Operational Procedures

Change Management

Version: 1.0
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Rond-point Schuman 6, box 5, 1040 Brussels, Belgium   www.peppol.eu
Corporate identification number 0848.934.496 (Register of Legal Entities Brussels).

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Version control

Version	Date	Comments
1.0	**15**.0**2**.202**2**	Approved by the OpenPeppol Managing Committee (MC161 meeting)

List of Terms and Abbreviations

Term	Definition
Business days	Business days will be in determined by the location of the Peppol Co-ordinating Authority
APP CMB	Agreements, Policies and Procedures Change Management Board
CC	OpenPeppol Coordinating Committee
CMB	Change Management Board
MC	OpenPeppol Managing Committee
OO	OpenPeppol Operating Office
PA	Peppol Authority
PAC	Peppol Authority Community
PCA	Peppol Coordinating Authority (OpenPeppol AISBL)
RFC	Request for Change
SML	Service Metadata Locator
SP	Peppol Service Provider

The procedures included in this document expand on the legal obligations assumed through the Peppol Agreements, and the rules and provisions in the OpenPeppol AISBL Internal Regulations for Use of the Peppol Network.

This Operational Procedure provides operational details for the implementation of the Peppol Agreements and the Policies contained in the OpenPeppol AISBL Internal Regulations for Use of the Peppol Network.

In case of any doubt or the appearance of conflict, the Peppol Agreements shall take precedence over the Policies contained in the OpenPeppol Internal Regulations for the

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Rond-point Schuman 6, box 5, 1040 Brussels, Belgium
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Use of the Peppol Network and these will take precedence over the OpenPeppol Operational Procedures.

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1 Purpose

This document sets out the processes and procedures for managing improvements or refinement to the Peppol Interoperability Framework, which are set out in three groups of documents and artefacts (and associated infrastructure):

- Architectural documents and specifications (technical artefacts).

- Internal regulations (including policies) and operational procedures.

- Agreements (Peppol Authority Agreement or Service Provider Agreement).

Out of scope

- **PA specific requirements** – introduction or updates to PA specific requirements are managed via the PA Specific Requirements operational procedure.

- **Issue and Incident Reporting and Management** – is managed via the Issue and Incident Reporting and Management operational procedures.

2 Introduction

All organisations need the ability to progress and evolve. This is especially important for organisations which manage technology-based products.

The processes and procedures set out in this document aim to ensure transparency and consistency of approach to managing changes, including consultation, decisions to approve (or deny) any change proposals, and to ensure appropriate awareness of approved changes.

The policies on Change Management are stated in Internal Regulations for Use of the Peppol Network (chapter 2).

3 Process Overview

All changes to artefacts in the Peppol Interoperability Framework must be managed via the processes set out in this document. This will help to ensure consistency and transparency of processes and the appropriate oversight, consultation, and decision-making is undertaken.

Separate process flows apply based on the document being change managed. This allows for flexibility and responsiveness for architectural artefacts and stronger protections for legal artefacts.

Separate process flows apply to the following:

- Architectural documents and specifications (technical artefacts).

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- Internal regulations (including policies) and operational procedures.
- Agreements (Peppol Authority Agreement or Service Provider Agreement).

4 Changes requiring urgent action

Urgent action can be requested by directly contacting the OO. If urgent action is required, the change will be prioritised for action, may be managed in an expediated manner. This could involve reducing consultation timeframes and significantly reduced timeframes for provision of feedback.

5 Technical Artefacts

The following table provides an overview of the key process steps for managing changes to technical artefacts. The table is a general representation of the process flow. Some steps can be undertaken in parallel and do not need to be completed in strict order.

	Step	Description	Responsibility
1	Raise request for change (RFC)	A request for change (RFC) is raised to initiate the process.	OpenPeppol Member, Relevant CMB or the PCA
2	Register RFC	The RFC is registered and placed on the RFC register.	OpenPeppol Operating Office
3	Preliminary analysis	Preliminary analysis is undertaken, which will assist in determining which change management board (CMB) the RFC should be allocated to.	OpenPeppol Operating Office
4	Allocate RFC	The RFC is allocated to the appropriate CMB.	OpenPeppol Operating Office
5	Initial assessment	The CMB will undertake an initial assessment to determine whether to proceed with an impact assessment.	Change Management Board
6	Impact assessment	Impact assessment is undertaken, in consultation with the affected community(s).	Change Management Board
7	Decision	The CMB will approve or reject the change.	Change Management Board

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| 8 | Implementation and Migration | The CMB will instruct the OO to publish and undertake the Migration Plan. | Change Management Board |

5.1 Raise request for change (RFC)

Any OpenPeppol Member, the relevant CMB or the PCA can submit a request for change. The submitter can initiate the process by:

1. Submitting an RFC through the Peppol service desk.

    Attaching any draft documents.

    These can be early drafts / working versions of any proposed changes.

The OO can initiate the process by:

1. Completing an RFC.

    For example, the OO may identify areas for refinement or improvement. This could occur from any of their activities, including compliance activities, issue and incident management, or operational activities.

5.2 Register RFC

The OO will:

1. Register the RFC on the RFC Register.

2. Inform the submitter that the RFC has been registered.

3. Ensure the updated RFC Register is accessible by OpenPeppol Members.

5.3 Preliminary analysis

The OO will:

1. Conduct an initial analysis based on the information submitted in the RFC to determine if any further information or clarification is required.

2. Organise and meet with the submitter to understand details or clarify any matters.

3. Undertake initial scoping to identify if the RFC will require a change to one or more of the artefact groups:

    a. Architectural documents and specifications (technical artefacts).

    b. Internal regulations (including policies) and operational procedures.

    c. Agreements (Peppol Authority Agreement or Service Provider Agreement).

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Rond-point Schuman 6, box 5, 1040 Brussels, Belgium
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4. Inform the submitter that the preliminary analysis is complete.

5. Update the RFC Register.

5.4 Allocate RFC

Based on preliminary analysis, the OO will:

1. Allocate the RFC to:

    The appropriate Change Management Board (CMB).

    Where an RFC relating to a technical artefact also requires a change to the agreement or policy(s), the change to the agreement, or policy(s), must be approved before the RFC for the technical artefact can be approved.

2. Notify the submitter that the RFC has been allocated.

    Contact details for the CMB will be provided to the RFC submitter.

3. Update the RFC Register.

5.5 Initial assessment

The CMB will:

1. Undertake an initial analysis on the nature of the RFC based on the RFC submission and the Preliminary Analysis undertaken by the OO when developing the material, to determine whether:

    a. The change should proceed to consultation.

        i. The CMB will inform the submitter that the change will proceed to consultation.

        ii. The CMB will update the RFC Register.

    b. The change should be rejected.

        i. The CMB will provide reasons for any decision to reject an RFC. The outcome and these reasons will be recorded, and the RFC will be closed.

        ii. The CMB will inform the submitter that the change will be rejected.

        iii. The CMB will update the RFC Register.

5.6 Impact assessment

The CMB will:

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1. Co-ordinate the development of the following materials to facilitate an impact assessment. This includes:

    a. Explanation of the changes and why they are being proposed, including the main benefits of the change.

    b. Proposed updates to artefacts, with tracked changes (if applicable).

    c. Developing a draft Migration Plan with consideration to the essence of the change:

        i. Introduction of a New technical artefact.

        ii. Releasing a New Version of an Existing technical artefact (with consideration to whether these are a major release, minor release, or correction).

        iii. Removing a technical artefact.

    d. The draft Migration Plan must include any applicable elements:

        i. When the new/updated artefact(s) will be introduced as optional.

        ii. When the new/updated artefact(s) will become mandatory.

        iii. When the old artefact(s) will become optional.

        iv. When the old artefact(s) will be no longer supported.

        v. When the old artefact(s) will be removed from the Peppol network

        vi. Whether the change is backwards compatible or not.

        vii. Whether it is a bug fix/error correction or a more significant change.

        viii. Which OpenPeppol Members the artefact(s) impacts and how they are impacted.

        ix. What the expectation is of impacted members at each of steps 1-5.

        x. What support is required to enable migration.

        Migration Plans must adhere to the minimum release timeframes in Section 2 of the Internal Regulations.

        Note, migrations to new versions or instances of essential infrastructure, e.g. Service Metadata Locator (SML), may have different migration processes and steps, provided that there are compelling reasons to do so.

    e. Any potential impacts identified so far.

    f. Any licencing considerations.

    g. Any other support materials.

        The CMB may consult with stakeholders for the development of the material.

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2. Conduct consultation:

   a. The CMB will circulate the material developed above to the Domain Community to which it belongs for consultation for a period as defined in Section 2 of the Internal Regulations for Use of the Peppol Network, depending on the complexity and nature of the change.

      Note: the CMB can choose to consult on an RFC individually or together with other RFCs.

   b. The consultation will help the CMB to understand the impact of the change, including:

      i. Who will be affected, and the extent of the impact/s to each stakeholder group (i.e. cost benefit analysis to different stakeholders).

      ii. Any issues/risks, including to interoperability, network integrity, security, Peppol reputation, or legal liability.

      iii. Any possible conflicts with existing Peppol Interoperability Framework components.

      iv. Whether the draft migration plan is appropriate.

   c. The CMB must consult with the Domain Community to which it belongs.

   d. The CMB may arrange to meet with OpenPeppol Members if required during the consultation period to allow for involvement and participation of those who will be affected by the change. This could be via existing forums or communities which the original CMB will facilitate.

   e. If the CMB or any stakeholder identifies that the RFC, or its proposed resolution, could have cross-Community relevance or strategic implications, or where the RFC concerns the removal of a technical artefact, the CMB must escalate these matters. This can happen at any time before a decision is made.

   f. If, as a result of the consultation, the CMB identifies that the desired resolution to the RFC is significantly different to that which was originally consulted on, the CMB may, at its sole discretion, initiate another round of consultation.

3. During and following the consultation period the CMB will work with stakeholders to reconcile any conflicts. This could include:

   a. Undertaking further analysis.

   b. Amending draft artefacts, migrations plans or support materials.

   c. Escalating matters to the CC.

   d. Initiating a separate RFC if other changes are identified.

4. Following the consultation process the, CMB will:

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a. Document the impact assessment, including input and feedback from stakeholders.

b. Notify the submitter that the impact assessment has been completed.

c. Update the RFC Register.

5. Where the CMB escalates a matter to the CC, the CC will:

a. Seek consensus amongst Community Leaders and provide this consensus response on the matter(s) to the CMB within a reasonable period of time, depending on the complexity and nature of the change.

6. Where the CC cannot reach a consensus, or the matter is deemed strategic, the CC will escalate to the OpenPeppol Managing Committee (MC) where the MC will:

a. Provide a response on the matter(s) to the CMB within a reasonable period of time, depending on the complexity and nature of the change.

5.7 Decision

The CMB will:

1. Invite the submitter to present the RFC if deemed necessary.

   This will provide an opportunity to hear about the RFC in more detail, and for the CMB to ask any questions which may assist the CMB to understand the RFC, or assist with making the decision.

2. Make a decision whether to endorse or reject the RFC.

3. Provide reasoning for its decision.

4. Update the RFC register with the decision and reasoning if applicable.

5. Notify the submitter of the CMB decision.

6. Inform the submitter of their right to escalate the decision.

7. Notify all OpenPeppol Members, usually within 2 business days of the CMB decision.

 If the CMB approved the RFC, this notification will outline the next steps.

Any member can:

1. Request a detailed explanation of the reasons for the CMB decision, including issues, risks.

2. Amend the RFC to address any concerns from the CMB. They will:

a. Notify the CMB of the intent to amend the RFC.

b. Submit the amendments to the CMB.

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Rond-point Schuman 6, box 5, 1040 Brussels, Belgium
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3. An Escalation on the decision can be initiated as described in the Internal Regulations (ch 2.2.2.3.4)

    a. Escalation must be substantiated with:

        i. Reasons for the escalation.

        ii. A suggested course of action.

Where a submitter wishes to amend the RFC, the CMB will:

1. Assist the submitter to amend the RFC to address its concerns.

2. Facilitate additional consultation for any substantive or material changes.

3. Re-assess the amended RFC as appropriate.

Where a decision is escalated to the CC, the CC will:

1. Seek consensus amongst Community Leaders and provide this consensus response on the matter(s) to the CMB within a reasonable period of time, depending on the complexity and nature of the change.

2. Where consensus cannot be reached, or the matter is deemed strategic:

    a. Escalate the decision to the MC.

        i. This escalation will be substantiated with:

            1. Reasons for the escalation

            2. Suggested courses of action defined by the Domain Leaders with differing views where consensus could not be reached.

3. Where consensus is reached:

    a. The CC may recommend the CMB approve the RFC based on the consensus reached, with further action to be undertaken in accordance with this procedure.

    b. If the CC supports the decision to reject the RFC, the CC will:

        i. Provide reasons for its decision.

The CMB will

1. Communicate the outcome of the escalation(s) to the party requesting the escalation.

2. Inform the party requesting the escalation of their right to escalate the decision to the MC.

3. Update the RFC Register with the RFC status and reasons for decision if applicable.

Where a decision is escalated to the MC, the MC will:

1. Provide a decision on the matter(s) in a reasonable period of time, depending on the complexity and nature of the change.

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2. The MC may instruct the CMB to approve the RFC, with further action to be undertaken in accordance with this procedure.

3. If the MC supports the decision to reject the RFC, the MC will:

    a. Provide reasons for its decision.

4. Communicate the decision to the CMB and CC.

The CMB will

1. Communicate the outcome of the escalation(s) to the party requesting the escalation.

2. Inform the party requesting the escalation that there is no further escalation available.

3. Update the RFC Register with the RFC status and reasons for decision if applicable.

4. Develop the approved RFC.

5.8 Implementation and Migration

The CMB will:

1. Instruct the OO to publish the Migration Plan.

2. Instruct the OO to carry out their activities specified in the Migration Plan.

3. Nominate a community member to attend Peppol community meeting(s) where affected members are to discuss the release including the pathway to mandatory adoption of new/updated artefact and phase out of the existing artefact in accordance with the Migration Plan.

4. Develop any additional support material required to accompany the artefact, e.g. explanatory material, scenarios, diagrams.

5. Monitor and track progress against the Migration Plan, including collection of any statistics on migration.

6. Remind OpenPeppol Members within a reasonable period prior to the new/updated artefact becoming mandatory and the old artefact being phased out.

7. Refer any SP who has not discontinued use of the previous artefact to the non-compliance process.

The OO will:

1. Contact OpenPeppol Members by email and inform them of the Migration Plan.

2. Publish artefacts and support material according to the schedule of the Migration Plan.

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3. Contact OpenPeppol Members by email when new/updated artefacts and support material are published according to the schedule of the Migration Plan.

6 Internal Regulations and Operating Procedures

The following table provides an overview of the key process steps for managing changes to internal regulations and operating procedures. The table is a general representation of the process flow. Some steps can be undertaken in parallel and do not need to be completed in strict order.

	Step	Description	Responsibility
1	Raise request for change (RFC)	A request for change (RFC) is raised to initiate the process.	OpenPeppol Member, Relevant CMB or the PCA
2	Register RFC	The RFC is registered and placed on the RFC register.	OpenPeppol Operating Office
3	Preliminary analysis	Preliminary analysis is undertaken, which assists in allocating to the correct CMB.	OpenPeppol Operating Office
4	Allocate RFC	The RFC is allocated to the Agreements, Policies and Procedures (APP) CMB.	OpenPeppol Operating Office
5	Initial assessment	The CMB will undertake an initial assessment to determine whether to proceed with an impact assessment.	APP Change Management Board or Managing Committee
6	Impact assessment	Impact assessment is undertaken, in consultation with the affected community(s).	APP Change Management Board
7	Decision	The MC approves or rejects the change.	Managing Committee
8	Implementation and Migration	The CMB will instruct the OO to publish and undertake the Migration Plan.	Change Management Board

OpenPeppol AISBL
Rond-point Schuman 6, box 5, 1040 Brussels, Belgium
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6.1 Raise request for change (RFC)

Any OpenPeppol Member, the APP CMB or the Peppol Coordinating Authority can submit a request for change. The submitter can initiate the process by:

1. Submitting an RFC through the Peppol Service Desk

2. Attaching any draft documents.

   These can be early drafts / working versions of any proposed changes.

The OO can, on behalf of the Peppol Coordinating Authority, initiate the process by:

1. Completing an RFC.

   For example, the OO may identify areas for refinement or improvement. This could occur from any of their activities, including compliance activities, issue and incident management, or operational activities.

6.2 Register RFC

The OO will:

1. Register the RFC on the RFC Register.

2. The RFC Register shall be published to be accessible by OpenPeppol Members.

6.3 Preliminary analysis

The OO will:

1. Conduct an initial analysis based on the information submitted in the RFC to determine if any further information or clarification is required.

2. Organise and meet with the submitter to understand details or clarify any matters.

3. Undertake initial scoping to identify if the RFC will require a change to one or more of the artefact groups:

   a. Architectural documents and specifications (technical artefacts).

   b. Internal regulations (including policies) and operational procedures.

   c. Agreements (Peppol Authority Agreement or Service Provider Agreement).

4. Inform the submitter that the preliminary analysis is complete.

5. Update the RFC Register.

6.4 Allocate RFC

Based on preliminary analysis, the OO will:

OpenPeppol AISBL
Rond-point Schuman 6, box 5, 1040 Brussels, Belgium
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1. Allocate the RFC to the APP CMB

2. Notify the submitter that the RFC has been allocated.

   Contact details for the CMB will be provided to the RFC submitter.

3. Update the RFC Register

6.5 Initial assessment

RFCs related to an existing policy or procedure are approved by the APP CMB. The CMB will:

1. Undertake an initial analysis on the nature of the RFC based on the RFC submission and the Preliminary Analysis undertaken by the OO when developing the material, to determine whether:

   a. The change should proceed to consultation.

      i. The CMB will inform the submitter that the change will proceed to consultation.

      ii. The CMB will update the RFC Register.

   b. The change should be rejected.

      i. The CMB will provide reasons for any decision to reject an RFC. The outcome and these reasons will be recorded, and the RFC will be closed.

      ii. The CMB will inform the submitter that the change will be rejected.

      iii. The CMB will organise with the OO to update the RFC Register.

RFCs for new policies/procedures are approved by the MC. Where the RFC is for a new policy or procedure, the CMB will:

1. Invite the submitter to present the RFC.

   This will provide an opportunity to hear about the RFC in more detail, and for the CMB to ask any questions which may assist them to understand the RFC or assist in making a recommendation.

2. Make a recommendation to the MC to endorse or reject the RFC.

3. Provide reasoning for its decision.

4. Instruct the OO to update the RFC Register with the recommendation and reasoning if applicable.

5. Organise for the recommendation to be discussed at the next MC meeting.

The MC will:

OpenPeppol AISBL
Rond-point Schuman 6, box 5, 1040 Brussels, Belgium
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1. Invite the submitter or the CMB to present the RFC.

   This will provide an opportunity to hear about the RFC in more detail, and for the MC to ask any questions which may assist them to understand the RFC or assist in making a decision.

2. Make a decision to endorse or reject the RFC.

3. Provide this decision to the CMB.

The CMB will:

1. Update the RFC Register with the decision and reasoning if applicable.

2. Notify the submitter of the MC decision.

3. Notify all OpenPeppol Members, usually within 2 business days, of the MC decision.

4. If the MC approved the RFC on this initial assessment the process below will be followed.

6.6 Impact assessment

The CMB will:

1. Co-ordinate the development of the following materials to facilitate an impact assessment. This includes:

   a. Explanation of the changes and why they are being proposed, including the main benefits of the change.

   b. Proposed updates to artefacts, with tracked changes (if applicable).

   c. Developing a draft Migration plan with consideration to the essence of the change:

      i. Introduction of a new rule/obligation.

      ii. Releasing a New Version of an Existing rule/obligation (with consideration as to whether it is a major release, minor release, or an amendment)

      iii. Removing a rule/obligation.

   d. Draft Migration Plan (if applicable) which must include:

      i. When the new/updated rules or obligations(s) will be introduced.

      ii. When the new/updated rules or obligations(s) come into effect, taking into account implementation constraints.

      iii. When the new/updated rules or obligations(s) become obsolete.

      iv. Which OpenPeppol Members and stakeholders the new/updated rules or obligations(s) impacts and how they are impacted.

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     v. What the expectation is of impacted members at steps i-iii.

     vi. What support is required to enable migration.

> Migration Plans must adhere to the minimum release timeframes in Section 2 of the Internal Regulations for Use of the Peppol Network.

  e. Any potential impacts identified so far.

  f. Any other support materials.

> The CMB may consult with stakeholders for the development of the material.

2. Conduct consultation:

  a. The CMB will consult with relevant communities through the CC for consultation for a period as defined in Section 2 of the Internal Regulations for Use of the Peppol Network.

> The CMB or the CC can extend the consultation to wider member consultation if deemed relevant.

> Note: the CMB can choose to consult on an RFC individually or together with other RFCs.

  b. The consultation will help the CMB to understand the impact of the change, including:

     i. Who will be affected, and the extent of the impact/s to each stakeholder group (i.e. cost benefit analysis to different stakeholders).

     ii. Any issues/risks, including to interoperability, network integrity, security, Peppol reputation, or legal liability.

     iii. Any possible conflicts with existing Peppol Interoperability Framework components.

     iv. Whether the draft Migration Plan is appropriate.

  c. The CMB may arrange to meet with OpenPeppol Members if required during the consultation period. This could be via existing forums or communities.

> The CMB will facilitate consultation with stakeholders.

> If the CMB or any stakeholder identifies that the RFC, or its proposed resolution, could have cross-Community relevance or strategic implications, or in the case of removal of a policy or procedure, the CMB will consult with the OpenPeppol Coordinating Committee and all other relevant member communities.

3. During and following the consultation period the CMB will work with stakeholders to reconcile any conflicts. This could include:

  a. Undertaking further analysis.

OpenPeppol AISBL
Rond-point Schuman 6, box 5, 1040 Brussels, Belgium
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b. Amending draft artefacts, migrations plans or support materials.

c. Escalating matters to the CC.

d. Initiating a separate RFC if other changes are identified.

4. Following the consultation process the, CMB will:

a. Document the impact assessment, including input and feedback from stakeholders.

b. Make available a comment log with documented responses to each comment.

c. Notify the submitter that the impact assessment has been completed.

d. Update the RFC Register.

Where the CMB escalates a matter to the CC, the CC will:

1. Seek consensus amongst Community Leaders and provide this consensus response on the matter(s) in a reasonable period of time, depending on the complexity and nature of the change.

Where the CC cannot reach a consensus, or the matter has strategic implications, it will escalate the matter to the MC, where the MC will:

1. Provide a response on the matter(s) to the CMB within a reasonable period of time, depending on the complexity and nature of the change.

6.7 Decision

Where the RFC is for an existing policy/procedure or for the removal of one, the CMB will:

1. Invite the submitter to present the RFC.

    This will provide an opportunity to hear about the RFC in more detail, and for the CMB to ask any questions which may assist them to understand the RFC or with making the decision.

2. Make a decision to endorse or reject the RFC.

3. Provide reasoning for its decision.

4. Update the RFC register with the decision and reasoning if applicable.

5. Notify the submitter of the CMB decision.

6. Inform the submitter of their right to escalate the decision.

7. Notify all OpenPeppol Members, usually within 2 business days, of the CMB decision

    If the CMB approved the RFC, the notification will outline the next steps.

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For any RFC type, any member can:

1. Request a detailed explanation of the reasons for the CMB or MC decision, including issues, risks.

2. Amend the RFC to address any concerns from the CMB or MC. They will:

    a. Notify the CMB of the intent to amend the RFC.

        i. Submit the amendments to the CMB.

        ii. Escalate the decision.

    b. Escalations must be substantiated with:

        i. Reasons for the escalation.

        ii. A suggested course of action.

Where a decision is escalated to the CC, the CC will:

1. Seek consensus amongst Community Leaders and provide this consensus response on the matter(s) in a reasonable period of time, depending on the complexity and nature of the change.

2. Where a consensus cannot be reached, or the matter is deemed strategic:

    a. Escalate the decision to MC.

        i. This escalation will be substantiated with

            1. Reasons for the escalation

            2. Suggested courses of action defined by the Domain Leaders with differing views where consensus could not be reached.

3. Where consensus is reached

    a. The CC may recommend the CMB to approve the RFC based on the consensus reached, with further action to be undertaken in accordance to this procedure.

    b. If the CC supports the decision to reject the RFC the CC will:

        i. Provide reasons for its decision.

The CMB will

1. Communicate the outcomes of the escalation(s) to the party escalating.

2. Inform the escalating party of their right to escalate the decision to the MC.

3. Update the RFC Register with the RFC status and reasons for decision if applicable.

Where a decision is escalated to the MC, the MC will:

1. Provide a decision on the matter(s) in a reasonable period of time, depending on the complexity and nature of the change.

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2. The MC may instruct the CMB to approve the RFC, with further action to be undertaken in accordance with this procedure.

3. If the MC supports the decision to reject the RFC, the MC will:

   a. Provide reasons for its decision.

4. Communicate the decision to the CMB and CC.

The CMB will:

1. Communicate the outcome of the escalation(s) to the party escalating.

2. Inform the escalating party that there is no further escalation available.

3. Update the RFC Register with the RFC status and reasons for decision if applicable.

The MC will:

1. Decide on the final version of the RFC presented by the CMB. Implementation of a new release of a policy or procedure can only be done after approval of the MC.

6.8 Implementation and Migration

When the MC has decided to implement a new release of a policy or procedure the CMB will:

1. Instruct the OO to publish the Migration Plan.

2. Instruct the OO to carry out their activities specified in the Migration Plan.

3. Nominate a community member to attend Peppol community meeting(s) where affected members are to discuss the release including the pathway to mandatory adoption of a new/updated artefact and phase out of the existing artefact in accordance with the Migration Plan.

4. Develop any additional support material required to accompany the artefact, e.g. explanatory material, scenarios, diagrams.

5. Monitor and track progress against the Migration Plan, including collection of any statistics on migration.

6. Remind OpenPeppol Members within a reasonable period prior to the new/updated artefact becoming mandatory and the old artefact being phased out.

7. Refer any Service Providers who have not discontinued use of the previous artefact to the non-compliance process.

The OO will:

1. Contact OpenPeppol Members by email and inform them of the Migration Plan.

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2. Publish artefacts and support materials according to the schedule of the Migration Plan.

3. Contact OpenPeppol Members by email when new/updated artefacts and support materials are published according to the schedule of the Migration Plan.

7   Agreements

The following table provides an overview the key process steps for managing changes to Agreements (Peppol Authority Agreement and Service Provider Agreement). The table is a general representation of the process flow. Some steps can be undertaken in parallel and do not need to be completed in strict order.

	Step	Description	Responsibility
1	Raise request for change (RFC)	A request for change (RFC) is raised to initiate the process.	PA, SP or the PCA
2	Register RFC	The RFC is registered and placed on the RFC Register.	OpenPeppol Operating Office
3	Preliminary analysis	Preliminary analysis is undertaken, which will assist in determining which CMB the RFC should be allocated to.	OpenPeppol Operating Office
4	Allocate RFC	The RFC is allocated to the Agreements, Policies and Procedures (APP CMB).	OpenPeppol Operating Office
5	Initial assessment	The CMB will undertake an initial assessment to determine whether to proceed with an impact assessment.	Change Management Board
6	Impact assessment	Impact assessment is undertaken, in consultation with the affected communities.	Change Management Board
7	CMB Decision	The CMB will decide whether to approve the change and escalate to the MC or reject the change.	APP Change Management Board
8	MC Decision	The MC will approve the change for PA voting or reject the change.	OpenPeppol Management Committee
9	PA Decision	The PAs will vote to approve or reject the change.	Peppol Authorities

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| 10 | Implementation and Migration | The CMB will instruct the OO to publish and undertake the Migration Plan. | Change Management Board |

7.1 Raise request for change (RFC)

Any PA, SP or the Peppol Coordinating Authority can submit a request for change. The submitter can initiate the process by:

1. Submitting an RFC through the Peppol Service Desk

2. Attaching any draft documents.

    These can be early drafts / working versions of any proposed changes.

The OO can, on behalf of the Peppol Coordinating Authority, initiate the process by:

1. Completing an RFC.

    For example, the OO may identify areas for refinement or improvement. This could occur from any of their activities, including compliance activities, issue and incident management, or operational activities.

7.2 Register RFC

The OO will:

1. Register the RFC on the RFC Register.

2. Inform the submitter that the RFC has been registered.

3. Ensure the updated RFC Register is accessible by Open Peppol Members.

7.3 Preliminary analysis

The OO will:

1. Conduct an initial analysis based on the information submitted in the RFC to determine if any further information or clarification is required.

2. Organise and meet with the submitter to understand details or clarify any matters.

3. Undertake initial scoping to identify if the RFC will require a change to one or more of the artefact groups:

    a. Architectural documents and specifications (technical artefacts).

    b. Internal regulations (including policies) and operational procedures.

    c. Agreements (Peppol Authority Agreement or Service Provider Agreement).

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4. Inform the submitter that the preliminary analysis is complete.

5. Update the RFC Register.

7.4 Allocate RFC

Based on preliminary analysis, the OO will:

1. Allocate the RFC to the APP CMB:

2. Notify the submitter that the RFC has been allocated.

    Contact details for the CMB will be provided to the RFC submitter.

3. Update the RFC Register.

7.5 Initial assessment

The CMB will:

1. Undertake an initial analysis on the nature of the RFC based on the RFC submission and the Preliminary Analysis undertaken by the OO when developing the material, to determine whether:

    a. The change will proceed to consultation.

        i.   The CMB will inform the submitter that the change will proceed to consultation.

        ii. The CMB will update the RFC Register.

    b. The change will be rejected.

        i.   The CMB will provide reasons for any decision to reject an RFC. The outcome and these reasons will be recorded, and the RFC will be closed.

        ii. The CMB will inform the submitter that the change will be rejected.

        iii. The CMB will update the RFC Register.

7.6 Impact assessment

The CMB will:

1. Co-ordinate the development of the following materials to facilitate an impact assessment. This includes:

    a. Explanation of the changes and why they are being proposed, including the main benefits of the change.

    b. Proposed updates to artefacts, with tracked changes (if applicable).

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    c. Draft migration plan (if applicable) which must include:

        i. (if applicable) When the new/updated PA agreement will be available for signing AND when all signings must be completed by.

        ii. (if applicable) When the new/updated SP agreement will be available for signing and when it must be signed by.

        iii. (if applicable) When PAs will and must issue a termination notice to all SPs who are still signed to the previous SP agreement.

        iv. Which OpenPeppol Members and stakeholders the new/updated rules or obligations(s) impacts and how they are impacted.

        v. What the expectation is of impacted members.

        vi. What support is required to enable migration.

        Migration Plans must adhere to the minimum release timeframes in Section 2 of the Internal Regulations for Use of the Peppol Network.

    d. Any potential impacts identified so far.

    e. Any other support materials.

        The CMB may consult with stakeholders for the development of the material.

2. Conduct consultation:

    a. Circulate the material developed above to the Peppol Authority and Service Provider communities for consultation for a period as defined in Section 2 of the Internal Regulations for Use of the Peppol Network.

        The CMB or the CC can extend the consultation to wider member consultation if deemed relevant.

    b. The consultation will help the CMB to understand the impact of the change, including:

        i. Who will be affected, and the extent of the impact/s to each stakeholder group (i.e. cost benefit analysis to different stakeholders).

        ii. Any issues/risks, including to interoperability, network integrity, security, Peppol reputation, or legal liability.

        iii. Any possible conflicts with existing Peppol Interoperability Framework components.

        iv. Whether the draft migration plan is appropriate.

3. During and following the consultation period the CMB will work with stakeholders to reconcile any conflicts. This could include:

    a. Undertaking further analysis.

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b. Amending draft artefacts, migration plans or support materials.

c. Escalating matters to the MC.

d. Initiating a separate RFC if other changes are identified.

4. Following the consultation process the, CMB will:

a. Document the impact assessment, including input and feedback from stakeholders.

b. Make available a comment log with documented responses to each comment.

c. Notify the submitter that the impact assessment has been completed.

d. Update the RFC Register.

The MC will:

1. Ensure the consultation process is fair and open.

2. Ensure the duration of consultation is proportional to the complexity and nature of the change.

Where the CMB escalates a matter to the MC, the MC will:

1. Provide a response on the matter(s) to the CMB within a reasonable period of time, depending on the complexity and nature of the change.

7.7 Decision

Decisions to approve RFCs for new versions of Peppol Agreement(s) follow a structured, escalating approval process:

1. The RFC is submitted to the APP CMB to approve.

2. A new version of Peppol Agreements is then submitted to the MC to approve.

3. The release of a new version of Peppol Agreements is then submitted to Peppol Authorities for a vote, which is the last approval.

This process is set out below.

The CMB will:

1. Invite the submitter to present the RFC.

   This will provide an opportunity to hear about the RFC in more detail, and for the CMB to ask any questions which may assist them to understand the RFC.

2. Provide reasoning for its decision.

3. Inform the submitter of their right to escalate the decision.

4. Update the RFC Register with the decision and reasoning if applicable.

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5. Prepare a new version of Peppol Agreements.

6. Organise for a discussion on the new version of Peppol Agreements at the next MC meeting.

The MC will:

1. Invite the submitter or the CMB to present the RFC.

   This will provide an opportunity to hear about the RFC in more detail, and for the MC to ask any questions which may assist them to understand the RFC or assist with making the decision.

2. Decide on the new version of Peppol Agreements.

3. Provide reasoning for its decision.

4. Instruct the CMB to update the RFC Register with the decision and reasoning if applicable.

5. Organise for a discussion on publishing the new version of Peppol Agreements at the next PAC meeting.

The CMB will:

1. Present the new version of Peppol Agreements to the PAC.

2. In co-operation with the OO arrange for a formal vote by all PAs on publishing the new version of Peppol Agreements.

   a. PAs will be provided 10 business days to vote.

   b. At least 75% of PAs will need to vote to support the publishing of the new version of Peppol Agreements.

3. Inform PAs of the outcome of the formal vote.

   a. The CMB may amend the changes on failure to achieve PA endorsement. This would involve further consultation for any substantive changes.

   b. If, after a reasonable period of time, this PA endorsement cannot be achieved, the CMB may report to the MC, with a recommendation to reject and close the RFC. The MC may direct the CMB to undertake further action as necessary.

The CMB will:

1. Update the RFC Register to reflect the decision, usually within 2 business days of the decision.

2. Notify the submitter of the decision.

3. Update the RFC Register.

4. Notify all OpenPeppol Members, usually within 2 business day of the decision.

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If the RFC was approved, this notification will outline next steps.

The submitter can:

1. Amend the RFC to address any concerns from the CMB, MC or PAC. They will:

   a. Notify the CMB of the intent to amend the RFC.

   b. Submit the amendments to the CMB.

Any member can:

1. Request a detailed explanation of the reasons for the CMB, MC or PAC decision, including issues, risks.

2. Where the decision is a:

   a. CMB decision, escalate the decision.

      Escalations must be substantiated with:

      i. Reasons for the escalation.

      ii. A suggested course of action.

   b. An MC or PA decision:

      i. These decisions cannot be escalated.

Where the submitter wishes to amend the RFC to address any concerns from the CMB, MC or PAC, the CMB will:

1. Assist the submitter to amend the RFC to address its concerns.

2. Facilitate additional consultation for any substantive or material changes.

3. Re-assess the amended RFC as appropriate.

Where a decision is escalated to the MC, the MC will:

1. Provide a decision on the matter(s) in a reasonable period of time, depending on the complexity and nature of the change.

2. The MC may instruct the CMB to approve the RFC, with further action to be undertaken in accordance to this procedure.

3. If the MC supports the decision to reject the RFC, the MC will:

   a. Provide reasons for its decision.

The CMB will:

1. Update the RFC Register

2. Communicate the decision to the escalating party.

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3. Inform the party requesting the review that there is no further avenue for escalation.

7.8 Implementation and Migration

The CMB will:

1. Instruct the OO to publish the Migration Plan.

2. Instruct the OO to carry out their activities specified in the Migration Plan.

3. Nominate a CMB member to attend Peppol community meeting(s) where affected members are to discuss the PA signing period, Phase-in new SP Agreement, Termination-old SP Agreement and Phase-out old SP Agreement in accordance with the Migration Plan.

4. Develop any additional support materials required to accompany the new rules or obligations, e.g. explanatory material, scenarios, diagrams.

5. Monitor and track progress against the Migration Plan, including collection of any statistics on migration.

6. Remind OpenPeppol Members about the timeline as stated in the Migration Plan.

The OO will:

1. Contact OpenPeppol Members by email and inform them of the Migration Plan.

2. Publish artefacts and support material according to the schedule of the Migration Plan.

3. Contact OpenPeppol Members by email when new/updated artefacts and support material are published according to the schedule of the Migration Plan.

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