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CEN/ISSS WS/BII11

Qualification

PROFILE DESCRIPTION

Business Domain: Pre award procurement

Business Process: Tendering – Awarding

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Document Summary

The Qualification profile describes a process providing electronic messaging support for identifying and verifying the capabilities of any Applicant that wants to present an offer to a particular contest (pre-awarding phase). It is for the business process of tendering in a pre-awarding phase. It is intended for use by businesses and purchasing authorities in restricted, negotiated, open or competitive dialogue procedures where access to participation is restricted to pre-qualified Applicants.

The key aspects covered by this profile are:

- An Applicant can use this profile to submit qualification documents to a Qualifier as specified in the Call for Tender documents.
- The profile can be used for pre-qualification as part of a restricted, negotiated or competitive dialogue tendering procedure or as qualification in an open procedure.
- The Qualification transaction is specific to a particular Call for Tender. It can be further refined in order to incorporate supporting documents such as a VCD document.
- The Qualifier evaluates the qualification information and reports his decision, positive or negative, to the Applicant with a qualification response document.
- In the case of a positive qualification response the Qualifier can continue with the tendering process. The positive qualification response may contain an invitation to submit a tender.

Contributors

- CODICE - Dirección General del Patrimonio del Estado (contrataciondelestado.es)
- PEPPOL Work package 2 – Virtual Company Dossier (VCD)
- CEN/ISSS WS/BII Working group 1
- CEN/ISSS WS/BII Working group 3

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1 Preamble

The CEN/ISSS Workshop on business interoperability interfaces for public procurement in Europe (CEN/ISSS WS/BII) was established in order to

- Identify and document the required business interoperability interfaces related to pan-European electronic transactions in public procurement expressed as a set of technical specifications, developed by taking due account of current and emerging UN/CEFACT standards in order to ensure global interoperability;
- Co-ordinate and provide support to pilot projects implementing the technical specifications in order to remove technical barriers preventing interoperability.

To facilitate implementation of electronic commerce in a standardized way, thereby enabling the development of standardized software solutions as well as efficient connections between business partners without case by case specification of the data interchange, the workshop agreed to document the required business interoperability interfaces as profile descriptions. The end goal is to reduce the cost of implementing electronic commerce to a level that is economical for small and medium size companies and institutions.

1.1 Profile description

A profile description is a technical specification describing

- the choreography of the business process(es) covered, i.e. a detailed description of the way the business partners will play their respective roles and share responsibilities with the support of their respective information systems, as well as the possible run-time scenarios and the business commitments achieved,
- the electronic business transactions exchanged as part of the business process and the sequence in which these transactions are exchanged,
- the business rules governing the execution of that business process(es), its business collaborations and business transactions, as well as any constraints on information elements used in the transaction data models
- the information content of the electronic business transactions exchanged by pointing to a given data model for each of the business transactions.

As well as determining what documents are used, the profile restricts document content in terms of elements and the cardinality of elements. The key standardization aspect of the profile description is thus in the semantics rather than the syntax. Consequently the business transactions within a profile can be structured based on different message standards/syntax as long it contains all the necessary data elements.

Although the profile descriptions and transaction data models provided by CEN BII will be neutral of syntax, the workshop has agreed to provide specifications of how its data models may be mapped to defined syntaxes. This is done in order provide the market with implementable specifications.

It should be noted that the profile description does not attempt to address issues related to topics such as:

- the actual transmission of the electronic messages,
- security and confidentiality of the message exchange,
- integrity, authentication and auditing of information content or
- the process of implementing a solution based on the profile description.

These issues have however been addressed by other deliverables of the CEN/ISSS WS/BII (see section 1.2 for reference to relevant documents).

The main focus of the profile description and the associated transaction data models is to address generally expressed business requirements applicable throughout the European market. Although the profile description and associated transaction data model are designed to meet generally expressed requirements, it is still the responsibility of the users to ensure that the actual business transactions exchanges meets all the legal, fiscal and commercial requirements relevant to their business.

2 References

External documents

- UN/CEFACT Modelling Methodology (available at <http://www.untmg.org/specifications/>)
- UMM Meta Model – Foundation Module Version 1.0, Technical Specification, 2006-10-06
- UMM Meta Model – Base Module Version 1.0, Technical Specification, 2006-10-06
- UML (Unified Modelling Language), version 2.0
- UN/CEFACT ebXML Core Components Technical Specifications version 2.01 – ISO 15000-5
- UN/CEFACT Business Requirements Specification version 1.5 (CEFACT/ICG/005)

Related publications from CEN/ISSS WS/BII:

- CWA xxxx-1: Profile Overview
- CWA xxxx-1, annex A: Glossary of terms
- CWA xxxx-1, annex B: Profile Architecture
- CWA xxxx-1, annex C: Controlled Vocabulary Approach
- CWA xxxx-2: UBL-UN/CEFACT convergence (WG2)
- CWA xxxx-3: Toolbox Requirements (WG3)
- CWA xxxx-4: Pilot Support (WG4)

3 Business benefits and requirements

3.1 Business benefits

The main business benefits to be gained by implementing this profile are:

Aspect	Beneficiary	Benefit
Process automation	Qualifier	Systematic qualification process.
Automated Participation request	Applicant	Applicants can automatically generate participation requests issuing qualification documents.
Automated qualification process	Qualifier	Receipt of qualification information allows for automated qualification process.
Customer relations	Applicant	Closer customer relations

3.2 Business requirements

1. The Applicant evaluates the Call for Tender information and prepares a Qualification documents to apply for participation.
2. The Applicant sends the Qualification document to the Qualifier.
3. The Qualifier evaluates the Qualification document and may report the results to the Applicant. A positive response may include an invitation to tender.
4. The Qualification may be further refined in order to incorporate supporting documents such as a VCD document.
5. The process of qualification may be extended to include guaranties from a guarantor to the Qualifier. This extended process is not in scope and is not further elaborated on in this profile.

4 Profile detailed description

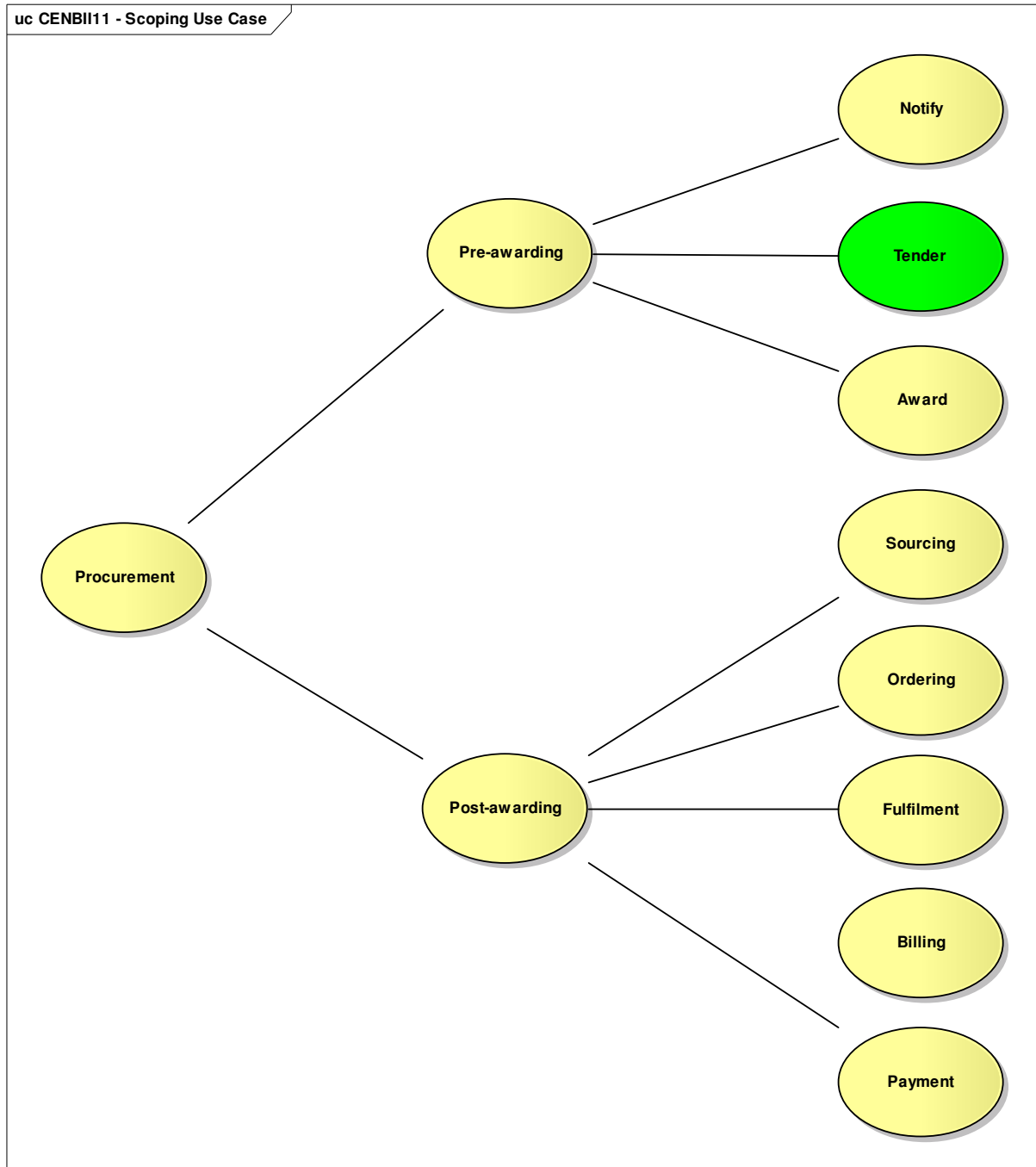
4.1 Context

The specification contained in this document is relevant within the following context:

Categories	Description and Values
Business Process	Tendering.
Product Classification	All types of goods and services.
Industry Classification	Customer and Supplier organisations in all sectors, public and private.
Geopolitical	Europe
Official Constraint	EU directives 2004/18/EC and 2004/17/EC, national laws and regulations.
Business Process Role	Qualification of Applicants who wish to participate in a tender.
Supporting Role	Distribution of call for tender documents to relevant Applicants.
System Capabilities	No particular.

4.2 Business process in scope

Individual pre-awarding processes can be followed using different procedures. Qualification process is for Open procedures as part of the tender submission. Restricted, negotiated and competitive dialogue procedures require pre-qualification of the candidates before inviting them to participate in the tendering process and open procedure may require qualification as part of the tender submission.



The Qualification profile covers the tendering business processes highlighted in the above figure.

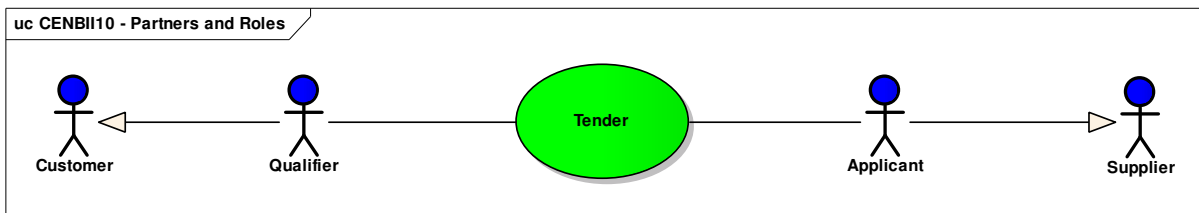
4.3 Partners and authorized roles.

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

Business partner	Description
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Business partner	Description
Customer	The customer is the legal person or organization who is in demand of a product or service. Examples of customer roles: buyer, consignee, debtor, contracting authority.
Supplier	The supplier is the legal person or organization who provides a product or service. Examples of supplier roles: seller, consignor, creditor, economic operator.

Role/actor	Description
Qualifier	A party who evaluates submitted qualification information.
Applicant	A party who submits qualification information with the intention of participating in a tender

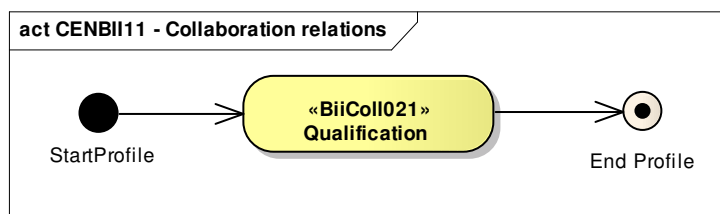


4.4 Choreography of business collaborations

Each business process in scope contains within itself one or more business collaborations:

Business Process	Business Collaboration(s)	Collaboration ID
Tendering	Qualification	BiiColl021

The following diagram shows the relationships (i.e. links) between the collaborations of each business process implemented by the profile. The choreography of business collaborations defines the sequence of interactions when the profile is run within its context. Each sequence of interactions can be understood as a run-time scenario.



Description	The Applicant sends an electronic Qualification document containing the information requested by the Qualifier in the Call for Tender for qualification. The Qualifier evaluates the qualification information. The evaluation process can be supported by business information held by trusted third parties acquired through external processes. The results of the qualification are reported to the Applicant. A positive result may include an invitation to tender.
Pre-conditions	The Qualifier has decided whether the tendering process follows a restricted, negotiated, open or competitive dialogue procedure.

	The Applicant has accessed the Call for Tender documents and decided to submit qualification documents.
Post-conditions	If the process results in a positive qualification response with an invitation to tender, the Applicant can proceed to prepare the tender based. Qualifier ends up with a list of accepted renderers from who he may expect tenders.
Scenarios	Qualification accepted. External information required. Qualification rejected.
Remarks	The qualification process may require guaranties. These quarantines may be included as attachment documents to the qualification but are not specifically shown in this profile since the guarantee process itself is out of scope of this profile and is not elaborated on further in this document.

4.4.1 Profile business rules

4.4.2 Process rules

- None identified.

4.4.3 Information constraints

ID	Data element	Context	Severity	Rule description
1	Company identification	Qualification	Hard	Must be present.
2	Mandate	Qualification	Hard	Must be present.
3	Capabilities	Qualification	Hard	Must be present.
4	Certification	Qualification	Hard	Must be present.
5	Social object	Qualification	Hard	Must be present.

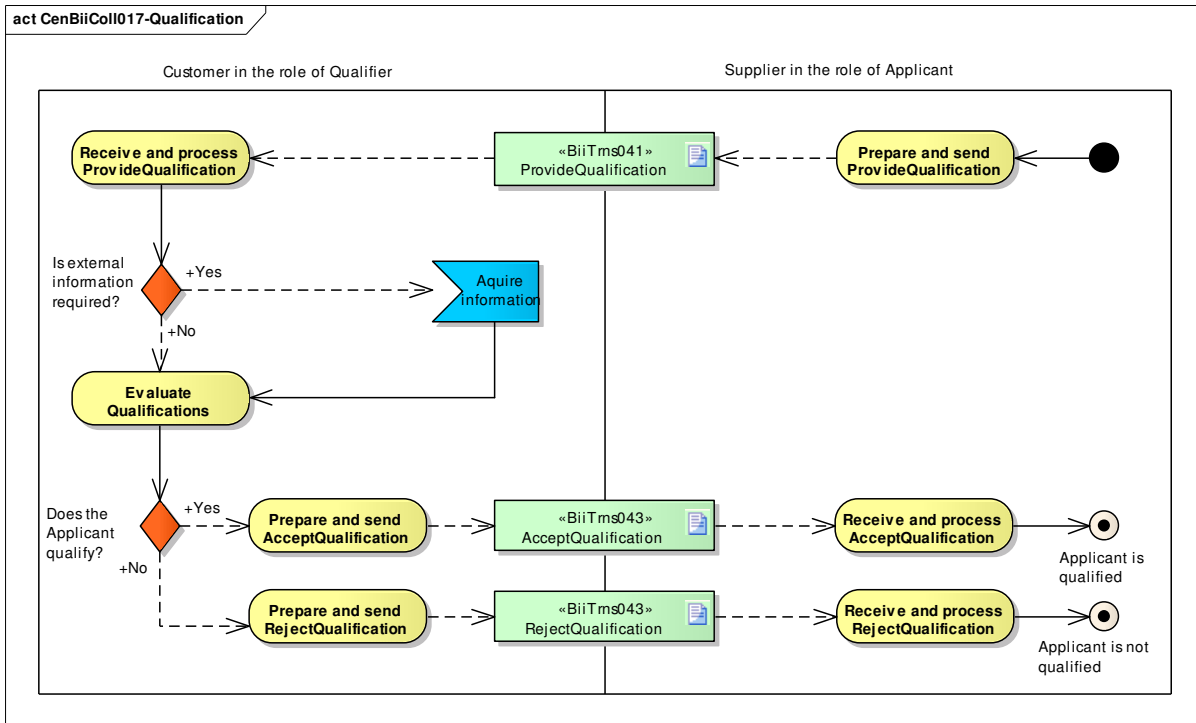
4.5 Business collaboration(s) detailed description

4.5.1 Qualification collaboration

Categories	Description and Values
Collaboration ID	BiiColl021
Description	A Supplier, in the role of an Applicant, submits qualification information to a Contracting Authority, who has the role of a Qualifier, based on requirements stated in a Call for Tender.
Pre condition	A Contracting Authority has requested specific information about an Economic Operator in order for him to qualify as a tenderer.
Post condition(s)	a. Applicant is qualified to tender. b. Applicant is disqualified from tender.
Transactions	ProvideQualification - BiiTrns041 RejectQualification - BiiTrns042 AcceptQualification - BiiTrns043

Categories	Description and Values
Roles	Applicant Qualifier

4.5.1.1 Diagram



4.5.1.2 Activity description

Role	Activity	Description
Main flow	Qualifications accepted	Post condition a
Applicant	Prepares and send ProvideQualification.	An Applicant requests participation in the tendering process by creating and submitting a ProvideQualification.
Qualifier	Receive and processes ProvideQualification.	The Qualifier receives and processes the qualification documents as a request to participate in the tender.
Qualifier	External documents are not required. --- Evaluates Qualification.	The Qualifier determines that external information is not required and proceeds to evaluate the qualifications.
Qualifier	Applicant does qualify. -- Prepare and send AcceptQualification.	The Qualifier evaluates the information provided in the qualification document and decides that the Applicant does qualify as participant in the tender. The Qualifier prepares and sends the acceptance of qualification to the Applicant.
Applicant	Receive and process AcceptQualification.	The Applicant receives and processes the positive decision.
Scenario	External information required	

Qualifier	Acquires external information.	The Qualifier determines that external information is required and proceeds to acquire the required information through an external process. When the required information has been acquired the profiled process continues.
Scenario	Qualifications rejected	Post condition b
Qualifier	Applicant does not qualify. -- Prepare and send RejectQualification	The Qualifier evaluates the information provided in the qualification document and decides that the Applicant is not accepted as participant in the tender. The Qualifier prepares and sends the rejection of qualification to the Applicant.
Applicant	Receive and process RejectQualification.	The Applicant receives and processes the negative decision.

4.5.1.3 Collaboration business rules

4.5.1.3.1 Process rules

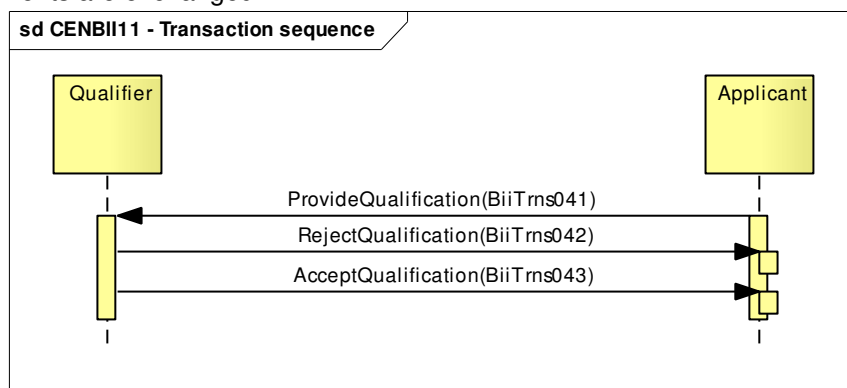
1. By submitting a ProvideQualification the Economic Operator requests that his tender will be considered for awarding but does not commit to provide a tender.
2. Each Economic Operator can submit only one Qualification document for each Call for Tender.
3. All information provided on header level applies to all lines.
4. If Qualification Response contains no lines the header level information applies to all requirements.
5. Response lines can be used to report how the Economic Operator met each requirement.
6. In case of a positive response the Qualification Response may include a direct invitation to submit a tender.
7. If Qualification Response contains no lines the header level information applies to all requirements.

4.5.1.3.2 Information constraints

Information constraints relevant to this collaboration are captured in the referenced transaction data model(s).

4.6 Transaction(s) detailed description

The figure below identifies the electronic messages exchanged as part of this process and the sequence in which these documents are exchanged.



4.6.1 Transaction data models

Transaction	Trns ID	Data Model	Data model ID
ProvideQualification	BiiTrns041	Qualification	BiiFullTrdm041

RejectQualification	BiiTrns042	QualificationRejection	BiiFullTrdm042
AcceptQualification	BiiTrns043	QualificationAcceptance	BiiFullTrdm043

Each of the identified transactions is elaborated in the following chapters.

4.6.2 ProvideQualification transaction

Categories	Description and Values
Identifier	BiiTrns041
Description	A structured electronic business document for providing information requested by a Contracting Authority in a Call for Tender.
Partner Types	Customer Supplier
Authorized Roles	Applicant Qualifier
Legal Implications	By submitting a Qualification document the Economic Operator as Applicant is legally responsible for the correctness of the information provides.
Initial Event	Economic Operator as Applicant prepares and sends Qualification document
Terminal event	Contracting Authority as Qualifier processes the Qualification document.
Scope	All tendering procedures in public or private sector.
Boundary	None specified.

4.6.2.1 Transaction business rules

- National laws and regulations and, in case of above threshold Call for Tenders, EU directives 2004/18/EC and 2004/17/EC.

4.6.3 RejectQualification Transaction

Categories	Description and Values
Identifier	BiiTrns042
Description	A structured electronic business document that contains the negative results of a qualification process.
Partner Types	Customer Supplier
Authorized Roles	Applicant Qualifier
Legal Implications	None specified.
Initial Event	Prepare and send RejectQualification
Terminal event	Receive and process RejectQualification
Scope	To inform an Economic Operator whether he has been rejected as qualified based on the submitted Qualification Documents.
Boundary	None specified.

4.6.3.1 Transaction business rules

- National laws and regulations and, in case of above threshold Call for Tenders, EU directives 2004/18/EC and 2004/17/EC.

4.6.4 AcceptQualification transaction

Categories	Description and Values
Identifier	BiiTrns043
Description	A structured electronic business document that contains the positive results of a qualification process. The Qualification Response may include a simple invitation to tender.
Partner Types	Customer Supplier
Authorized Roles	Applicant Qualifier
Legal Implications	None specified.
Initial Event	Prepare and send Qualification Response.
Terminal event	Receive and process Qualification response.
Scope	To inform an Economic Operator whether he has been accepted as qualified based on the submitted Qualification Documents.
Boundary	None specified.

4.6.4.1 Transaction business rules

- National laws and regulations and, in case of above threshold Call for Tenders, EU directives 2004/18/EC and 2004/17/EC.