



# Peppol

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## Guidance on Peppol Authority Specific Requirements

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**OpenPeppol AISBL**  
Rond-point Schuman 6, box 5  
1040 Brussels Belgium

[info@peppol.eu](mailto:info@peppol.eu)  
[www.peppol.eu](http://www.peppol.eu)



# 1 Peppol Authority Specific Requirements

This guidance provides an overview of the policy on Peppol Authority Specific Requirements and a template to be used by the PA to describe and submit their PASR. This template can be found in Annex 1.

The Policy on Peppol Authority Specific Requirements (PASR) is stated in the Internal Regulations on the use of the Peppol network, section 7. This Policy is in effect as of 16 November 2021 by decision of the OpenPeppol Managing Committee.

## 1.1 Policy Purpose and Overview

The purpose of this Policy is to define the rules and provisions that must be respected by all actors participating in the definition, approval and enforcement of specific requirements for the use of the Peppol Network, which are applicable within the jurisdiction of a given Peppol Authority (PA), and which will be hereinafter referred to as “PA Specific Requirements”.

This Policy contains the following parts:

1. Purpose and Overview
2. Requirements from the Peppol Agreements
3. General Provisions on the:
  - a. Definition of PA Specific Requirements
  - b. Applicability of PA Specific requirements
4. Categories of PA Specific Requirements
5. Approval of PA Specific Requirements
6. Availability of PA Specific Requirements

## 1.2 Requirements from the Peppol Agreements

In accordance with clause 11 of the Peppol Authority Agreement and the Peppol Service Provider Agreement, the Peppol Coordinating Authority has the ability to approve PA Specific Requirements applicable for a given jurisdiction (clause 11.1).

Both the Peppol Authority Agreement and Peppol Service Provider Agreement impose a strong obligation on PAs to ensure that PA Specific Requirements do not hamper interoperability for Service Providers (SPs) and End Users operating actively in more than one jurisdiction or engaged in message exchange across jurisdictions (clause 11.2).

## 1.3 General Provisions

### 1.3.1 Definition of PA Specific Requirements

1. Peppol Authorities must define PA specific requirements applicable to the use of the Peppol Network within their jurisdiction only when:
  - a. either they need to ensure compliance with legislation, regulation, or market conditions particular to that jurisdiction, or
  - b. they need to manage issues and risks as legitimately perceived by regulating authorities within the particular jurisdiction, and
  - c. in all cases, such requirements cannot be met by those specifications or other provisions that are universally enforced through the Peppol Interoperability Framework.
2. When defining and enforcing PA specific requirements, Peppol Authorities should strive to minimize the additional compliance costs and increased regulatory burden that such requirements will place on Service Providers.
3. PA specific requirements cannot be used to impose changes to any component of the Peppol Interoperability Framework but **may** be used to constrain their use, such as making an optional Peppol Dataset Type mandatory.
4. PA specific requirements **must not** be defined in a way that creates obstacles for global interoperability in the market of message exchange across jurisdictions by preventing Service Providers from offering services within a given jurisdiction, by measures such as requiring the use of specific tools or procedures that cannot be accessed by Service Providers located outside that jurisdiction.
5. PA specific requirements **must not** be defined in a way that creates obstacles for global interoperability in the market of message exchange across jurisdictions by preventing End Users based within their jurisdiction from accessing Peppol Services offered by service Providers located outside their jurisdiction, or from exchanging datasets with End Users in other jurisdictions.
6. The provisions in this section will constitute criteria for the approval of the PA specific requirements by the Managing Committee and must be taken into account when the OO produces a Compliance Report which will form the basis for an MC decision, as described in section 7.5.

### 1.3.2 Applicability of PA Specific Requirements

1. PA specific requirements apply to Peppol Services offered to End Users (senders or receivers) which are legally based within the territorial jurisdiction of a Peppol Authority.

2. PA specific requirements must be respected by all Service Providers who provide Peppol Services to End Users (senders or receivers) which are legally based within the territorial jurisdiction of a Peppol Authority, irrespectively of the location of the Service Provider and independently of whether a Service Provider has signed a Peppol Service Provider Agreement with that Peppol Authority.
3. For the avoidance of doubt, PA specific requirements apply to all Service Providers who provide Peppol Services to End Users (senders or receivers) within the PA's jurisdiction, and not only to the Service Providers who have signed an agreement with that Peppol Authority.

## 1.4 Categories of PA Specific Requirements

PA Specific Requirements may be defined along the following categories:

1. Applicable or allowed identifier or identification schemes
2. Information security
3. Reporting on End User information and transaction statistics
4. Mandatory use of centralised services and global specifications
5. Service Level Requirements
6. Use of local interoperability specifications
7. Service Provider Accreditation

### 1.4.1 Applicable or allowed identifier or identification schemes

1. A Peppol Authority may need to express specific requirements related to the actual use of one or more specific identifier schemes for End Users legally based in its jurisdiction, such as a VAT number (or other unique and official identifier).
2. Only identification schemes allowed according to the Peppol Policy for Identifiers may be mandated as PA specific requirements.
3. Further to the provisions included in the Entity Identification Policy as set out in chapter 3, a Peppol Authority may however see a need to define and enforce further requirements, such as the use of a specific authoritative source for verification of Entity identification within the Jurisdiction.
4. If a Peppol Authority defines and enforce PA Specific Requirements under this category, it must provide sufficient information, guidance and access to any tools and resources necessary to enforce identification and verification obligations as stated in the Entity Identification Policy (chapter 3).

### 1.4.2 Information security

1. Any requirements on Information Security above and beyond what is stated in the Peppol Architectural Framework, which a Peppol Authority wants to enforce, must be defined, or incorporated by reference as part of the PA Specific Requirements.

### 1.4.3 Reporting on End User information and transaction statistics

1. A Peppol Authority may require, as part of its PA specific requirements, to establish mechanism for Service Provider within their reporting on End User information and/or statistics on transactions.
2. Such PA specific requirements shall be possible until a uniform reporting mechanism is adopted throughout the Peppol Network.

### 1.4.4 Mandatory use of centralised services and global specifications

1. A Peppol Authority **may** require, as part of its PA specific requirements, the use of centralised Peppol Addressing and Capability Look-up services for all or specific type of End Users legally based within its territorial jurisdiction. In such an event, the Peppol Authority must provide sufficient information/guidance for Service Providers, as well as access to all relevant tools or procedures.
2. A Peppol Authority may make the use of the Peppol Directory mandatory for End Users which are legally based within its territorial jurisdiction.
3. A Peppol Authority may make the use of optional global specifications (e.g. Invoice Response) mandatory for End Users which are legally based within its territorial jurisdiction.

### 1.4.5 Service Level Requirements

1. A Peppol Authority **may** apply, within its jurisdiction, stricter Service Level Requirements than those foreseen in the Peppol Interoperability Framework.

### 1.4.6 Use of local interoperability specifications

1. A Peppol Authority may request the use of local datasets or other interoperability specifications within its jurisdiction.
2. PA specific requirements under this category must comply with the requirements for Extended Use of Peppol as set out in Chapter 8 and, more particularly, to the general provisions for Extended Use and specific provisions relevant to Local Extension.

3. The Peppol Coordinating Authority may grant an exception to the obligation for End Users to support the relevant Peppol BIS, subject to the provisions outlined in clause 12.3 of the Peppol Authority Agreement and Peppol Service Provider Agreement.

#### **1.4.7 Service Provider Accreditation**

1. Clause 11.3 of the Peppol Authority Agreement and Service Provider Agreement provides the PA with the authority to define and enforce its own specific accreditation scheme to ensure compliance to their PA Specific Requirements.
2. The use of any such accreditation scheme to be enforced by the Peppol Authority must be defined or incorporated by reference as part of the PA Specific Requirements.

### **1.5 Approval of PA Specific Requirements**

1. Before coming into effect, any newly developed or modified PA Specific Requirements:
  - d. must undergo a compliance review by the Operating Office, in order to ensure that they respect the rules and provisions included in this Policy,
  - e. must be made available to other Peppol Authorities and the Service Providers for review, and
  - f. must be approved by the OpenPeppol Managing Committee.
2. The Peppol Authority responsible for the PA Specific Requirements should, to the extent possible, address the feed-back and comments provided through the review by other PAs and SPs before submitting the final version of its proposed PA Specific requirements for approval by the OpenPeppol Managing Committee.
3. The Compliance Report and recommendation from the Operating Office must be made available to the Managing Committee as part of the basis for decision together with the final version of the proposed PA Specific Requirements.
4. For PA specific requirements on the use of local interoperability standards, the provision of Extended Use (chapter 8) applies to the approval process.
5. In case PA specific requirements that fall into the category of “Mandatory use of centralised services and global specifications” (section 7.4.4) and a similar precedent has already been established for other Peppol Authorities, these will be approved automatically without involving the OpenPeppol Managing Committee. They will be directly published as part of PA specific requirements within the Peppol Interoperability Framework by the Operating Office, which will

be acting in a delegated role to facilitate the process. The provisions included under points 1b and 2 above in this section still apply

## **1.6 Availability of PA Specific Requirements**

In accordance with clause 11.1 of the Peppol Authority Agreement and the Peppol Service Provider Agreement, PA Specific Requirements will be documented as part of the Peppol Interoperability Framework.

OpenPeppol shall be responsible for publishing all PA specific requirements on the Peppol website as part of the Peppol Interoperability Framework description.

## Annex A – Template for PA Specific Requirements

### PA Specific Requirements

*This annex is to be used to describe the PASR. To start the procedure of approval of the PASR the filled out annex must be submitted as an RFC to the service desk.*

*In clause 1.4 the categories are stated in which a Peppol Authority can define specific requirements. Guidance has been provided to PAs in completing this template to give a level of consistency for greater transparency and easier comparison across all PA Specific Requirements.*

*Generally:*

*Applicable: indicates if the specific requirement type in the next column is applicable or not (yes/no).*

*Detailed description: used to describe the details of the PA Specific Requirements. The PA will define the exact nature of its specific requirements, with reference to any specific legislative, regulatory, technical, or other relevant documents or specifications.*

### Applicable Jurisdiction

The applicability of Peppol Authority Specific Requirements is stated in clause 7.3.2 of Internal Regulations for Use of the Peppol Network.

|   |   |
|---|---|
| <b>Territorial coverage of the Peppol Authority</b>                           | <Identification of the territory within which the role, responsibilities and specific requirements of the Peppol Authority apply>   |
| <b>Peppol Service Domain coverage of the Peppol Authority</b>                 | <A list of the Peppol Service Domains within which the role, responsibilities and specific requirements of the Peppol Authority apply. Choose from the following Peppol Service Domains: <ul style="list-style-type: none"> <li>• Pre-award Procurement</li> <li>• Post-award Procurement</li> </ul> Addressing and capability look up> |
| <b>If applicable, Peppol Service Domains specific to the Peppol Authority</b> | <A list of Peppol Service Domains that may have been established as specific to the territorial jurisdiction of the Peppol Authority, such as National Service Domains>   |



### 1. Applicable or allowed identifier or identification schemes

| Applicable    | Detailed description   |
|---------------|--|
| Please choose | <i>In clause 1.4.1 of this guidance document the details of this category is stated.</i> |

### 2. Information Security

| Applicable    | Detailed description  |
|---------------|---|
| Please choose | <i>In clause 1.4.2 of this guidance document the details of this category are stated.</i> |

### 3. Reporting on End User information and transaction statistics

| Applicable    | Detailed description  |
|---------------|---|
| Please choose | <i>In clause 1.4.3 of this guidance document the details of this category are stated.</i> |

### 4. Mandatory use of centralised services and global specifications

| Applicable    | Detailed description  |
|---------------|---|
| Please choose | <i>In clause 1.4.4 of this guidance document the details of this category are stated.</i> |

### 5. Service Level Requirements

| Applicable    | Detailed description  |
|---------------|---|
| Please choose | <i>In clause 1.4.5 of this guidance document the details of this category are stated.</i> |

### 6. Use of local interoperability specifications

| Applicable    | Detailed description  |
|---------------|---|
| Please choose | <i>In clause 1.4.6 of this guidance document the details of this category are stated.</i> |

## 7. Service Provider Accreditation

| Applicable           | Detailed description  |
|----------------------|---|
| <b>Please choose</b> | <i>In clause 1.4.7 of this guidance document the details of this category are stated.</i> |