

# PEPPOL Transport Infrastructure Agreements

## Annex 3 – Services and Service Levels

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### 1. Scope for this document

- 1.1. This document identifies PEPPOL Services and the minimum Service Level required for PEPPOL service providers.
- 1.2. The scope includes services provided by the PEPPOL Coordinating Authority and the PEPPOL Authorities.
- 1.3. The stated Service Level is considered a minimum level for service providers in PEPPOL. Service providers may offer higher level of services as part of their offerings.
- 1.4. Since PEPPOL cannot state requirements about communication between Access Points and their customers, end-to-end service levels cannot be defined (from sender to receiver). Thus, the requirements in this agreement only cover communication between PEPPOL Access Points, between an Access Point and a Service Metadata Publisher and between a Service Metadata Publisher and the Service Metadata Locator.

### 2. PEPPOL Services

- 2.1. PEPPOL Services are defined in the document "PEPPOL Service Standard" including:
  - Service Metadata Locator (SML)
  - Service Metadata Publisher (SMP)
  - Access Point (AP) Providers
- 2.2. The Service Metadata Locator is required for registration and maintaining information about trading partners and propagation of this information to Internet DNS, but not a critical service in runtime when transferring business documents between Access Points.
- 2.3. Service Metadata Publishers (SMP) and Access Points (AP) are providing essential services for trading partner lookup and transferring business documents through the PEPPOL Transport Infrastructure.
- 2.4. In addition, this document will list Services required to operate and support the PEPPOL community including services provided the PEPPOL Coordinating Authority and the PEPPOL Authorities.
- 2.5. PEPPOL Coordinating Authority
  - Manages updates and releases of new versions of PEPPOL specifications and standards accordingly to the published policy.
  - Signs the PEPPOL Authority Agreement with PEPPOL Authorities.
  - Provides central governance of the PEPPOL Public Key Infrastructure (PKI)

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- Is responsible for providing the SML service
- Provides an arbitration body for PEPPOL related conflicts
- Enters in to agreements with and provide support for Service Providers contracting with the PEPPOL Coordinating Authority in domains where no PEPPOL Authority has been delegated.
- Aggregates and publish statistics on PEPPOL usage.
- Provides a website with listing of all PEPPOL Authorities
- Provides a website with listing of all PEPPOL Service Provider including all Contact information from Annex 1
- Provides an mailing list containing all Service Providers support e-mail addresses as written in Annex 1
- Revokes the certificates if a Service Provider fails to fulfil his obligations

### 2.6. PEPPOL Authority

- Signs agreements with the Service Providers.
- Signs the PEPPOL Authority Agreement with the PEPPOL Coordinating Authority
- Participates in the issuance and distribution of certificates use by PEPPOL Service Providers.
- Provides support for Service Providers contracting with the PEPPOL Authority.
- Registers support incidents and respond/resolve according to locally defined Service Levels.
- Escalates support issues the PEPPOL Authority cannot resolve to the PEPPOL Coordinating Authority.
- Initiates the revocation of the certificates if a Service Provider fails to fulfil his obligations
- Reports statistics on usage to the PEPPOL Coordinating Authority.
- Reports PEPPOL Service providers with issued contracts including contact information to the PEPPOL Coordinating Authority.

### 2.7. PEPPOL Access Point Provider and PEPPOL SMP Provider

- Provides support to all PEPPOL participants using the services offered.
- Performs logging of sending and receiving business document for support and trace purposes.
- Engages with other PEPPOL AP providers and PEPPOL SMP providers to resolve issues related to transfer of business documents between them.
- Reports service level compliance and significant operation disruptions to the PEPPOL Authority issuing the Service Provider contract.
- Escalates support issues the service provider cannot resolve to PEPPOL Authority. The Service provider can escalate issues to the PEPPOL Coordinating Authority if the issue cannot be resolved with the PEPPOL Authority.

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- Performs the necessary testing required to insure compliance with the relevant technical standards and specifications defined by PEPPOL

### 3. PEPPOL SML Service availability

- 3.1. SML services for updating registrations by PEPPOL SMP's must be available on average:
  - 99.5% of the time from Monday - Friday from 7:00 to 18:00 CET (business hours)
  - 99.5% of the remaining period.
- 3.2. Availability is measured monthly and service windows are included in "down time".
- 3.3. Planned down times within and outside the business hours have to be announced 3 days in advance to the mailing list provided by the coordinating authority containing all support e-mail addresses.
- 3.4. Major incidents as breaches in the security have to be communicated within 4 hours to the mailing list provided by the coordinating authority containing all support e-mail addresses.
- 3.5. Maximum loss of data is the last 24 hours

### 4. PEPPOL SMP and PEPPOL AP Service availability

- 4.1. Access Point Services exposed to other PEPPOL Access Points must be available on average:
  - 99.5% of the time from Monday - Friday from 9:00 to 16:00 CET (business hours)
  - 99.5% of the remaining period.
- 4.2. Availability is measured monthly and service windows are included in "down time".
- 4.3. A PEPPOL Access Point Provider must have an escalation procedure and a contingency plan to handle service disruption.
- 4.4. PEPPOL Access Point Providers must log service downtime and document availability in monthly reports.
- 4.5. Major incidents as breaches in the security which could have an impact on other Service Providers have to be communicated within 4 hours to mailing list provided by the coordinating authority containing all support e-mail addresses.
- 4.6. Maximum loss of data is the last 24 hours for an SMP.

### 5. Performance, Capacity and Scalability

- 5.1. Service providers may offer different qualities of service (above the minimum level) and charge their

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customers accordingly - in the same way Internet Service Providers offer different qualities of Internet connections at different prices.

### 6. Response time requirements

- 6.1. A receiving Access Point must send a receipt to a sending Access Point within 300 seconds after having received the message.
- 6.2. An SMP Provider must create, update or delete a customer's registrations in a Service Metadata Publisher within one work day (Monday - Friday) of being notified of any changes (normal change process). In emergency situations (security incidents or fraud), an SMP Provider can be instructed by the PEPPOL Coordinating Authority, the PEPPOL Authority or the PEPPOL Participant to update or delete registrations within one hour during normal business hours (as defined above).

### 7. Capacity

- 7.1. Access Point Providers must establish their systems with sufficient capacity to serve customers and other service providers within the required service levels.
- 7.2. If response time or availability requirements cannot be met due to insufficient capacity, Access Point Providers shall scale their systems to a level appropriate for handling the workload.
- 7.3. Access Point Providers must have a documented capacity planning process that ensures sufficient system capacity based on statistics of work load, availability and response time.

### 8. Support services

- 8.1. PEPPOL AP Providers and PEPPOL SMP Providers must name an e-mail address and telephone number that can be used for reporting of incidents such as system failures, security incidents or other emergency situations.
- 8.2. The telephone contact must be available during defined business hours. If English language is not supported by the telephone contact, a call-back service must be established to facilitate efficient dialogue on the incident can be initiated within 2 hours.
- 8.3. Local language is preferred during analysis and resolution of reported incidents if both parties agree on this. If not, English language is default.
- 8.4. Any incident reported must be responded to within one working day.
- 8.5. PEPPOL AP Providers and PEPPOL SMP Providers must maintain a mailing list for subscription to service messages (e.g. service windows).

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- 8.6. Information on phone contact with operation and mailing list must be available on contacting the support e-mail address or on the Service Provider homepage.

### 9. Reporting

- 9.1. In case of major system failures causing more than 4 hours of down-time, the PEPPOL Authority must be notified.
- 9.2. PEPPOL AP Providers and PEPPOL SMP Providers are required to provide documentation on service level on a monthly basis to the PEPPOL Authority. A reporting template will be provided by the PEPPOL Authority.
- 9.3. If service levels are not deemed sufficient by the PEPPOL Authority, an Access Point Provider can be instructed to take appropriate measures to restore service quality.
- 9.4. PEPPOL AP Providers may be required by the PEPPOL Authority to report on the number of transactions (i.e. the number of each Document Identifier) sent and/or received. A reporting template will be provided by the PEPPOL Authority.

### 10. Exceptions

- 10.1. An Access Point Provider does not have to fulfil the service levels defined in this agreement in the following situations:
- The Access Point Provider is under a denial of service (DoS) attack.
  - Special conditions apply and the PEPPOL Authority has approved lowering the SLA for a specific time period and under specific conditions.
- 10.2. Access Point Providers must document the reasons for not fulfilling the required service levels.