions and information elements that typically cater to the majority of user requirements applicable across Europe and lower the need for detailed bilateral agreements between the trading partners whereas Peppol provides a framework for their implementation and adaption.

## Notification procedures in scope of this guideline

Official notification through publishing bodies is part of many procurement procedures. Many pre-award opportunities first become visible to the economic operators in the form of notices describing upcoming or current procurement procedures (prior information notices or contract notices). At the end of a procedure, a contract award notice about the result of the procedure is published.

eNotification covers the transfer of electronic procurement notices for publication and dissemination with the ultimate aim of opening business opportunities. eNotification profiles are addressed to all those who exchange procurement notices for publication and further information processing. eNotification is therefore generally addressed to eTendering Plattform Providers, Contracting Bodies, publishers, print shops, information brokers or monitoring and statistical services. eNotification can be carried out at various levels and between different levels (regional, state, European etc). The legal obligation of publishing notices at the correct level is the responsibility of the contracting bodies.

The content model of procurement notices in Europe is based on [Commission Implementing Regulation (EU) 2019/1780](https://eur-lex.europa.eu/eli/reg_impl/2019/1780/oj). It links to [Directive 2014/23/EU](https://eur-lex.europa.eu/legal-content/en/TXT/?uri=CELEX:32014L0023), [Directive 2014/24/EU](https://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX%3A32014L0024), [Directive 2014/25/EU](https://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX%3A32014L0025) and [Directive 2009/81/EG](https://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX%3A32014L0024) and their annexes, particularly the annex describing the standard forms to be used for the publication of procurement notices. eForms are at the core of the digital transformation of public procurement in the EU. Through the use of a common standard and terminology, they can significantly improve the quality and analysis of data. Well-implemented eForms increase the ability of businesses and other organisations to find opportunities. They will also reduce the administrative burden for buyers, increase the ability of governments to make data-driven decisions about public spending, and make public procurement more transparent.

eNotification covers the electronic transfer of electronic notices for publication and dissemination services. The publication of notices is executed between a contracting body or his representative and a publisher. CEN WS/BII 3 profiles [BII14 Prior Information Notice](https://standards.cencenelec.eu/dyn/www/f?p=205:110:0::::FSP_PROJECT:62008&cs=16824EF2775A9CE68B4E33893BA1F2A05) (CWA 17026-102), [BII10 Contract Notice](https://standards.cencenelec.eu/dyn/www/f?p=205:110:0::::FSP_PROJECT:62007&cs=16D9EEBE9B7C024A15F0CCDEE76075355) (CWA 17026-101) and [BII43 Contract Award Notice](https://standards.cencenelec.eu/dyn/www/f?p=205:110:0::::FSP_PROJECT:62009&cs=1807B03E8AA497A2C66F5BA5A25A5A3AF) (CWA 17026-103) describe the exchange of notices between a contracting body or his representative and a publisher. In Peppol, these profiles are covered by the Peppol BIS [P008 Publish Notice](https://docs.peppol.eu/pracc/profiles/p008/index.html) which provides electronic messaging support to publish a prior information notice, a contract notice or a contract award notice. Thus, Peppol BIS [P008 Publish Notice](https://docs.peppol.eu/pracc/profiles/p008/index.html) helps contracting bodies to announce business opportunities and contract awards in public procurement procedures.

In the EU, [eForms](https://simap.ted.europa.eu/eforms) are used to publish notices above threshold on Tenders Electronic Daily (TED)—an online portal for public procurement notices from across the EU. On the national level public procurement decision makers can benefit from eForms through tailoring and defining a national approach to the various aspects of eForms, e.g. using them for contracts below thresholds, considering different policies and requirements.

The Peppol BIS [P006 Search Notice](https://docs.peppol.eu/pracc/profiles/p006/index.html) supports a process by which a notification platform can be queried along a set of parameters to find relevant notices and related metadata required by other PEPPOL BISs. The profile is based on CEN WS/BII 3 Profile [BII45 Search Notice](https://standards.cencenelec.eu/dyn/www/f?p=205:110:0::::FSP_PROJECT:62010&cs=1628543602EFDE54C11B8136021A5621A) (CWA 17026-104:2016). The transactions, specified in BIS [P006 Search Notice](https://docs.peppol.eu/pracc/profiles/p006/index.html) are intended to be exchanged between eTendering systems and Publication Bodies but they can be adopted by many other actors. Since the [P006 Search Notice](https://docs.peppol.eu/pracc/profiles/p006/index.html) provides access to Open Data, it also provides possibilities for the establishment of new business models that allow monitoring, the provision of statistical information or easy access for economic operators to business opportunities in different countries across eTendering and eNotification platforms.

In order to execute the Peppol BIS [P008 Publish Notice](https://docs.peppol.eu/pracc/profiles/p008/index.html) and Peppol BIS [P006 Search Notice](https://docs.peppol.eu/pracc/profiles/p006/index.html), it is necessary that the parties have Peppol eDelivery in place to enable them to send and receive the transactions in a secure way. Implementers must also support [eForms](https://simap.ted.europa.eu/eforms) content model because the transactions are based on the EU-wide eForms standard.

## Tendering procedures in scope of this guideline

For the purpose of initiating electronic tendering via Peppol, the Peppol BIS [P006 Search Notice](https://docs.peppol.eu/pracc/profiles/p006/index.html) plays a significant role. When the contracting body has published a notice, the interested economic operators who finds it may want to subscribe to this procedure by using PEPPOL [P001 Procurement procedure subscription](https://docs.peppol.eu/pracc/profiles/p001/index.html) based on [BII46 Subscribe to Procedure](https://standards.cencenelec.eu/dyn/www/f?p=205:110:0::::FSP_PROJECT:62028&cs=16B7CFE594685D73AD82275DFFE3FCC55). Thereby, the Profile [P006 Search Notice](https://docs.peppol.eu/pracc/profiles/p006/index.html) delivers necessary organisational and technical information to identify the procedure and contracting authority. This information is required by Peppol implementers because the request for procurement procedure subscription must be directed to the entity responsible for the procurement procedure.

eTendering can be put in place using different procedures, depending on the value and the type of the contract to be awarded, on the legal nature of the contracting body and on specific member state national legislation ([Directive 2014/24/EU](https://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX%3A32014L0024) art. 26). Article 26 to 32 from [Directive 2014/24/EU](https://eur-lex.europa.eu/legal-content/DE/TXT/?uri=CELEX%3A32014L0024) and article 43 to 50 from [Directive 2014/25/EU](https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A32014L0025) describe the different tendering procedures that can be used by contracting bodies. For the purpose of electronic tendering, some of these procedures have been described in CEN WS/BII 3 [BII37 Open Procedure](https://standards.cencenelec.eu/dyn/www/f?p=205:110:0::::FSP_PROJECT:62023&cs=19453F711D73A2988EC334F37EE564AB1) (CWA 17027-106) and CEN WS/BII 3 [BII39 Restricted Procedure](https://standards.cencenelec.eu/dyn/www/f?p=205:110:0::::FSP_PROJECT:62025&cs=16FE060019144359C0A826411A5F67E89) (CWA 17027-108).

In open procedures, any economic operator can access the call for tenders documents and submit a tender before the time expires, without any previous assessment of their capabilities. In restricted procedures, competitive dialogue procedures, innovation partnerships and negotiated procedures with prior call for competition, contracting entities shall simultaneously and in writing invite the selected candidates to submit their tenders, to take part in the dialogue or to negotiate. Before the Invitation to Tender, there is usually a qualification phase for the candidates.

The sequence and orchestration of the process steps specified in the Peppol BIS can be put into the following principal logical context. When the contracting body has published a notice, the interested economic operators may subscribe (and later if necessary unsubscribe) to obtain (or not obtain) tendering information using profile CEN WS/BII 3 [BII46 Subscribe to Procedure](https://standards.cencenelec.eu/dyn/www/f?p=205:110:0::::FSP_PROJECT:62028&cs=16B7CFE594685D73AD82275DFFE3FCC55) (CWA 17027-111) covered by Peppol BIS [P001 Procurement procedure subscription](https://docs.peppol.eu/pracc/profiles/p001/index.html).

Once the interested economic operator has subscribed to an open procedure, the contracting authority provides the procurement documents by using Peppol BIS [P002 Procurement document access](https://docs.peppol.eu/pracc/profiles/p002/index.html). The BIS P002 is based on CEN WS/BII 3 [BII60 Tender Status Inquiry](https://standards.cencenelec.eu/dyn/www/f?p=205:110:0::::FSP_PROJECT:62055&cs=1FA2AB7C9A0F601605C549112B7B93DA3) (CWA 17027-123) and CEN WS/BII 3 [BII47 Call for Tenders](https://standards.cencenelec.eu/dyn/www/f?p=205:110:0::::FSP_PROJECT:62029&cs=16BDCBBEBAE1A6A235013E1B31A0B78D6) (CWA 17027-112) and provides the call for tender documents. It can be repeated at any time until the tender submission deadline to receive the latest version of the procurement documents. Additionally, contracting authorities must push updates to the economic operators that subscribed to a procedure.

Within the call for tenders, contracting authorities must inform economic operators how to qualify for the procedure. This may be done by an European Single Procurement Document (ESPD) defined by the [Commission Implementing Regulation (EU) 2016/7](https://eur-lex.europa.eu/eli/reg_impl/2016/7/oj) for which Peppol develops the BIS ESPD 3.0 based on the [ESPD Exchange Data Model version 3.0](https://github.com/OP-TED/ESPD-EDM). Additionally, call for tenders may include pre-award catalogue information to describe products and services in a common format allowing economic operators to send offers in a structured way and contracting authorities to evaluate products and services automatically through their tendering tools. The Peppol BIS [P035 Pre-Award Catalogue](https://docs.peppol.eu/pracc/profiles/p035/index.html) can be used for this purpose and was defined according to the CEN WS/BII 3 Profile [BII35 Advanced Tendering with Pre-award Catalogue](https://standards.cencenelec.eu/dyn/www/f?p=205:110:0::::FSP_PROJECT:62022&cs=1EF6066023AE7AE2A2D9F6E77398C162C).

In two-stage procedures like, restricted procedures, competitive dialogue procedures, innovation partnerships and negotiated procedures with prior call for competition, the selection and exclusion criteria for the qualification phase are communicated in a first step to the economic operator by using BIS P002 based on CEN WS/BII 3 [BII60 Tender Status Inquiry](https://standards.cencenelec.eu/dyn/www/f?p=205:110:0::::FSP_PROJECT:62055&cs=1FA2AB7C9A0F601605C549112B7B93DA3) (CWA 17027-123) and CEN WS/BII 3 [BII47 Call for Tenders](https://standards.cencenelec.eu/dyn/www/f?p=205:110:0::::FSP_PROJECT:62029&cs=16BDCBBEBAE1A6A235013E1B31A0B78D6) (CWA 17027-112). Up to this point, the sequence of Peppol BIS is analogous to the open procedure. However, the content is restricted to qualification selection information and the following steps are different too.

The submission of qualification information in the subsequent step is executed using profile CEN WS/BII 3 [BII 49 Qualification](https://standards.cencenelec.eu/dyn/www/f?p=205:110:0::::FSP_PROJECT:62031&cs=1B70B853F56C648B3483016CF296DFC0A) (CWA 17027-114) covered by PEPPOL BIS [P011 Qualification](https://docs.peppol.eu/pracc/profiles/p011/index.html). The contracting body notifies the economic operator of having received the qualification documents. After the qualification selection, all economic operators are informed about the results by the contracting authority using profile CEN WS/BII 3 [BII 51 Qualification Rejection](https://standards.cencenelec.eu/dyn/www/f?p=205:110:0::::FSP_PROJECT:62033&cs=1A7DBDEE6682A0238FED320C05D7FEE35) (CWA 17027-116) reflected by PEPPOL BIS [P012 Qualification Response](https://docs.peppol.eu/pracc/profiles/p012/index.html). In two-stage procedures the contracting authority will send an invitation to tender (second step) only to the identified candidates which have been selected after the qualification phase using profile CEN WS/BII 3 [BII52 Invitation to Tender](https://standards.cencenelec.eu/dyn/www/f?p=205:110:0::::FSP_PROJECT:62034&cs=14EBEB82D050E426BA2F37CC537677DFB) (CWA 17027-117). The invitation to tender provides the procurement document and possibility to submit a tender. It is captured by the PEPPOL BIS [P013 Invitation to Tender](https://docs.peppol.eu/pracc/profiles/p013/index.html).

Once the economic operator has received the call for tenders or invitation to tender, it can use the Peppol BIS [P004 Call for Tenders Questions and Answers](https://docs.peppol.eu/pracc/profiles/p004/index.html) for the business process of answering questions about the procurement document or qualitative selection. The BIS P004 is based upon CEN WS/BII3 profile [BII48 Call for Tenders Questions and Answers](https://standards.cencenelec.eu/dyn/www/f?p=205:110:0::::FSP_PROJECT:62030&cs=137D249EEF9A0B7DF6DAD668A740CA477) (CWA 17027-113) and supports economic operators to clarify open questions until the submission deadline. Answers of the contracting authority then have to be sent to all economic operators that subscribed to the procedure and additionally the call for tenders (or invitation to tender) should be updated and pushed to the (qualified) subscribers of the procedure.

In case the economic operator decides to submit a tender, he can use the Peppol BIS [P003 Tender Submission](https://docs.peppol.eu/pracc/profiles/p003/index.html). After the submission of a tender, the contracting body notifies the economic operator of having received the tender. The BIS P003 is based upon CEN WS/BII3 profile [BII54 Tendering](https://standards.cencenelec.eu/dyn/www/f?p=205:110:0::::FSP_PROJECT:62036&cs=12EBD786F7FC4B3EEB54EB811F8FCD901) (CWA 17027-119). On the contrary, economic operators can decide to withdraw a tender (or qualification) that was previously submitted by using the Peppol BIS [P007 Tender Withdrawal](https://docs.peppol.eu/pracc/profiles/p007/index.html). The BIS P007 was derived from CEN WS/BII3 profile [BII53 Tender Withdrawal](https://standards.cencenelec.eu/dyn/www/f?p=205:110:0::::FSP_PROJECT:62035&cs=15E8443FF9806B2D1F6675A41EA29930F) (CWA 17027-118) and provides electronic messaging support for the economic operator to withdraw a tender or the submitted qualification documents. The contracting body notifies the economic operator of having received the tender withdrawal message. After the tender withdrawal, an economic operator may submit a new offer (or new qualification documents) at any time before the tender submission deadline.

On the opening date, the contracting authority gathers and opens all received tenders (or qualifications). The opening board members can now evaluate the received tenders (or qualifications). If questions about specific offers (or qualifications) arise during the course of the evaluation, they can be answered through the Peppol BIS [P005 Tender Clarification](https://docs.peppol.eu/pracc/profiles/p005/index.html). The BIS P005 supports the contracting authority to clarify questions on a tender (or qualifications) which has been submitted. The BIS P005 was defined according to the requirements gathered by the CEN WS/BII3 profile [BII50 Tender Clarification](https://standards.cencenelec.eu/dyn/www/f?p=205:110:0::::FSP_PROJECT:62032&cs=112E5165F9BCEE578DFD26A6C238464E2) (CWA 17027-115).

At the end of the evaluation process, the contracting authority needs to inform the participating economic operators upon the results of the tender evaluation. For this purpose, contracting authorities can use the Peppol BIS [P009 Notify Awarding](https://docs.peppol.eu/pracc/profiles/p009/index.html) which provides electronic messaging support to inform the bidders that a contract has been awarded. The BIS P009 is based upon the CEN WS/BII3 profile [BII58 Notify Awarding](https://standards.cencenelec.eu/dyn/www/f?p=205:110:0::::FSP_PROJECT:62038&cs=1438046879E98863C8263389E46ED47C4) (CWA 17027-121). The contracting authority can use BIS [P009 Notify Awarding](https://docs.peppol.eu/pracc/profiles/p009/index.html) to inform the winner(s) at the same time as they inform the unsuccessful tenderers and they must individually declare the reasons why they failed. The notification of the awarding decision initiated by BIS [P009 Notify Awarding](https://docs.peppol.eu/pracc/profiles/p009/index.html) shall also start the standstill period clock. After the stand still period, the contracting authority can finalize the contract with the winning supplier and also send a contract award notice using BIS Peppol BIS [P008 Publish Notice](https://docs.peppol.eu/pracc/profiles/p008/index.html).

## Process control mechanisms in scope of this guideline

The purpose of the "PEPPOL BIS Profile P010 - Tendering Message Response" is to describe a common format for a response message that can be used in eTendering procedures. The Tendering Message Response (TMR) shall facilitate an efficient implementation and increased use of electronic collaboration between eTendering platforms. It improves reliability by allowing a receiver of a business document to inform the sender about the results of receivers’ validations and processing success, and in case of negative results, to inform the sender about the nature of the errors as well as their details. The TMR than may allow the sender of the document to take appropriate action. It is further described in section 5.3

In a nutshell, the "PEPPOL BIS Profile P010 - Tendering Message Response" is a transaction that adds processing exceptions that may occur on the business level of eTendering in any PEPPOL eTendering BIS.



Figure 1: Flow of different response messages

The figure above illustrates the different views where TMRs are used. Whereas the technical view is addressed by transport acknowledgements, the TMR is applied to the semantic view (including syntactical aspects) as well as the organizational view of the eTendering process.

**Technical View**

These are messages that are exchanged within the transport network(s) to inform about the process of carrying a message down the transport line. These responses may inform someone up-line that the delivery to a given point was successful or not and may contain details about issues that are relevant such as why a delivery was not successful. The key nature of these responses is that they do not in any way act on result of validation or processing of the content of the payload that is being transported. These response messages are commonly called “acks” or transport acknowledgements.

**Semantic View**

When a message has reached a given point in the transport line its content may be validated according to agreed specifications that may be both syntactical and semantic. The outcome of these validations may be reported to a relevant party up-line, informing him whether the validation was successful or not as well as giving some details. An example could be that a tender message that is received is rejected because it is missing a closing tag (syntax error) or because the Economic Operator is not identified by its party and endpoint identifiers. A key nature of these messages is that they report on the message content on the basis of the technical specifications that apply.

**Organisational View**

A message that has been received and accepted for processing may call for an action on the receiver’s behalf. That receiver’s action may need to be reported back up-line to a relevant party. An example is that a technically correct tender may be received but the receiver decides to reject the tender for any business reason such as expired tender submission deadline, a missing authorization to submit a tender etc. The key nature of these responses is that they report a business decision that is made on the message instance received.

# Business Requirements

## High level business requirements

Table 3: High level business requirements

| **Req. ID** | **Requirement statement** | **Ref. to goal** |
| --- | --- | --- |
| BR-001 | All transactions in the procurement procedure, such as subscribe to procedure or status inquiry, and documents, such as call for tenders or catalogues, should be based on common standards. | G39-002 |
| BR-002 | Being interoperable means business partners shall implement the same profiles and transactions. Ideally, business partners should implement the entire set of transactions. However, contracting bodies and economic operators may wish to state conformance to some individual transactions (or small groups of transactions). | G39-003 |
| BR-003 | The value of digitization lies in the implementation of all transactions in a procedure. A contracting body shall therefore be able to enforce a business process (tendering procedure), consisting of multiple transactions, on economic operators. Both contracting bodies and economic operators shall be able to state conformance of their system to the entire process. | G39-002 |
| BR-004 | Code lists shall be consistent for all transactions in a complete procedure. | G39-016 |
| BR-005 | When the contracting body publishes structured information, it requires a structured response; when the contracting body publishes unstructured information it requires an unstructured response. | G39-019 |
| BR-006 | For contracting bodies and economic operators to be able to process individual transactions, they (or their systems) need to know to what business process the transaction belongs to. The process type and the process instance need to be identified at two levels: the level of the procedure and the level of the profile. | G39-020 |
| BR-007 | All economic operators should be able to query publication portals (where the contract notices are being published) to find interesting business opportunities. | G39-005 |
| BR-008 | All economic operators shall be able to access public procurement documents. | G37-005 |
| BR-009 | The economic operator shall optionally be able to subscribe to an interesting business opportunity in order to receive the latest information about the call for tender. | G39-004 |
| BR-010 | All subscribed economic operators should be informed when new versions of the procurement documents are published. | G39-004 |
| BR-011 | All economic operators should be able to send questions regarding the procurement documents to the contracting body. | G39-010 |
| BR-012 | The contracting body shall answer the questions from economic operators equal and transparent. | G39-010 |
| BR-013 | The contracting body shall be able to send messages to all subscribed economic operators, to a selection of economic operators or to one economic operator. | G39-010 |
| BR-014 | The economic operator shall be able to withdraw his bid as long as the time limit to submit bids has not passed. | G39-007 |
| BR-015 | The contracting body should be able to send the results of the bid evaluation to all economic operator who submitted a bid. | G39-005 |
| BR-016 | The contracting body should be able to award the winning economic operator. | G39-006 |
| BR-017 | The Contracting Body SHALL invite to tender only selected candidates. | G39-008 |
| BR-018 | The economic operator MAY NOT submit a tender if he has not been invited to. | G39-008 |
| BR-019 | Economic operators that do not respect the exclusion or selection criteria MUST be informed that they have not been selected at the same time as the selected are informed and receive the invitation to tender | G39-008 |

## Key examples

This section illustrates key examples for the notification and execution of a restricted procedure using Peppol. Thereby, the first examples focus on the particularities of the notification process, being part of procurement procedure. The second example then concentrates on the actual business process of the restricted procedure itself and thereby generalizes the part of the publication.

### Key example: Notification

This section illustrates a key example for the execution of a notification procedure using Peppol. The initial diagram is accompanied by a textual description. Both, illustrate the flow of transactions that are send between the actors and components. The actors and components involved in this scenario are:

* The contracting body ***PublicHealthBerlin***from Germany
* The eTendering platform ***PublicPurchase***used by *PublicHealthBerlin*
* A **national notification system** used by *PublicHealthBerlin*
* The European notification platfrom **Tenders Electronic Daily (TED)** operated by the *publication office*
* The economic operator ***LisbonMedical***from Portugal
* The eTendering platform ***PowerSeller***used by *LisbonMedical*

Ein Bild, das Text, Screenshot, parallel, Diagramm enthält.

Automatisch generierte Beschreibung

Figure 2: Flow of Notifications in Restricted procedure Key Example

***Prior Information Notice (PIN) to be used als planning information***

The contracting body *PublicHealthBerlin* from Germany starts a tendering procedure because it wants to buy *X-ray devices* from any European supplier. To shorten the competition phase, it starts to prepare a prior information notice (PIN) in its eTendering platform *PublicPurchase*. The PIN is defined along the eForms format and contains details about the project such as the place of performance, the duration and the estimated value of the procurement. All information about the contracting body is included to the notice. Once the PIN has been created on the eTendering platform *PublicPurchase*, the platform uses its Peppol interface to publish the notice on the *National Notification System*. The National *Notification System* confirms the reception of the PIN to the system *PublicPurchase* used by *PublicHealthBerlin*. In Germany, the *National Notification System* is responsible for publishing all announcements of *PublicHealthBerlin* to the European publication platform *Tenders Electronic Daily (TED)* operated by the *Publication Office*. In this scenario, *TED*also offers a Peppol interface, so that it can receive the PIN via Peppol from the *National Notification System[[1]](#footnote-1)***.** *TED* confirms the reception of the PIN to the *National Notification System* which in turn forwards the result of publication to the contracting body *PublicHealthBerlin*.

The different Notification Platforms *TED*and *National Notification System* can be queried by economic operators and/or their eTendering Platforms across Europe to find business opportunities through Peppol. The economic operator *LisbonMedical* from Portugal uses the Peppol enabled eTendering platform *PowerSeller*. Through the platform *PowerSeller*, the supplier *LisbonMedical* queries *TED*and the *National Notification System* along the parameter “X-ray devices”. The search on the platforms may result in several notices. The platforms answer the search request by sending the matching notices to the tendering system *PowerSeller*. *LisbonMedical* finds the business opportunity and PIN from *PublicHealthBerlin* described above. The notice presents details about the project (ID of the procurement procedure, text description, NUTS codes for location, CPV code for procurement items). *LisbonMedical* is interested in the opportunity and is waiting for the publication of the contract notice.

***Contract Notice (CN) or Prior Information Notice (PIN) to announce the Call for Competition***

After the publication of the PIN, the contracting body *PublicHealthBerlin* starts to prepare the relevant procurement documents required to publish the Call for Competition for X-ray devices (which is possible to be published as PIN or as CN). The procurement documents are created in the eTendering platform *PublicPurchase*. Together with the call for competition notice, the contracting body defines the Call for Tender including qualitative selection criteria which need to be proven by economic operators who apply for the tendering procedure. Once the PIN or CN has been created on the eTendering platform *PublicPurchase*, the platform uses its Peppol interface to publish the PIN or CN on the *National Notification System*. The *National* *Notification System* confirms the reception of the PIN or CN to the system *PublicPurchase* used by *PublicHealthBerlin*. Simultaneously, the *National Notification System* uses its Peppol interface in order to send a request for publication of the PIN or CN to the European publication platform *TED*. *TED* confirms the reception of the PIN or CN to the *National Notification System* which in turn forwards the result of publication to the contracting body *PublicHealthBerlin*.

After a while, the supplier *LisbonMedical* queries all Peppol enabled notification systems along any publication with reference to the formerly published PIN that informed about the planned restricted procurement procedure for X-ray devices. The *National Notification System* and *TED* answer the search request by sending the searched notice when found to the tendering system *PowerSeller*. *LisbonMedical* reads through details of the project and decides whether to participate or not.

***Contract Award Notice (CAN) to announce the award results***

After the contract award, the contracting body *PublicHealthBerlin* creates the Contract Award Notice (CAN) in the format of eForms. Once the stand-still period has ended, the eTendering platform *PublicPurchase* uses its Peppol interface to publish the CAN on the *National Notification System* which in turn forwards the CAN to *TED*. Both notification systems confirm the reception of the CAN whereas the *National Notification System* forwards both results of publication to the contracting body *PublicHealthBerlin*.

The supplier *LisbonMedical* is interested in the results of the contract award. The supplier *LisbonMedical* queries all Peppol enabled notification systems for contract award notices with the parameter “X-ray devices”. The notification platforms answer the search request by sending the notice with matching parameter to the tendering system *PowerSeller*. The received CAN is analysed by *LisbonMedical. It* contains details about the contract award results (e.g. delay, award criterion, number of candidates).

### Key example: Restricted Procedure

This section illustrates a key example for the execution of a restricted procedure using Peppol. The diagrams are accompanied by a textual description. Both, illustrate the flow of transactions that are send between the actors and components. The actors and components involved in this scenario are:

* The contracting body ***PublicHealthBerlin***from Germany
* The eTendering platform ***PublicPurchase***used by *PublicHealthBerlin*
* An undefined set of European (e.g. Tenders Electronic Daily) and national***Notification* Platforms** (they remain in this sequence diagramm although it seems as if they were not participating any more – but their communication part is only hidden by the combined fragments referencing to the notification diagram)
* The economic operator ***LisbonMedical***from Portugal
* The eTendering platform ***PowerSeller***used by *LisbonMedical*

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Figure 3: Flow of Transactions in Restricted procedure Key Example (First Stage)

***Preparation Phase***

The contracting body *PublicHealthBerlin* from Germany starts a tendering procedure because it wants to buy *X-ray devices* from any European supplier, and it has chosen to use a restricted procurement procedure. At first, it starts to prepare the relevant procurement documents in its eTendering platform *PublicPurchase*, the prior information notices, the contract notice and the call for competition, in any proprietary format.

As part of this process, the contracting body specifies the products to be bought (e.g. by using a pre-award catalogue request) and defines qualification criteria (e.g. along the Single European Procurement Document (ESPD)) which need to be proven by economic operators which apply for the tendering procedure. The contracting body adds the standardized qualification criteria (ESPD) and product specification (catalogue request) to the call for tenders (CfT). All documents are defined in a standardized XML format according to the requirements and rules described by Peppol.

Note: The preparation phase is not explicitly captured in the sequence model because it is an internal process.

***Notification***

The eTendering platform *PublicPurchase* used by *PublicHealthBerlin* has a Peppol interface for exchanging notices with national and European *Notification Platforms*. The *Notification Platforms* are required by *PublicHealthBerlin* to publish notices for the tendering procedure.

The different *Notification Platforms* can be queried by economic operators and/or their eTendering Platforms to find business opportunities. The economic operator *LisbonMedical* from Portugal uses the Peppol enabled eTendering platform *PowerSeller*. Through the platform *PowerSeller*, the supplier *LisbonMedical* queries the Notification Platforms along the parameter X-ray devices and finds the business opportunity and contract notice from *PublicHealthBerlin* described above.

The notification phase is referenced but not explicitly drawn in the sequence model in Figure 3 because it was already introduced in Figure 2: Flow of Notifications in Restricted procedure Key Example.

***Procurement Document Access***

Through the information established in the relevant notice, the the supplier *LisbonMedical* can subscribe to the public tendering procedures established by *PublicHealthBerlin* using the Peppol eTendering interface. The platform *PublicPurchase* registers the subscription of *LisbonMedical* in its database so that the economic operator will be kept up to date.

Based on the subscription, the contracting authority *PublicHealthBerlin* uses its Peppol eTendering interface to confirm the subscription and to provide information related to the procurement procedure to the supplier *LisbonMedical*. *LisbonMedical* receives the call for tenders including criteria of qualitative selection (e.g. ESPD) and a product specification (e.g. pre-award catalogue request) through the Peppol network.

Throughout the procedure, the economic operators *LisbonMedical* decides to use Peppol to send questions about the qualification procedure. The message is sent from the platform *PowerSeller* to *PublicHealthBerlin* via Peppol. The contracting body *PublicHealthBerlin* receives the questions via the platform *PublicPurchase* and answers the questions and stores the answers on the platform *PublicPurchase*. The platform *PublicPurchase* forwards the given answers via Peppol to all economic operators that subscribed to the procedure and eventually sends an updated call for tenders to them. All economic operators can now review the given answers.

***Qualification Submission***

The economic operator *LisbonMedical* decides to submit a request to participate in the procedure published by *PublicHealthBerlin* and prepares the required qualification documents for the procedure. The qualification documents are drafted along the qualification criteria and templates provided by *PublicHealthBerlin* (e.g. by creating an ESPD response).

*LisbonMedical* sends the qualification document from the eTendering platform *PowerSeller* to the eTendering platform *PublicPurchase* used by *PublicHealthBerlin*. Afterwards *LisbonMedical* receives a qualification receipt from *PublicPurchase*. Simultaniously, the platform *PublicPurchase* stores the qualification and the qualification receipt on its platform.

After the initial submission, the economic operator *LisbonMedical* discovers an error in the qualification documents, corrects it, submits new qualification documents to the platform *PublicPurchase* and withdraws the old submission.

***Qualitative selection***

On the opening date, the contracting authority *PublicHealthBerlin* examines the submitted qualifications and evaluates them against the criteria of qualitative selection. Throughout the evalution process, *PublicHealthBerlin* raises a question related to the qualification received from *LisbonMedical* and receives an answer through the Peppol eTendering interface.

At the end of the qualification process, the contracting body *PublicHealthBerlin* has chosen a list of qualified economic operators. *PublicHealthBerlin* compiles the qualification results and sends the qualification responses to the economic operators submitted their qualification documents. A qualification response may be positive or negative. The contracting body *PublicHealthBerlin* creates a shortlist of qualified tenderers.

All economic operators who have not qualified for the procedure are rejected from the subsequent tendering process. Economic operators which are qualified, receive a positive qualification response and will be invited to tender as shown in the Figure 4: Flow of Transactions in Restricted procedure Key Example (Second Stage).

***Invitation to Tender and Tender***

*LisbonMedical* is short-listed and has passed the first stage of the restricted procedure which was directed towards the qualitative selection process. Consequently, *PublicHealthBerlin* creates and sends an invitation via the *PublicPurchase* platform using the Peppol network. In our example *LisbonMedical* will receive its invitation to tender through the Plattform *PowerSeller.*

The tendering process follows the same rules and procedures that have been described in the first stage for submitting the qualification documents. Therefore, the next process steps are only illustrated in short.

Before the submission deadline *LisbonMedical* may raise questions using the call for tender questions and answer process. The economic operator *LisbonMedical* finally decides to submit a tender for the procedure executed by *PublicHealthBerlin*. It therefore sends the tender to the eTendering platform *PublicPurchase* used by *PublicHealthBerlin*. Afterwards *LisbonMedical* receives a tender receipt from *PublicPurchase* and may be able to withdraw the tender and to submit a new one.

***Awarding***

On the opening date, the contracting authority *PublicHealthBerlin* examines the tenders and evaluates them. Throughout the evaluation process, *PublicHealthBerlin* raises a question related to the tender received from *LisbonMedical* and receives an answer through the Peppol eTendering interface of *PowerSeller*.

The contracting body *PublicHealthBerlin* awards the contract for X-ray devices to *LisbonMedical*. It prepares awarding notifications for each bidder with individual reasons for failure or success containing information about the winning economic operator. The awarding notification for *LisbonMedical* additionally includes a draft contract. After that, the platform *PublicPurchase* simultaneously sends the awarding notifications to each economic operator that submitted a tender.

After the stand-still period, the contracting body *PublicHealthBerlin* publishes the contract award notification on relevant Notification Platforms according to the notification examples given in the previous section.

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Figure 4: Flow of Transactions in Restricted procedure Key Example (Second Stage)

# Business Process – Two-Stage Procedures

## Actors and Roles

The following business partners participate in this profile, acting in the roles as defined below.

Table 4: Business partners

| **Business partners** | **Description** |
| --- | --- |
| Customer | The Customer is the legal person or organization who is in demand of a product, service or work. Examples of customer roles are Buyer, Consignee, Debtor and contracting body. |
| Supplier | The Supplier is the legal person or organization who provides a product, service or works. Examples of Supplier roles are Seller, Consignor, Creditor and economic operator. |
| Governmental or private organization | Any organisation. |

Table 5: Roles & Actors (Standard)

| **Roles & Actors** | **Description** |
| --- | --- |
| Contracting Authority (CA) | The contracting authority or contracting entity who is buying supplies, services or tendering works. |
| Economic operator (EO) | Party participating with a bid in a procurement process to sell goods, services or works. |
| Publication Body (PB) | A Pan-European, national or regional organisation that publishes procurement notices of a contracting body. While the basic role of the publisher may apply to any newspaper, other roles and functions are often restricted to official gazettes. These gazettes are also often responsible to ensure a formal verification of the notices in respect of legislative or other requirements in vigour. Official gazettes may also have the role to receive information exempted from publication (e.g. due to confidential content) used for notification to a supervising authority |

Table 6: Special Roles & Actors With use of DPS

## Two-Stage Procedure Use Cases

### Pre-Award Procurement Phases and Use Cases

Figure 5 shows the use cases along the phases of public pre-award procurement expressed as Peppol BIS that have to be implemented to support the implementation of notification and two-stage procedure using Peppol.

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Figure 5: Pre-Award Procurement Phases and Use Cases[[2]](#footnote-2)

### Mapping of Use Cases to Pre-Award Procedures

The use case diagram illustrated in Figure 6 maps the different use cases that are expressed as Peppol BIS to the principal procedure types open procedure and two-stage procedure. From the diagram it becomes obvious that the two-stage procedure contains more use cases than the open procedure because the qualification and tendering phases are executed at different times.

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Figure 6: Mapping of Use Cases to Pre-Award Procedures

## Notification & Restricted Procedure Business Process

This section illustrates the choreography of the Notification & Restricted Procedure business process. Other two stage procedure business processes such as Dynamic Purchasing System (DPS) are illustrated in section 6 Process Variants from high level viewpoint. The process variants follow a similar sequence of business processes but carry out the various phases repeatedly.

Thus, the conditions and business process for execution a restricted procedure is illustrated first as a major point of reference for other variants. At first a high-level overview (process map) is provided which splits the overall business process into different sub-processes. Each subprocess is modelled within a separate BPMN diagram in the following subsections. A description of all activities is provided at the end of this section.

Table 7:Conditions of the Restricted Procedure

| **Category** | **Description** |
| --- | --- |
| Description | In restricted procedures, any economic operator may submit a request to participate in response to a call for competition by providing the information for qualitative selection that is requested by the contracting authority.  The minimum time limit for receipt of requests to participate shall be 30 days from the date on which the contract notice or, where a prior information notice is used as a means of calling for competition, the invitation to confirm interest was sent.  Only those economic operators invited to do so by the contracting authority following its assessment of the information provided may submit a tender. Contracting authorities may limit the number of suitable candidates to be invited to participate in the procedure.  The minimum time limit for the receipt of tenders shall be 30 days from the date on which the invitation to tender was sent. The time limit for the receipt of tenders may be shortened for several reasons (e.g. use of prior information notice, agreement between contracting authority and economic operators, state of urgency). |
| Pre-conditions | The contracting body decided to tender a contract following a restricted procedure. |
| Post-conditions | The tendering process has been finished. An economic operator who submitted a tender has been contracted successfully. |

### Process Map: Notification & Restricted Procedure

The choreography of business collaborations defines the sequence of interactions when a restricted procedure is executed using Peppol. For better readability the business process overview of the restricted procedure illustrated in in Figure 7 has been divided into the following core subprocesses: Notification, Procurement Document Access, Qualification, Qualification Response, Invitation to Tender, Tender Submission and Awarding illustrated by the process overview below.[[3]](#footnote-3)

Note: The process overview below principally describes the process that will follow any kind of two-stage procedure which is executed in – at least two steps – one qualification step which is followed by a tendering process. In restricted procedure the tendering process is only executed once whereas in competitive dialogs or competitive procedure with negotiation the tendering process may be repeated several times.

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Figure 7: Notification & Restricted procedure process map

### Process: Notification

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Figure 8: Notification Process

### Process: Procurement Document Access

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Figure 9: Procurement Document Access process

Some of the transactions illustrated by the process flow do not have to follow a strict sequential order as shown in the process model. This is indicated through the catch-link and throw-link events to avoid iterative representations and process flows. The next section adds some notes to the chronological peculiarities in the process flows.

#### Additional note: T021 - Unsubscribe from Procedure

Transaction T021 - Unsubscribe from Procedure and the associated response message T022 - Unsubscribe from Procedure Confirmation can take place at any time after the subscription and before the final tender submission. This is indicated through the catch-link and throw-link events (Unsubscribe). The economic operator's expression of interest in the procedure is withdrawn and confirmed by the contracting authority. Effectively the Unsubscribe from Procedure means that the economic operator will not receive updates of the Call for Tenders or Invitation to Tender anymore and cannot submit his Qualification or Tender, raise questions etc. As Tenders and/or Qualifications that have been submitted are legally binding documents, they remain valid until a Tender Withdrawal has been submitted for the corresponding document. In this case, Economic Operators shall be informed about the results of the evaluation through the Qualification Response and/or Awarding Notification. It shall be also noted that the Unsubscribe from Procedure actions is an unlogic and exceptional case which should be prevented by a tendering platform implementing pre-award processes where a tender has been submitted already.

#### Additional note: T003 - Tender Status update

At any moment in the procedure before the submission deadline of a Qualification or Tender, the economic operator may start an inquiry about the status of the procedure. After the sending of transaction T003 - Tender Status Inquiry, the economic operator will receive from the contracting authority the latest version of the procurement documents. If the procedure is in the phase of qualification transaction T004 - Call for Tenders will be sent. After the qualification phase the T013 – Invitation to Tender will be returned by the contracting authority. This is indicated through the catch-link and throw-link events (Status update). As noted in the figure, the first T004 shall be sent automatically by the contracting authority after the retrieval of the expression of interest. Any updates to the Call for Tenders shall be also proactively forwarded to the economic operators that subscribed to the procedure.

#### Additional note: T007 - Tendering Questions

The transaction T007 – Tendering Questions can be sent at any time after the retrieval of the T004 – Call for Tenders and before the submission deadline. It will be responded by the Contracting Authority with T008 – Tendering Answers if there is enough time to answer and the deadlines for asking questions have been met. This is indicated through the catch-link and throw-link events (Question). For reasons of equal treatment, the contracting authority typically sends the T008 to all economic operators who have expressed an interest.

### Process: Qualification

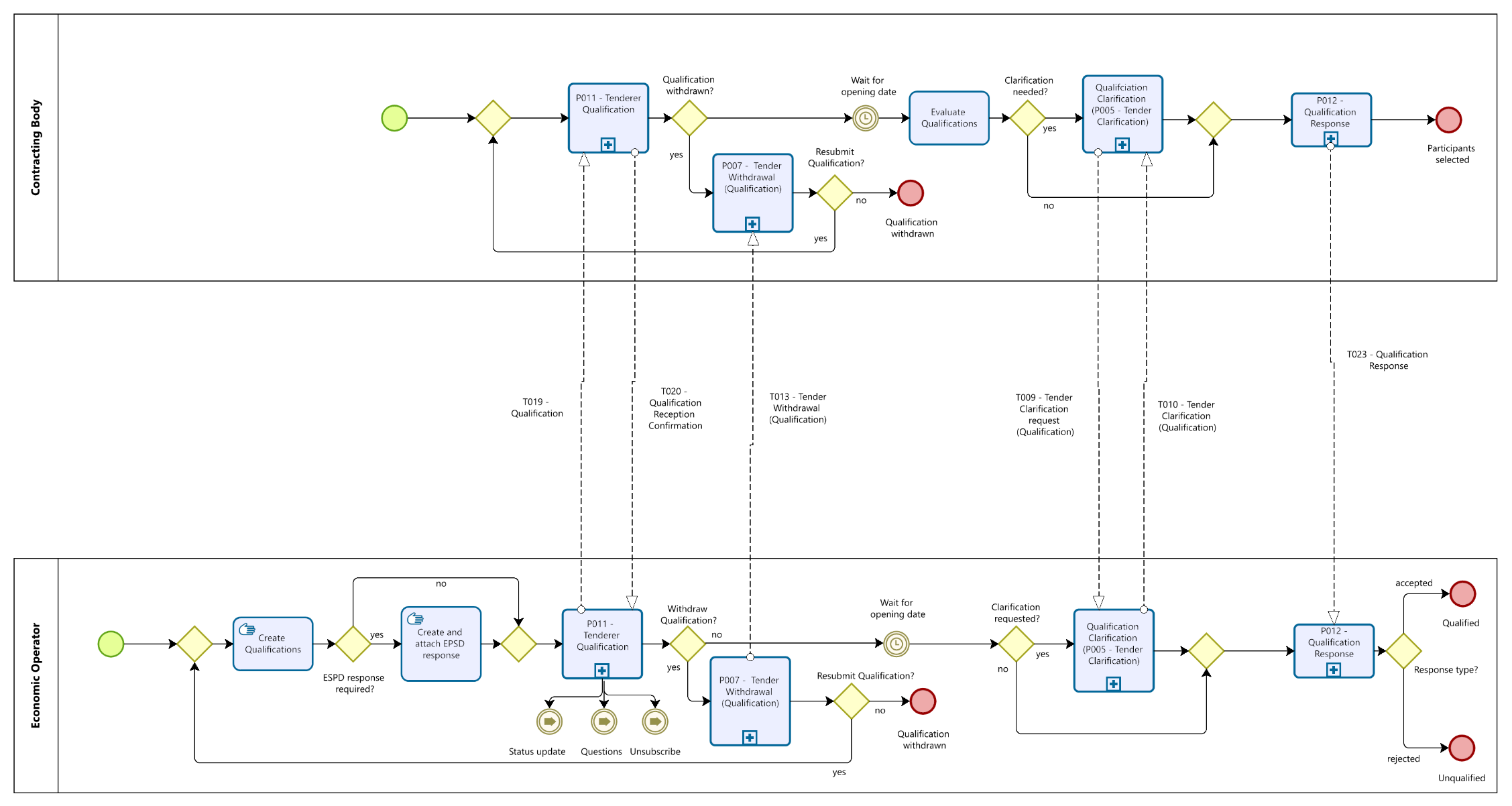


Figure 10: Qualification Process

### 

### Process: Invitation to Tender

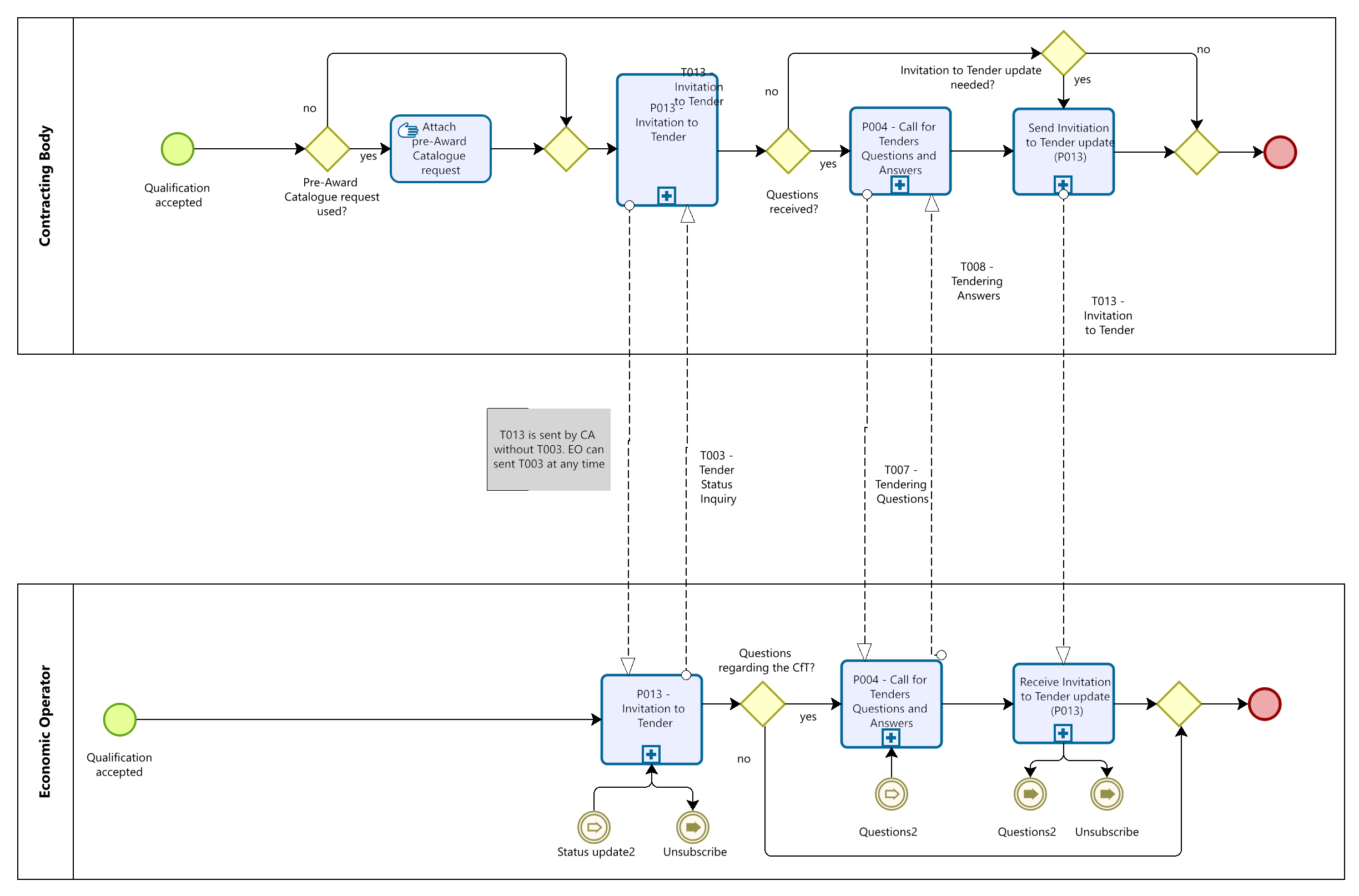


Figure 11: Invitation to Tender Process

### Process: Tender Submission

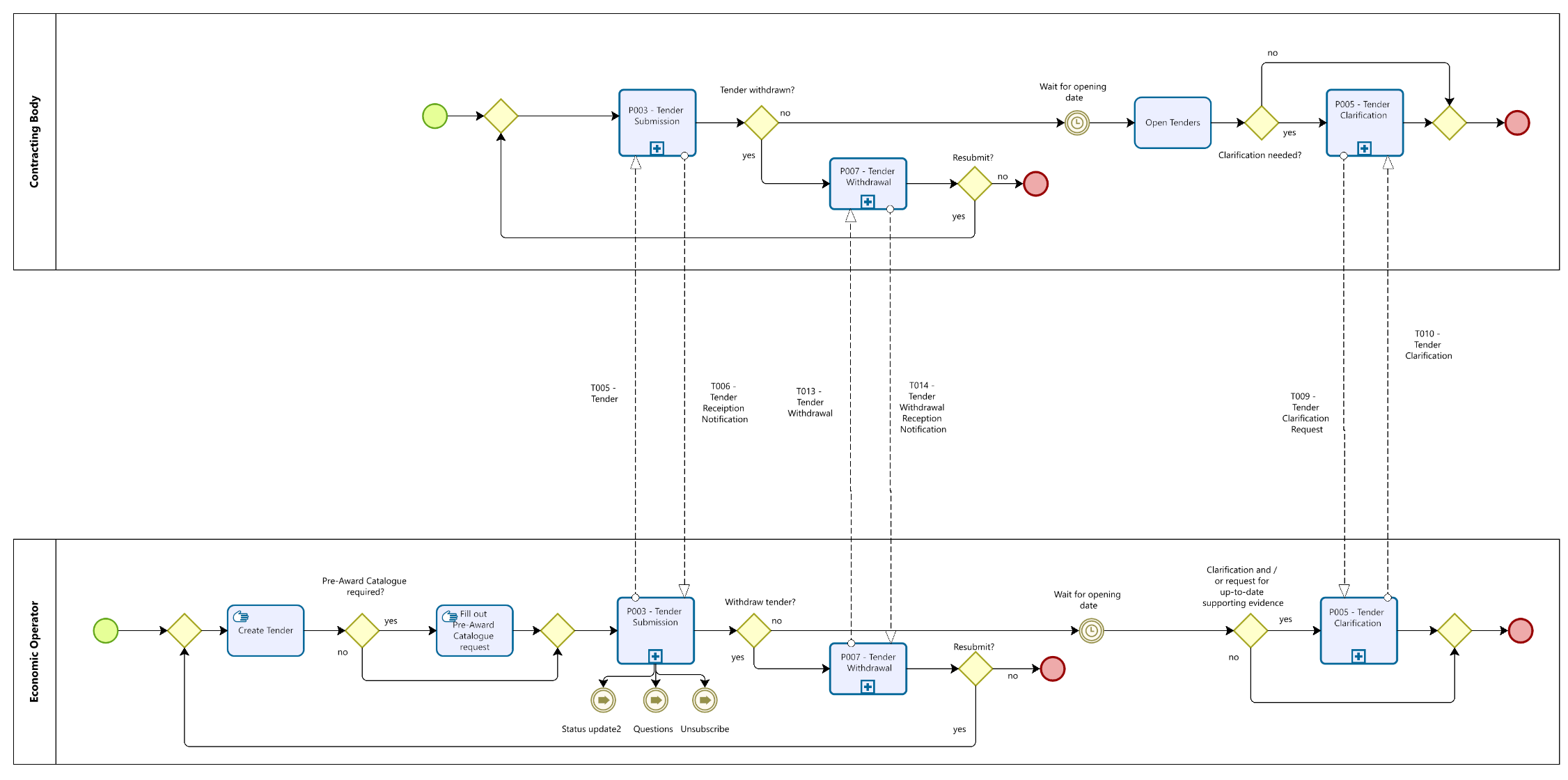


Figure 12: Tender Submission process

### Process: Awarding

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Figure 13: Awarding Process

### Notification & Restricted Procedure activity detailed descriptions

The following table describes the activities of the BPMN business process diagrams described in section 5.2 to support the general workflow to follow restricted procedures. Therefore, the table first points to the corresponding BPMN diagram (Process: Notification, Process: Procurement Document Access, Process: Qualification, Process: Invitation to Tender, Process: Tender Submission, Process: Awarding). Then, the table lists the roles involved in each activity of the BPMN diagram. Additionally, each activity is defined and a reference to the corresponding Peppol BIS is given in case the activity requires bi-lateral communication based on Peppol.

Table 8: activity detailed descriptions

| **Step** | **Process Map** | **Activity** | **Roles involved** | **Description** | **Peppol BIS** |
| --- | --- | --- | --- | --- | --- |
| 1 | Notification | Specify need | CA | The competent authority must specify the needs it intends to cover with the purchase of products or services. | Internal |
| 2 | Notification | Prepare Prior Information Notice (PIN) | CA | If required, the CA prepares a Prior Information Notice (PIN) to make known their intentions of planned procurements. For restricted procedures and competitive procedures with negotiation, sub-central CAs may use a prior information notice as a call for competition. | Internal |
| 3 | Notification | Publish Notice (PIN) | CA, PB | If created, the CA sends the PIN to the PB, who confirms the entry with the Notice Publication Response. | P008 |
| 4 | Notification | Search Notice (PIN) | PB, EO | The EO searches for interesting PINs. The PB provides all matching results for the query and provides the PINs matching the search parameter. The EO investigates the PINs for interesting opportunities. | P006 |
| 5 | Notification | Search Notice (PIN) | PB, EO | The EO searches for interesting PIN. The PB provides all matching results for the query and provides the PIN matching the search parameter. The EO investigates the PIN for interesting opportunities. | P006 |
| 6 | Notification | Create Contract Notice (CN) or Prior information Notice as Call for Competition (PIN) & procurement documents (Call for Tenders, ESPD, eCatalogue) | CA | CA prepares the needed procurement documents. It defines the Call for Competition (Contract Notice) if not yet covered by the PIN and optionally:   * specifies the products to be bought as a Pre-Award Catalogue Request. * defines qualification criteria along the Single European Procurement Document (ESPD). | Internal |
| 7 | Notification | Publish Notice (CN or PIN of competition phase) | CA, PB | If the PIN is not a Call for Competition the CA will prepare and publish the Contract Notice (CN). The PB confirms the publication with a Notice Publication Response. | P008 |
| 8 | Notification | Search Notice (CN or PIN of competition phase) | PB, EO | The EO is searching for business opportunities. In case a PIN has been published he may find the corresponding Call for Competition together with other interesting Contract notices (CN).  The PB will provide all PINs and CNs corresponding to the matching search criteria of the EO. | P006 |
| 9 | Procurement Document Access | Procurement procedure subscription | CA, EO | If the EO is interested in participating in the call for competition, it subscribes to the procedure. The CA registers the EO to the procedure and provides a confirmation.  Once subscribed to the procedure, the EO can unsubscribe from the procedure at any time before the final tender submission indicated through the catch-link (Unsubscribe) (see section 5.2.3.1). | P001 |
| 10 | Procurement Document Access | Attach Pre-Award Catalogue Request | CA | The CA prepares the dispatch of the Call for Tenders and attaches the Pre-Award Catalogue Request if a structured product descriptions process is applied. | Internal |
| 11 | Procurement Document Access | Attach ESPD Request | CA | The CA prepares the dispatch of the call for tenders and attaches the European Single Procurement Document (ESPD) if a structured qualification process is applied. | Internal |
| 12 | Procurement Document Access | Procurement document access | CA, EO | After the expression of interest, the CA automatically sends the Call for Tenders to the EO that subscribed to the procedure. The Call for Tenders may contain the Pre-Award Catalogue Request and ESPD Request relevant to carry out the qualification.  After the first retrieval, the EO can send a Tender Status Inquiry at any time before the submission deadline to receive the latest status of the Call for Tenders. This is indicated through the catch-link and throw-link events (Status update) (see 5.2.3.2). | P002 |
| 13 | Procurement Document Access | Qualification Questions and Answers | CA, EO | The EO may ask questions on the Call for Tenders. The answers given by the CA in the response shall be distributed to all EOs that subscribed to the procedure.  The EO can send a Questions at any time before the submission deadline. This is indicated through the catch-link and throw-link events (Status update) (see 5.2.3.3). | P004 |
| 14 | Procurement Document Access | Send updated Call for Tenders | CA, EO | When the Call for Tenders is or must be updated, it will be sent automatically from the CA to the EO. | P002 |
| 15 | Qualification | Create Qualifications | EO | If the EO decides to participate, it prepares his Qualification documents. | Internal |
| 16 | Qualification | Create ESPD | EO | If needed, the EO will create an ESPD Response according to the requirements of the Call for Tender and attach it to the Qualification documents. | Internal |
| 17 | Qualification | Qualification Submission | EO, CA | The EO submits all required qualification documents and links to authorized qualification bodies to the CA. The CA confirms the reception of the qualification documents. | P011 |
| 18 | Qualification | Tender Withdrawal (Qualification) | CA, EO | The EO may withdraw his submitted Qualification documents and later resubmit a new one (or not). After the Tender Withdrawal the EO receives a Tender Withdrawal Reception Notification from the CA | P007 |
| 19 | Qualification | Evaluate qualifications | CA | The EO evaluates all incoming qualification documents. | Internal |
| 20 | Qualification | Qualification Clarification | CA, EO | The CA may require the EO to clarify his Qualification documents or the ESPD Response and sends a Clarification Request to the EO. The EO answers the pending questions and provides a clarification.  The CA sends out qualification rejection statements to those EOs that will not be allowed taking part in the next step. The Tendering process is stopped for all Eos having received a qualification rejection. | P012 |
| 21 | Invitation to Tender | Qualification Response | CA, EO | The CA decides about which EO will be invited to follow the next steps and who will excluded form the next steps. It therefore provides a positive or negative Qualification Response to all EOs that submitted qualification documents. | P012 |
| 22 | Invitation to Tender | Attach Pre-Award Catalogue Request | CA | The CA prepares the dispatch of the Invitation to Tender and attaches the Pre-Award Catalogue Request if a structured product descriptions process is applied. | Internal |
| 23 | Invitation to Tender | Prepare and submit tendering documents | CA | The CA sends the Invitation to Tender to the EOs that have passed the qualification phase. The Invitation to Tender contains the relevant procurement documents and product description. If applicable, a Pre-Award Catalogue Request can be attached to the Invitation to Tender. | P013 |
| 24 | Invitation to Tender | Call for Tenders Questions and Answers | CA, EO | The EO may ask questions on the Invitation to Tender. The answers given by the CA are distributed to all invited EOs.  The EO can send a Questions at any time before the submission deadline. This is indicated through the catch-link and throw-link events (Status update) (see 5.2.3.3). | P013 |
| 25 | Invitation to Tender | Send Invitation to Tender Update | CA, EO | When the Invitation to Tender is or must be updated, it will be sent automatically from the CA to the EO. | P002 |
| 26 | Tender Submission | Create Tender | EO | If the EO decides to participate, it prepares his Tender documents. | Internal |
| 27 | Tender Submission | Fill out Pre-Award Catalogue Request | EO | If requested by the Invitation to Tender, the EO will create a Pre-Award Catalogue Response according to the requirements of the Invitation to Tender and attach it to the Tender. | Internal |
| 28 | Tender Submission | Tender Submission | CA, EO | The EO submits its Tender documents and receives a Tender Reception Notification from the CA. | P003 |
| 29 | Tender Submission | Tender Withdrawal | CA, EO | The EO may withdraw his submitted Tender and later resubmit a new one (or not). After the Tender Withdrawal the EO receives a Tender Withdrawal Reception Notification from the CA | P007 |
| 30 | Tender Submission | Open Tenders | CA | The CA opens the received Tenders at a previously set opening date. | Internal |
| 31 | Tender Submission | Tender Clarification | CA, EO | The CA may require the EO to clarify his Tender or the attached Pre-Award Catalogue Response and sends a Tender Clarification Request to the EO. The EO answers the pending questions and provides a Tender Clarification. | P005 |
| 32 | Awarding | Evaluate Tenders | CA | The CA evaluates all received tenders and selects the winning EO. | Internal |
| 33 | Awarding | Notify Awarding | CA, EO | All EOs that submitted Tenders are informed about the individual evaluation result and the winning EO. The winner may receive a draft contract as attachment of the Awarding Notification. | P009 |
| 34 | Awarding | Prepare Contract Award Notice | CA | The CA prepares the Contract Award Notice. | Internal |
| 35 | Awarding | Publish Notice (CAN) | CA, PB | After the stand-still period, the CA sends the Contract Award Notice (CAN) to the PB. The PB confirms the receipt and sends a Notice Publication Response. | P008 |
| 36 | Awarding | Publish CAN | PB | The PB publishes the CAN. | Internal |
| 37 | Awarding | Search Notice (CAN) | PB, EO | EOs may send a Search Notice Request to the PB looking for the published CAN. The PB provides all matching results for the query and provides the CANs matching the search parameter. | P006 |
| 38 | Awarding | Contracting | CA, EO | The CA and EO finalize the contract for the procedure. | No Peppol BIS available yet |

## Process Control: Tendering Message Response (TMR)

The PEPPOL BIS “P010 - Tendering Message Response” (TMR) is a generic support profile that may occur as a response to any business transaction of the Notification & Two-Stage Procedure Business Process. It is inspired by the Peppol BIS Message Level Response [PEPPOL MLR] and the corresponding CEN BII 3 guideline [[BII107](https://standards.cencenelec.eu/dyn/www/f?p=205:110:0::::FSP_PROJECT:61996&cs=1F1CAB7AB3DA79B9397033D8EC7A317CE)] but adds further business processing features beyond the messaging level- The following table illustrates the principal conditions under which a TMR is executed.

Table 9: Conditions of the Tendering Message Response

|  |  |
| --- | --- |
| **Category** | **Description** |
| Description | A receiver of a business document sends a TMR if the sender of the business document supports the TMR. |
| Pre-conditions | (1) A faulty business document was received by the Receiver  (2) A correct business document was received by the Receiver |
| Post-conditions | (1) A negative TMR was sent to the sender of the business document and the sender takes appropriate actions  (2) A positive TMR was sent to the sender of the business document and the business process continues |

The TMR can be sent after receipt of any business document in the transactions of the PEPPOL Pre-Award shown here. It serves both to confirm the successful processing of a business document and to report errors that occurred during the processing of a received document. Without the TMR, it is not possible to report errors that occur during processing back to the sender of a business document.

The BPMN diagram below shows the choreography of the business process implemented by the TMR.

Ein Bild, das Text, Screenshot enthält.

Automatisch generierte Beschreibung

Figure 14: Business Process Tendering Message Response

The process starts when a Business Document Sender is preparing an electronic business document and then sends it. The Business Document Receiver receives the business document, potentially validates syntax and business rules and starts to process the business document.

In case the Business Document Sender has the capability to receive a TMR, the Business Document Receiver either:

* Validates the business document and based on the result returns either an accept (no fatal errors and no processing exceptions found), a conditional accept (warnings found) or a reject (fatal errors or processing exception found)
* Doesn’t validate the business document and does not find any processing exceptions and just sends an accept to the sender of the business document.

If a TMR is returned to the Business Document Sender, it may take appropriate action.

* If the response is positive the BusinessDocumentSender may update the status of the business document or simply ignore the TMR.
* If the response is negative the BusinessDocumentSender may be able to fix the issue and sent an updated version of electronic business document.
* If the response is accepted conditionally the BusinessDocumentSender may be able to analyse and fix the issue for future applications.

# Process Variants of Two-Staged Procedures

## Dynamic Purchasing System

### Introduction

The DPS has two stages like the restricted procedure. The first one to qualify economic operators (EOs) and the second one for the specific procurements. The difference to all other types of procedures in the Directives is that it gives a possibility for contracting authorities (CAs) to continuously procure goods and services and for EOs to become qualified and then participate at any time in specific procurements. These specific procurements will occur on a regular basis. Therefore, it is a good procedure type to attract Economic Operators (EOs) and especially Small and Medium Size Enterprises (SMEs).

The DPS is meant to be used in a full electronic process. A reason is that a DPS is to be used for standardized goods, services or works. As specific procedures are recurring, it makes a lot of sense to digitize the process completely. From EOs request to become qualified and participate to the evaluation of the tenders and until payment to reap all benefits. In this section we describe how a complete electronic process of a DPS could be done with both eDelivery and standardized information using Peppol.

Using both, eDelivery and standardized and digital tender documents in a DPS, will contribute to execute a completely digital evaluation of the received tenders. The process approach requires a high degree of interoperability between tendering systems to achieve a completely electronic process.

The use of various Peppol building-blocks such as eDelivery and Peppol BIS for pre-award result in effectiveness in processing the DPS-procedure. For the SMEs their workload in reading complex documents will be reduced significantly. Digital tender documents will be more like a questionnaire to be filled in. In this way the DPS will be a tool for increasing the competition, attracting SMEs to compete and boost the use of digital tools.

The following descriptions illustrating the DPS are adapted from the “Dynamic Purchasing Systems - Use guidelines” published by the Directorate-General for Internal Market, Industry, Entrepreneurship and SMEs [[DPS Guideline](https://op.europa.eu/en/publication-detail/-/publication/9b5394f7-3219-11ec-bd8e-01aa75ed71a1)].

### Legal Framework

A DPS is a two-stage procedure. First the DPS must be set up and the suppliers to be qualified and then there is an invitation to tender for those suppliers that have been qualified. The DPS system shall be operated as a completely electronic process and shall be open to any economic operator that satisfies the selection criteria throughout the period of validity of the purchasing system. CAs may use DPS for purchases that are generally available on the market and meet the requirements set by the contracting authorities.

#### Procedure for the DPS and time limits

The procurement directives describe a DPS to be operated in the form of a restricted procedure. All the candidates satisfying the selection criteria shall be admitted to the system, but the number of candidates to be admitted to the system shall not be limited, which is different from a restricted procedure.

For the purposes of awarding contracts under a DPS, contracting authorities shall:

* publish a call for competition making clear that a DPS is used;
* indicate in the procurement documents at least the nature and estimated quantity of the purchases envisaged, as well as all the necessary information concerning the DPS, including how the DPS operates, the electronic equipment used and the technical connection arrangements and specifications;
* indicate any division into categories of products, works or services and the characteristics defining them;
* offer unrestricted and full direct access to the procurement, as long as the system is valid.

The minimum time limit for the receipt of requests to participate shall be 30 days from the date on which the contract notice or, where a prior information notice is used as a means of calling for competition, the invitation to confirm interest is sent. No further time limits for receipt of requests to participate shall apply once the invitation to tender for the first specific procurement under the DPS has been sent.

The examination of those requests to participate should normally be performed within a maximum of 10 working days, given that the evaluation of the selection criteria will take place on the basis of the simplified requirements for documentation that are set out in the procurement directives, for example an ESPD. However, when a DPS is first set up, CAs might, in response to the first publication of the contract notice or the invitation to confirm interest, be faced with such a large number of requests for participation that they would need more time to examine the requests. That should be admissible, provided that no specific procurement is launched before all the requests have been examined, as well in the contract notice, this must be indicated by the CA.

CAs shall give any EO, throughout the entire period of validity of the DPS, the possibility of requesting to participate in the system under the given conditions. CAs shall finalize their assessment of such requests in accordance with the selection criteria within 10 working days following their receipt. That deadline may be prolonged to 15 working days in individual cases where justified, in particular because of the need to examine additional documentation or to otherwise verify whether the selection criteria are met.

CAs should be free to organize the way in which they intend to examine the requests for participation, for instance by deciding to conduct such examinations only once a week, provided the deadlines for the examination of each request of admission are observed.

As long as the invitation to tender for the first specific procurement under the DPS has not been sent, CAs may extend the evaluation period provided that no invitation to a specific tender is issued during the extended evaluation period. CAs shall indicate in the procurement documents the length of the extended period that they intend to apply.

CAs shall inform the EO concerned at the earliest possible opportunity of whether or not it has been admitted to the DPS.

#### Use of ESPD for Qualification

At the time of submission of interests to request participation or of tenders the CAs shall accept the ESPD as preliminary evidence in replacement of certificates etc. The rules of the ESPD also apply for DPS.

This also means that CAs may, at any time during the period of validity of the DPS, can require admitted participants to submit a renewed and updated self-declaration, within five working days from the date on which that request is transmitted.

Before awarding contracts, CAs shall require the tenderer, to which it has decided to award the contract, to submit up-to-date supporting documents like certificates, statements and other means of proof. If CAs have direct access to national databases for free, they cannot request EOs to submit these documents. The same rule applies if the EOs provide links in the ESPD to national databases, that can be accessed as well by the CAs for free.

The rules regarding self-declarations in the Procurement Directives shall apply throughout the entire period of validity of the DPS.

#### Tender Submission and Awarding

CAs shall invite all admitted participants to submit a tender for each specific procurement under the DPS. Where the DPS has been divided into categories of works, products or services, CAs shall invite all participants having been admitted to the category corresponding to the specific procurement concerned to submit a tender.

The minimum time limit for receipt of tenders shall be at least 10 days from the date on which the invitation to tender is sent.

#### Period of validity of the DPS

CAs shall indicate the period of validity of the DPS in the call for competition. They shall notify the Commission of any change in the period of validity, using the standard forms stated in the directives.

### Use of eCatalogues

In the context of DPS, where each acquisition is the result of a “digital” call for competition, electronic catalogues (eCatalogues) can be a powerful tool to enable a simplified and standardized tendering process.

Requesting tenders in highly structured and standardized format facilitates the evaluation process and automatic evaluation speeds-up the time required for managing the tenders. Even if structured formats do not suit all procurement procedures, DPS by definition is a procedure where products and services that are easy to describe and specify are involved and electronic catalogues are specifically suitable.

Moreover, the use of electronic catalogues is particularly suited in DPS where the number of buyers and suppliers involved and of similar procedures is large and the users may not have detailed knowledge of the characteristics of the full range of products and services.

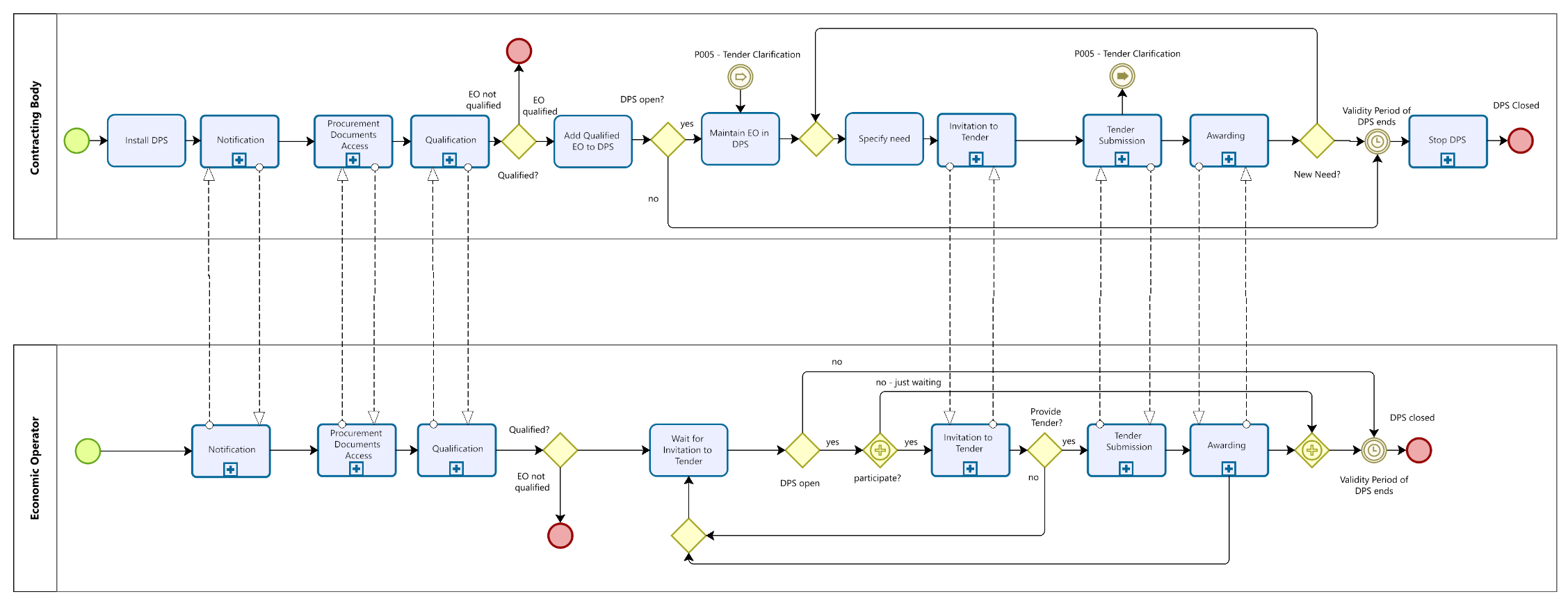
In these conditions, the eCatalogue formats and management rules can be a means to “provide” to the users (CAs and EOs) the know-how of the entity that establishes DPS.

In general terms, depending on the aims and the role of the CA that establishes the DPS (CPB or specific CA), electronic catalogues could be adopted following two main operative models:

* eCatalogues are established and provided by suppliers to respond at each call for competition. The eCatalogue is the template that the CA has provided and the supplier fills it in.
* eCatalogues are established by suppliers in order to participate in the DPS and are updated to respond at each call for competition .

### Process Map: Dynamic Purchasing System

A digital and complete electronic process, using both eDelivery and standardized documents, is a new way of building tender documents. The prerequisite will be a standardized transport infrastructure for the distribution of standardized tender documents in structured formats. The process map in Figure 15 illustrates the digital DPS process with the phases that are needed between the CA and EO during a DPS. It is important to underline that that the process map references to the Peppol BIS introduced in section 5.2 for the restricted procedure, as the DPS operates on the similar phases. To understand the details of each phase the reader should therefore consult section 5.2.

Figure 15: Process Map Dynamic Purchasing System

## 

## Competitive Procedures with Negotiation

### Introduction

The possibility to perform competitive procedures with negotiations is ruled by the following EU Directives: 2009/81 EC, 2014/24 EU, 2014/25 EU. The [EU Public tendering rules website](https://europa.eu/youreurope/business/selling-in-eu/public-contracts/public-tendering-rules/index_en.htm) defines competitive procedures as follows:

“In competitive negotiated procedures anyone may ask to participate, but **only** those who are **pre-selected** will be invited to **submit initial tenders** and to **negotiate**.

Procuring entities can only use this procedure when negotiations are necessary due to the specific or complicated nature of the purchase however, the procuring entities in the defence and security, water, energy, transport and postal services sectors may use it as a standard procedure.“

In contrast to the restricted procedure introduced in 5.2, the competitive procedure with negotiation will start with two phases of pre-selection of tenders and starting the negotiation phase with initial tenders that will be followed by further tendering and selection steps until finally the procedure will be awarded / contracted. Each negotiation phase will be used to sort out tenderers / improve tenders to the contracting authorities’ specific needs. The number of negotiation phases is not limited.

Procedures with negotiations are required to ensure the principles of equal treatment and transparency. In particular, contracting authorities should indicate beforehand the minimum requirements which characterise the nature of the procurement and which should not be changed in the negotiations. Award criteria and their weighting should also remain stable throughout the entire procedure and should not be subject to negotiations, in order to guarantee equal treatment of all economic operators.

In contrast to other procurement procedures – the final tender is not allowed to be clarified since some kind of clarification could be part of another tendering round.

**Exception from that rule – negotiation without prior call for competition**

EU Directive 2014/25 allows also to perform competitive procedures without prior call for competition. But this seems to be an exception from the rule mentioned above since this procedure is only allowed after a classical negotiation procedure with call-for-competition has not lead to a result before.

### Short process description for competitive procedures with competition

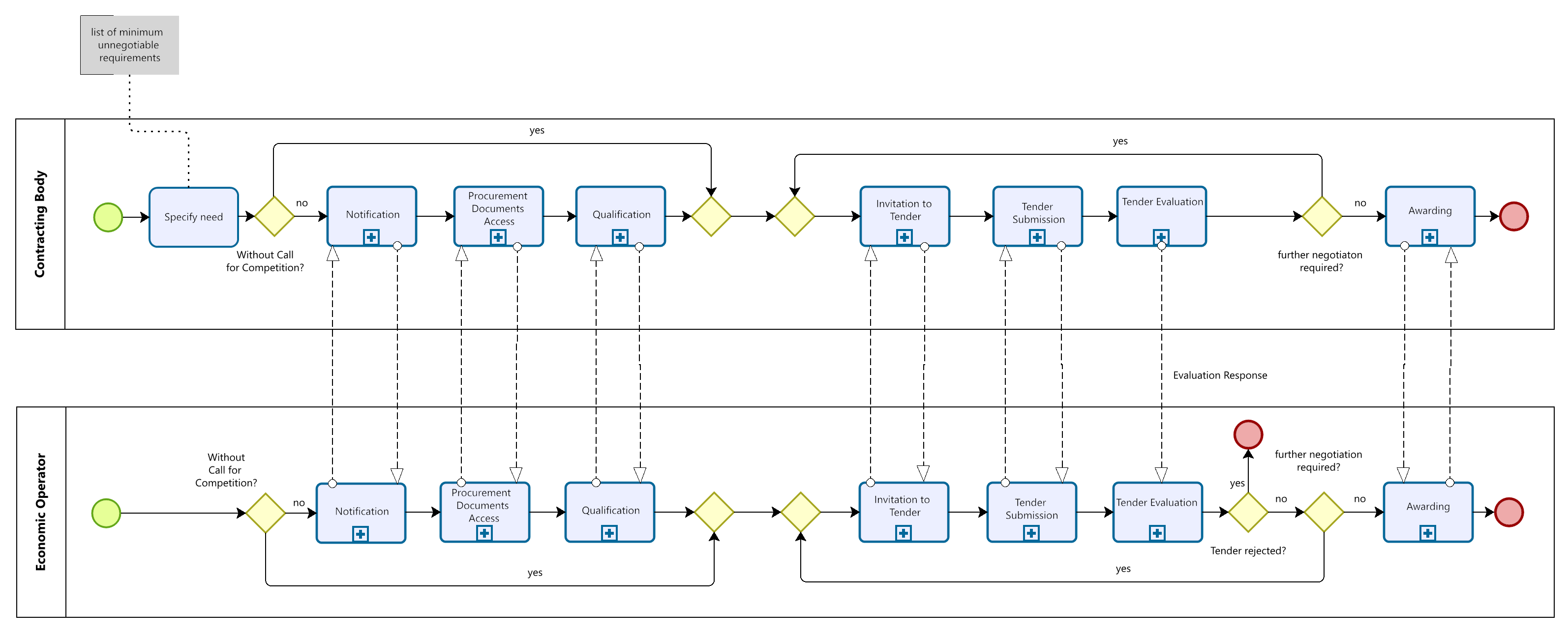


Figure 16: Competition with negotiation - Overview

## Competitive Dialogues

## Innovation Partnerships

In contrast to the previously named two-phased procedures the qualification and tendering process follows exactly the steps of the initially described “classical” restricted procedure. After the tendering process more than one tenderer will be contracted and further reduction of tendering parties will continue while some contracts will terminate while others will be prolonged.

# Implementation of Notification & Two-Stage Procedure

The tables in section 6 list the Peppol BIS artifacts that have to be considered when implementing Two-Stage Procedures. For each Peppol BIS, the corresponding documentation of the profile and transaction(s) are provided. Additionally, the tables point to the syntax mapping and rules to implement the transactions. Sections 6.10 and 6.11 provide an overview of other relevant artifacts like codelists, schematrons and guidelines which must be considered during the implementation of Peppol pre-award BISs.

## Peppol BIS - P001 - Procurement procedure subscription

|  |  |
| --- | --- |
| Peppol BIS | P001 - Procurement procedure subscription |
| Documentation | <https://docs.peppol.eu/pracc/profiles/p001/index.html> |
| Transaction | **T001 – Subscribe to procedure** |
| Documentation | https://docs.peppol.eu/pracc/transactions/T001/index.html |
| Syntax Mapping | <https://docs.peppol.eu/pracc/syntax/ExpressionOfInterestRequest/tree/> |
| Peppol Rules | <https://docs.peppol.eu/pracc/rules/T001/> |
| Transaction | **T002 - Subscribe to Procedure Confirmation** |
| Documentation | <https://docs.peppol.eu/pracc/rules/T002/> |
| Syntax Mapping | <https://docs.peppol.eu/pracc/syntax/ExpressionOfInterestResponse/tree/> |
| Peppol Rules | <https://docs.peppol.eu/pracc/rules/T002/> |

## Peppol BIS - P002 - Procurement document access

|  |  |
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| Peppol BIS | P002 - Procurement document access |
| Documentation | <https://docs.peppol.eu/pracc/profiles/p002/index.html> |
| Transaction | **T003 - Tender Status Inquiry** |
| Documentation | https://docs.peppol.eu/pracc/transactions/T003/index.html |
| Syntax Mapping | <https://docs.peppol.eu/pracc/syntax/TenderStatusRequest/tree/> |
| Peppol Rules | <https://docs.peppol.eu/pracc/rules/T003/> |
| Transaction | **T004 - Call for Tenders** |
| Documentation | <https://docs.peppol.eu/pracc/rules/T004/> |
| Syntax Mapping | <https://docs.peppol.eu/pracc/syntax/CallForTenders/tree/> |
| Peppol Rules | <https://docs.peppol.eu/pracc/rules/T004/> |
| CEN BII Rules | <https://docs.peppol.eu/pracc/rules/BIIT004/> |

## Peppol BIS - P003 - Tender Submission

|  |  |
| --- | --- |
| Peppol BIS | P003 - Tender Submission |
| Documentation | <https://docs.peppol.eu/pracc/profiles/p003/index.html> |
| Transaction | **T005 - Tender** |
| Documentation | https://docs.peppol.eu/pracc/transactions/T005/index.html |
| Syntax Mapping | [https://docs.peppol.eu/pracc/syntax/Tender/tree/](https://docs.peppol.eu/pracc/syntax/TenderStatusRequest/tree/) |
| Peppol Rules | <https://docs.peppol.eu/pracc/rules/T005/> |
| CEN BII Rules | <https://docs.peppol.eu/pracc/rules/BIIT005/> |
| Transaction | **T006 - Tender Reception Notification** |
| Documentation | <https://docs.peppol.eu/pracc/rules/T006/> |
| Syntax Mapping | <https://docs.peppol.eu/pracc/syntax/TenderReceipt/tree/> |
| Peppol Rules | <https://docs.peppol.eu/pracc/rules/T006/> |
| CEN BII Rules | <https://docs.peppol.eu/pracc/rules/BIIT006/> |

## Peppol BIS - P004 - Call for Tenders Question and Answers

|  |  |
| --- | --- |
| Peppol BIS | P004 - Call for Tenders Question and Answers |
| Documentation | <https://docs.peppol.eu/pracc/profiles/p004/index.html> |
| Transaction | **T007 - Tendering Questions** |
| Documentation | https://docs.peppol.eu/pracc/transactions/T007/index.html |
| Syntax Mapping | <https://docs.peppol.eu/pracc/syntax/TenderingQuestions/tree/> |
| Peppol Rules | <https://docs.peppol.eu/pracc/rules/T007/> |
| Transaction | **T008 - Tendering Answers** |
| Documentation | <https://docs.peppol.eu/pracc/rules/T008/> |
| Syntax Mapping | <https://docs.peppol.eu/pracc/syntax/TenderingAnswers/tree/> |
| Peppol Rules | <https://docs.peppol.eu/pracc/rules/T008/> |

## Peppol BIS - P005 - Tender Clarification

|  |  |
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| Peppol BIS | P005 - Tender Clarification |
| Documentation | <https://docs.peppol.eu/pracc/profiles/p005/index.html> |
| Transaction | **T009 - Tender Clarification Request** |
| Documentation | https://docs.peppol.eu/pracc/transactions/T009/index.html |
| Syntax Mapping | <https://docs.peppol.eu/pracc/syntax/TenderClarificationRequest/tree/> |
| Peppol Rules | <https://docs.peppol.eu/pracc/rules/T009/> |
| Transaction | **T010 - Tender Clarification** |
| Documentation | <https://docs.peppol.eu/pracc/rules/T010/> |
| Syntax Mapping | <https://docs.peppol.eu/pracc/syntax/TenderClarification/tree/> |
| Peppol Rules | <https://docs.peppol.eu/pracc/rules/T010/> |

## Peppol BIS - P006 - Search Notices

|  |  |
| --- | --- |
| Peppol BIS | P006 - Search Notices |
| Documentation | <https://docs.peppol.eu/pracc/profiles/p006/index.html> |
| Transaction | **T011 - Search Notice Request** |
| Documentation | https://docs.peppol.eu/pracc/transactions/T011/index.html |
| Syntax Mapping | <https://docs.peppol.eu/pracc/syntax/SearchNoticeRequest/tree/> |
| Peppol Rules | <https://docs.peppol.eu/pracc/rules/T011/> |
| Transaction | **T012 - Search Notice Response** |
| Documentation | <https://docs.peppol.eu/pracc/rules/T012/> |
| Syntax Mapping | <https://docs.peppol.eu/pracc/syntax/SearchNoticeResponse/tree/> |
| Peppol Rules | <https://docs.peppol.eu/pracc/rules/T012/> |

## Peppol BIS - P007 - Tender Withdrawal

|  |  |
| --- | --- |
| Peppol BIS | P007 - Tender Withdrawal |
| Documentation | <https://docs.peppol.eu/pracc/profiles/p007/index.html> |
| Transaction | **T013 - Tender Withdrawal** |
| Documentation | https://docs.peppol.eu/pracc/transactions/T013/index.html |
| Syntax Mapping | <https://docs.peppol.eu/pracc/syntax/TenderWithdrawalRequest/tree/> |
| Peppol Rules | <https://docs.peppol.eu/pracc/rules/T013/> |
| Transaction | **T014 - Tender Withdrawal Notification** |
| Documentation | <https://docs.peppol.eu/pracc/rules/T014/> |
| Syntax Mapping | <https://docs.peppol.eu/pracc/syntax/TenderWithdrawalResponse/tree/> |
| Peppol Rules | <https://docs.peppol.eu/pracc/rules/T014/> |

## Peppol BIS - P008 - Publish Notice

|  |  |
| --- | --- |
| Peppol BIS | P008 - Publish Notice |
| Documentation | <https://docs.peppol.eu/pracc/profiles/p008/index.html> |
| Transaction | **T015 - Publish Notice** |
| Documentation | https://docs.peppol.eu/pracc/transactions/T015/index.html |
| Syntax Mapping | <https://docs.peppol.eu/pracc/syntax/PublishNotice/tree/> |
| Peppol Rules | <https://docs.peppol.eu/pracc/rules/T015/> |
| Transaction | **T016 - Notice Publication Response** |
| Documentation | <https://docs.peppol.eu/pracc/rules/T016/> |
| Syntax Mapping | <https://docs.peppol.eu/pracc/syntax/NoticePublicationResponse/tree/> |
| Peppol Rules | <https://docs.peppol.eu/pracc/rules/T016/> |

## Peppol BIS - P009 - Notify Awarding

|  |  |
| --- | --- |
| Peppol BIS | P009 - Notify Awarding |
| Documentation | <https://docs.peppol.eu/pracc/profiles/p009/index.html> |
| Transaction | **T015 - Publish Notice** |
| Documentation | https://docs.peppol.eu/pracc/transactions/T017/index.html |
| Syntax Mapping | <https://docs.peppol.eu/pracc/syntax/AwardingNotification/tree/> |
| Peppol Rules | <https://docs.peppol.eu/pracc/rules/T017/> |

## Peppol BIS - P010 – Tendering Message Response

|  |  |
| --- | --- |
| Peppol BIS | P010 - Tendering Message Response |
| Documentation | <https://docs.peppol.eu/pracc/profiles/p010/index.html> |
| Transaction | **T018 - Tendering Message Response** |
| Documentation | https://docs.peppol.eu/pracc/transactions/T018/index.html |
| Syntax Mapping | <https://docs.peppol.eu/pracc/syntax/TenderingMessageResponse/tree/> |
| Peppol Rules | <https://docs.peppol.eu/pracc/rules/T018/> |

## Peppol BIS - P011 – Tender Qualification

|  |  |
| --- | --- |
| Peppol BIS | P011 – Tender Qualification |
| Documentation | <https://docs.peppol.eu/pracc/profiles/p011/index.html> |
| Transaction | **T019 - Qualification** |
| Documentation | https://docs.peppol.eu/pracc/transactions/T019/index.html |
| Syntax Mapping | <https://docs.peppol.eu/pracc/syntax/Qualification/tree/> |
| Peppol Rules | <https://docs.peppol.eu/pracc/rules/T019/> |
| Transaction | **T020 – Qualification Reception Confirmation** |
| Documentation | https://docs.peppol.eu/pracc/transactions/T020/index.html |
| Syntax Mapping | <https://docs.peppol.eu/pracc/syntax/QualificationReceipt/tree/> |
| Peppol Rules | <https://docs.peppol.eu/pracc/rules/T020/> |

## Peppol BIS - P012 –Qualification Response

|  |  |
| --- | --- |
| Peppol BIS | P012 –Qualification Response |
| Documentation | <https://docs.peppol.eu/pracc/profiles/p012/index.html> |
| Transaction | **T023 – Qualification Response** |
| Documentation | https://docs.peppol.eu/pracc/transactions/T023/index.html |
| Syntax Mapping | <https://docs.peppol.eu/pracc/syntax/QualificationResponse/tree/> |
| Peppol Rules | <https://docs.peppol.eu/pracc/rules/T023/> |

## Peppol BIS - P013 – Invitation to Tender

|  |  |
| --- | --- |
| Peppol BIS | P013 – Invitation to Tender |
| Documentation | <https://docs.peppol.eu/pracc/profiles/p013/index.html> |
| Transaction | **T024 – Invitation to Tender** |
| Documentation | https://docs.peppol.eu/pracc/transactions/T024/index.html |
| Syntax Mapping | <https://docs.peppol.eu/pracc/syntax/InvitationToTender/tree/> |
| Peppol Rules | <https://docs.peppol.eu/pracc/rules/T024/> |
| Transaction | **T003 – Tender Status Inquiry** |
| Documentation | https://docs.peppol.eu/pracc/transactions/T003/index.html |
| Syntax Mapping | <https://docs.peppol.eu/pracc/syntax/TenderStatusRequest/tree/> |
| Peppol Rules | <https://docs.peppol.eu/pracc/rules/T003/> |

## Peppol BIS - P035 – Pre-Award Catalogue

|  |  |
| --- | --- |
| Peppol BIS | P035 – Pre-Award Catalogue |
| Documentation | <https://docs.peppol.eu/pracc/profiles/p035/index.html> |
| Transaction | **T035 Pre-Award Catalogue Request** |
| Documentation | https://docs.peppol.eu/pracc/transactions/T035/index.html |
| Syntax Mapping | <https://docs.peppol.eu/pracc/syntax/catalogueRequest/tree/> |
| Peppol Rules | <https://docs.peppol.eu/pracc/rules/T035/> |
| Transaction | **T036 - Pre-Award Catalogue** |
| Documentation | https://docs.peppol.eu/pracc/transactions/T036/index.html |
| Syntax Mapping | <https://docs.peppol.eu/pracc/syntax/catalogue/tree/> |
| Peppol Rules | <https://docs.peppol.eu/pracc/rules/T036/> |

## Peppol Code Lists used in Notification & Open Procedure

### Generic Code Lists

|  |  |
| --- | --- |
| additionalConditionsCode | <https://docs.peppol.eu/pracc/codelist/addCond/> |
| awardCode | <https://docs.peppol.eu/pracc/codelist/addCond/> |
| contractTypeCode | <https://docs.peppol.eu/pracc/codelist/contractType/> |
| documentStatusCode | <https://docs.peppol.eu/pracc/codelist/docStatus/> |
| documentTypeCode | <https://docs.peppol.eu/pracc/codelist/docType/> |
| Electronic Address Scheme (EAS) | <https://docs.peppol.eu/pracc/codelist/EAS/> |
| ISO 6523 ICD list | <https://docs.peppol.eu/pracc/codelist/ICD/> |
| Country codes (ISO 3166-1:Alpha2) | <https://docs.peppol.eu/pracc/codelist/ISO3166/> |
| legalBasisCode | <https://docs.peppol.eu/pracc/codelist/legalBasis/> |
| MessageResponseCode | [https://docs.peppol.eu/pracc/codelist/messageResponse/](https://docs.peppol.eu/pracc/codelist/legalBasis/) |
| NoticeResponseCode | <https://docs.peppol.eu/pracc/codelist/noticeResponse/> |
| procedureTypeCode | <https://docs.peppol.eu/pracc/codelist/procedureType/> |
| procurementTypeCode | <https://docs.peppol.eu/pracc/codelist/procurementType/> |
| publicationConditionCode | <https://docs.peppol.eu/pracc/codelist/publicationCondition/> |
| StatusReasonCode | <https://docs.peppol.eu/pracc/codelist/statusReason/> |
| StatusReasonCodeSubset | <https://docs.peppol.eu/pracc/codelist/statusReasonSubset/> |
| SubmissionMethodCode | <https://docs.peppol.eu/pracc/codelist/submissionMethod/> |
| Economic Operator Role Codes | [https://docs.peppol.eu/pracc/codelist/tendererRole/](https://docs.peppol.eu/pracc/codelist/submissionMethod/) |
| UBLDocumentSchema | <https://docs.peppol.eu/pracc/codelist/ublDocumentSchema/> |
| Document name code, full list (UNCL1001) | <https://docs.peppol.eu/pracc/codelist/UNCL1001/> |

### Catalogue specific Code Lists

|  |  |
| --- | --- |
| UNCL5305 Duty or tax or fee category code | [https://docs.peppol.eu/pracc/codelist/UNCL5305/](https://docs.peppol.eu/pracc/codelist/addCond/) |
| UNCL5387 Price specification code | <https://docs.peppol.eu/pracc/codelist/UNCL5387/> |
| UNCL8273 Dangerous goods regulations code | [https://docs.peppol.eu/pracc/codelist/UNCL8273/](https://docs.peppol.eu/pracc/codelist/addCond/) |
| UN/ECE Recommendation 20 | <https://docs.peppol.eu/pracc/codelist/UNECERec20/> |
| Transaction condition code | <https://docs.peppol.eu/pracc/codelist/TransactionCondition/> |
| UNCL6313 Measured attribute code | <https://docs.peppol.eu/pracc/codelist/UNCL6313/> |
| Item type identification code (UNCL7143) | <https://docs.peppol.eu/pracc/codelist/UNCL7143/> |

## Other artifacts used in Notification & Open Procedure

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| Peppol BIS eDocuments guide for pre-award | <https://docs.peppol.eu/pracc/files/BIS-eDocuments-guide-for-pre-award-v1.3.pdf> |
| PEPPOL BIS pre-award guide – Notification and Open Procedure | [https://docs.peppol.eu/pracc/files/Peppol-BIS-pre-award-guide\_Notification-and-Open-Procedure-v1.0.pdf](https://docs.peppol.eu/pracc/files/BIS-eDocuments-guide-for-pre-award-v1.3.pdf) |
| Schematron files (zip) | <https://docs.peppol.eu/pracc/files/schematrons.zip> |
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1. Alternatively, the platform **PublicPurchase** can publish directly to TED using the Peppol interface. [↑](#footnote-ref-1)
2. For the time being, a PEPPOL-Specification for any Contracting-Profile is not available, but to make sure a PreAward Catalogue will also be used in any contracting profile, a placeholder has been introduced into Figure 5 [↑](#footnote-ref-2)
3. The assignment of Peppol procedures to the above named subprocesses might differ silghtly from the use case mapping shown in Figure 5: Pre-Award Procurement Phases and Use Cases previously. But with regard to the fact that use cases show a more static perspective, and the process descriptions are naturally focusing on dynamic aspects, these differences should be comprehensible. [↑](#footnote-ref-3)