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Peppol Service Provider Community Regular meeting

May 11th 2021

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Agenda

1. Agreement Framework – time for review and comments
2. Peppol Spring release (quick visit and reminder)
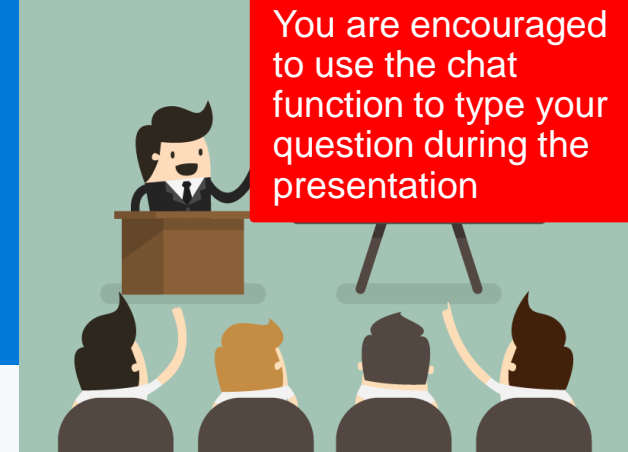3. General Assembly meeting to come (reminder)
4. Q&A round

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Agreement Revision Task Force

Initiating the member review

- May 11, 2021
- Jostein Frømyr, Open Peppol Operations - Peppol Agreement Coordinator
- Erwin Wulterkens, Open Peppol Operations
- Lefteris Leontaridis, OpenPeppol Operations Manager

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Presentation outline

- **Background** and context
- **Material available for review**
  - Documents for review
  - Supporting material
  - Webinars and recordings
- **The next steps** towards completion
- **Selected topics** of relevance for SPs
  - Entity Identification
  - Reporting
  - PA Specific Requirements
  - Release management and migration

Our objective with this presentation is to provide you with general information about
- the material now available from the ARTF,
- the timeline for the member review, and
- next steps towards completion of the revised Peppol Agreements.

Furthermore, we will draw your attention to some selected topics considered to be of specific relevance to Peppol Service Providers.

Background

Work to date

The agreement revision process originates from the work with the new Statutes in 2018.

The aim of the activities is to prepare a **fully integrated and common agreement for use by all actors in PEPPOL, applicable to all application domains.**

2018-2019	A conceptual model was discussed and agreed
July 2020	A first version of the new PA Agreement and SP Agreement was developed and initially endorsed by the MC and the PAs
Summer 2020	A set of supporting policies was developed by the OO and was reviewed by PAs and SPs
October 2020	A Task Force within the PAC made recommendations aiming to improve the clarity of the legal obligations through the Agreements themselves
November 2020	A legal review took place, with a view to align the material already produced and the recommendations of the PAC Task Force with the legal requirements for the Association to operate within its current Statutes
December 2020	The Agreements Revision Task Force (ARTF) was established with a mandate to provide three sets of deliverables: updated agreement documents, Internal Regulations and a set of Operating Procedures

The ARTF

Agreement Revision Task Force

- The Agreement Revision Task Force was established in December 2020 with a mandate to provide three sets of deliverables produced through three parallel Work Streams

Peppol Authority Agreement
Peppol Service Provider Agreement

Proposals for a set of updated Agreement documents with annexes and attachments so that all binding clauses of the contracting parties are handled in the Agreements (and their annexes). These will focus on the legal obligations and rights of contracting parties, including governance of the Agreements - not how things are done.

Internal Regulations
for Use of the Peppol Network

Proposals for a set of Internal Regulations (IR) for the use of the Peppol Network, which flesh out the rules and provisions that clarify the legal obligations assumed by the new Agreements, indicating who needs to do what.

Operational Procedures

Proposals for a set of Operational Procedures (OP) that will ensure a good and common understanding about how to implement the provisions of the Agreements and the Internal Regulations in day-to-day operations of the OpenPeppol Communities and Change Management Boards, as well as the Operating Office.

- Within each workstream there has been active participation by representatives from Peppol Authorities and Service Providers with support from the Operating Office

Initiating the member review

- The deliverables from the ARTF are now made available for review by all members of OpenPeppol
- The documents are available at
  - https://openpeppol.atlassian.net/wiki/spaces/AF/pages/2275377158/Agreements+Revision+Task+Force+2021

- You are all encouraged to review the documents provided and submit your comments using the comment log **by Friday 4 June 2021 at the latest**

Documents for review

The Agreement Documents

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- The Agreement documents define the **legal obligations** of the contracting parties – the Peppol Coordinating Authority, the Peppol Authorities, and the Service Providers

Peppol Authority Agreement	Service Provider Agreement

• Defining the legal terms and conditions under which the Parties shall contribute to ensure adequate governance over the evolution and use of the Peppol Interoperability Framework.
 • Delegating the the authority to promote, facilitate and govern the adoption and use of the Peppol Interoperability Framework within its Jurisdiction to the PA
 • Defining the PA Jurisdiction
	• Defining the legal terms and conditions under which:
	   • the SP shall provide the required Peppol Services
	   • the PA shall ensure that the Peppol Services provided by the SP are provided in compliance with the Peppol Interoperability Framework
	 • Defining the Peppol Service Domains for which the SP is authorised to provide services

- These documents, in their original version, were approved by the PAs in June 2020

- As part of the ARTF work, some changes have however been implemented. The changes can be identified in the version with track changes

Documents for review

Internal Regulations for Use of the Peppol Network

Internal Regulations for Use of the Peppol Network

1. Introduction, including a description of the Peppol Interoperability Framework
2. Change Management Policy
3. Entity Identification Policy
4. Data Usage and Reporting Policy
5. Service Provider Accreditation Policy
6. Information Security Policy
7. Peppol Authority Specific Requirements
8. Extended Use of Peppol
9. Compliance Policy

Annex: Semantic Versioning Guideline

- The Internal Regulations for Use of the Peppol Network (IR) contains a set of Policies that include **normative rules and provisions** about the ways to operate in the Peppol Network.

- The content of these Policies is essential for the proper understanding of the legal obligations assumed through the Peppol Agreements, by further elaborating on the clauses of those Agreements.

Documents for review

Operational Procedures

Change Management	Extended Use
Reporting of Statistics	Issue Reporting and Management
Onboarding and Accreditation of Peppol Service Providers	Non-compliance Management
Peppol Authority Specific Requirements	

- The Operational Procedures (OP) elaborate on the procedures used to implement the provisions of the Agreements and the Internal Regulations in **day-to-day operations** of the OpenPeppol Communities and Change Management Boards, as well as the Operating Office.

- Separate documents are provided for the different topics covered.

Supporting material

- A number of additional documents are relevant to the implementation of the new Agreements and the Peppol Interoperability Framework
  - Current Statutes of the Association
  - List of applicable specifications
  - Service level requirements
  - PA Specific Requirements
- These documents are provided to complete your understanding but are however not subject to the current review

Webinars

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- To further assist in the review process, recorded presentations will be made available on the different topics covered by the IR/OP
  - Their availability will be announced by separate mail
- Live webinars providing a walk-through of the presentations of the different topics and allowing for Q&A will be scheduled during the last week of May:

Tuesday, May 25	Change management
Wednesday, May 26	Entity Identification and Reporting
Thursday, May 27	Information Security and Compliance
Monday, May 31	Extended Use, PA Specific requirements, and Onboarding and Accreditation of SPs

Next steps

Following the member review

- Planning for the unknow is a challenge!
- Our tentative plan of activities following the member review is:

June 4	Deadline for submission of comments
June 7-11	Consolidation and analysis of comments received
June 14-25	Comment resolution by member of the ARTF
June 28-July 2	Implementation of agreed comment resolution

- Following the resolution of comments from the member review, the ARTF will make a recommendation to adopt
  - MC will decide on the adoption of the IR and OPs
  - The PAs will vote on the Agreement documents

Selected topics of relevance for Peppol Service Providers

Entity Identification

Proper identification of <u>all</u> entities involved in the operation and use of the Peppol Network is essential for building trust.

PA Agreement
SP Agreement

Entity Identification Policy
- What a PA need to do to ensure the correct identity of an SP.
- What an SP need to do to ensure the correct identity of an End User.

- The requirement to do Entity identification and verification is defined in the agreements
  - PA Agreement § 9.2.4, requires the PA to verify the identity of the SP
  - SP Agreement § 9.2, requires the SP to verify the identity of the End User
- The rules to be respected when doing verification of the Entity Identification are defined in the IR
  - Entity Identification and verification of an SP is defined as part of the OP on Onboarding and Accreditation of SPs
- How an SP does the Entity Identification and verification of End Users is for the SP to decide as long as the stated rules of the Agreement and the IR are respected.
  - Guidance on how Entity Identification can be done within a Jurisdiction may be provided as part of PA Specific Requirements and are not further elaborated in OPs.

End User identification and verification

- Service Providers must verify the information concerning End Users to which they provide Peppol Services
  - except in cases when this is not feasible with reasonable efforts

- The Service Providers is responsible for the correctness of End User information at all times

- End User information must be collected and verified at the time of enrolment in the Peppol Network and must be periodically checked at least on an annual basis
  - provided that mechanisms to that effect are available, e.g. through lookup or API connection to authoritative sources of information in specific jurisdictions

- Furthermore, the SP must ensure proof of ownership
  - i.e., that the information has been provided by the entity it concerns

- SPs shall ensure that the following information is known for all End Users (senders and receivers) to which they provide Peppol services
  - **Legal identifier** and legal identifier Type (e.g. VAT number, etc.).
  - **Legal form** of the End User.
  - **Legal name** of the End User, in the jurisdiction within which it is legally based
  - **Legal address**, including country and (where applicable) territory information
  - Name and identifier of the **legal representative** of the End User, authorised to act on its behalf
  - End User's **capability to receive and/or send** Peppol Dataset Types
  - All **Peppol identifiers** used by the End User
  - Name and **contact details** for End User representative(s) responsible for the Peppol Service, at a minimum, email address.
  - If **intermediaries** are used, the following information must be known about each intermediary:
    - Legal identifier of the Intermediary and legal identifier Type
    - Legal name of the Intermediary,
    - Legal address of the Intermediary

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Data usage and reporting

Knowledge about the actual use of the Peppol Network is considered critical in order to manage its continued evolution

**PA Agreement
SP Agreement**

Data Usage and Reporting Policy
- What an SP must to report to OpenPeppol.
- What OpenPeppol can and must do with the reported data.

Reporting of Statistics
- How and when an SP must report data to OpenPeppol.
- Hoa a PA can get access to the data
- How OpenPeppol may make statistical information available

- The general obligations to report on, and consolidate statistics, on the the use of the Peppol network is defined in
  - PA Agreement § 8.1.8
  - SP Agreement § 9.5.8

- The details on what must be reported and how OpenPeppol may use the data is elaborated in the IR in relation to information about End Users and transactions

- The OP defines the detailed process related to how and when an SP must provide its report to OpenPeppol as well as the mechanism to use
  - The mechanisms to use will be made available as Peppol BIS
    - Peppol End User Report
    - Digital Traffic Report
  - These specifications are still under development

Reporting requirements

SP must provide monthly reports to the OO

Reporting about End Users

- SP must ensure that information about End Users, as specified in the Entity Identification Policy, shall be acquired and shall be regularly reported to the Peppol Coordinating Authority, which shall make it available, in whole or in part to the Peppol Authorities which have territorial jurisdiction over the country or territory where the End Users are based

Reporting about Transactions

- Only statistical information based on metadata from the SBDH will be collected and reported to OpenPeppol
  - The SPs are responsible for ensuring that the relevant data can be collected in an accurate and reliable manner, using whatever methods the SP deems most efficient in its own infrastructure and operational environment
- The data reported must be entirely anonymous and thus not linkable to any natural persons, including any (contact persons of) End Users

Transaction data to be reported

Information related to actual datasets exchanged over the Peppol Network for both sent and received datasets must be collected and reported based on the following parameters:

1. Date of the exchange
2. Direction of the exchange (incoming or outgoing)
3. Sending Peppol Service Provider
4. Receiving Peppol Service Provider
5. Peppol Dataset Type (Document Type ID)
6. Transport protocol used
7. Country of sender
8. Country of receiver

PA Specific Requirements

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**PA Agreement
SP Agreement**

PA Specific Requirements
- What a PA can and cannot define in its PA Specific Requirements.
- What a PA must do to obtain approval of its PA Specific Requirements.

PA Specific Requirements
- How PA can get approval of its PA Specific Requirements.

- The possibility for a PA to define PA Specific Requirements as well as the overarching principle to be respected is defined in the PA and SP Agreements §11.

- The rules to be respected when defining PA Specific Requirements are defined in the IR (what can and cannot be done).

- The process by which a PA can obtain approval for its PA Specific Requirements, and any changes to them, is defined in the OP.

Categories of PA Specific Requirements

- There is an obligation on PAs to ensure that their PA Specific Requirements do not hamper interoperability for SPs and End Users operating actively in more than one jurisdiction or engaged in message exchange across jurisdictions
  - PA Specific Requirements may only be defined when there is a need to
    - ensure compliance with legislation, regulation, or market conditions particular to that jurisdiction, or
    - manage issues and risks as legitimately perceived by regulating authorities within the particular jurisdiction, and
    - such requirements cannot be met by those specifications or other provisions that are universally enforced through the Peppol Interoperability Framework.

- The categories for which PA Specific Requirements may be defined are defined in the IR

  - Applicable or allowed identifier or identification schemes
  - Information security
  - Information sharing

  - Mandatory use of centralised services and global specifications
  - Service Level Requirements
  - Use of local interoperability specifications
  - Service Provider Accreditation

Applicability of PA Specific Requirements

- PA Specific Requirements are part of the compliance criteria for Peppol Services offered to End Users (senders or receivers) which are legally based within the territorial jurisdiction of a PA
  - irrespectively of the location of the SP and independently of whether a SP has signed a Peppol Service Provider Agreement with that PA

Change and release Management

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**PA Agreement
SP Agreement**

Change Management Policy
- The rules applicable to change and release management for then Agreements, the IR and OP, and the technical specifications.
- Who has authority over the respective component

Change Management
- How requests for changes to the Agreements, the IR and OP, and the technical specifications are processed.
- How new releases are created and made available for use.

- The requirement to have a controlled and structured change management process for all components of the Peppol Interoperability Framework as well as the overarching principle to be respected is defined in the PA and SP Agreements §13.

- The IR takes a lifecycle approach (introduce-change-remove) to elaborates on the detailed rules and provisions to be respected for the different type of artefacts, as well as who has the authority to approve changes
  - PA and SP Agreement
  - IR and OP
  - Technical specifications

- The OP defines the detailed process for how RFCs are processed and how new releases of an artefact is made available and introduced to the market.

Release management and migration

The trade off

- The topic of release management and migration is covered as part of Change Management where several considerations are being balanced
  - Mandatory principle vs Multiple versions
  - Migration windows vs fix dates
  - Backward compatibility sender vs receiver
  - Agility vs Stability
  - Interoperability vs Specific needs
  - Migration effort, cost and time (Doc instances and SMP)
  - Single artefacts vs Bundle of artefacts
  - External dependencies like EN16931 and Codelists

Versioning and SMP registration

The proposal on the table

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- The versioning regime as defined in the annex to the IR is inspired by the concept of semantic versioning

- Major.Minor.Patch
  - Major   ->   New version of a specification
  - Minor   ->   New functionality
  - Patch   ->   Bug fixes
  - Backward compatibe or Not Backward compatibe as driving source

- SMP registration at Minor level
  - busdox-docid-qns::urn:oasis:names:specification:ubl:schema:xsd:Invoice-2::Invoice##urn:cen.eu:en16931:2017#compliant#urn:fdc:peppol.eu:2017:poacc:billing:3.0::2.1
  - busdox-docid-qns::urn:oasis:names:specification:ubl:schema:xsd:Invoice-2::Invoice##urn:cen.eu:en16931:2017#compliant#urn:fdc:peppol.eu:2017:poacc:billing:3.1::2.1

- CustomizationID at Minor level
  - urn:cen.eu:en16931:2017#compliant#urn:fdc:peppol.eu:2017:poacc:billing:3.0
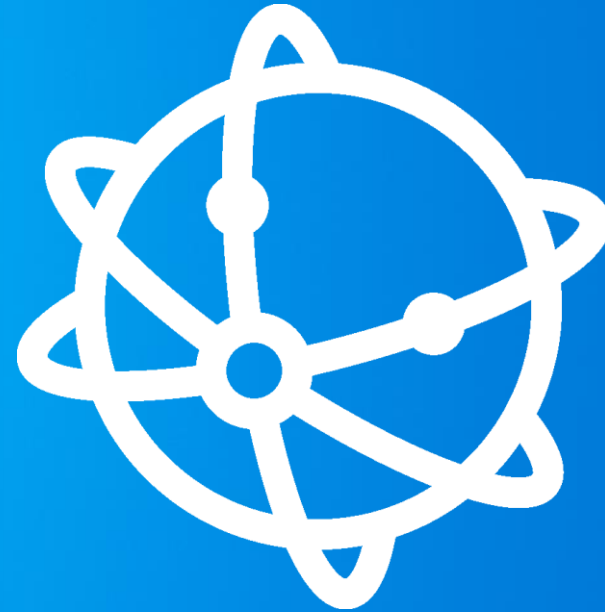 - urn:cen.eu:en16931:2017#compliant#urn:fdc:peppol.eu:2017:poacc:billing:3.1

Questions?

Good luck with the review – we are looking forward to your constructive input!

Please submit your comments using the comment log by Friday 4 June 2021 at the latest.

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THANK YOU!

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INFORMATION

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