Operational Procedures

Extended Use

Version: 1.0
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Version control

Version	Date	Comments
1.0	15.02.2022	Approved by the OpenPeppol Managing Committee (MC161 meeting)

List of Terms and Abbreviations

Term	Definition
CMB	Change Management Board
CR Number	Change Request Number
MC	OpenPeppol Managing Committee
OO	OpenPeppol Operating Office
PA	Peppol Authority
PCA	Peppol Coordinating Authority (OpenPeppol AISBL)
RFC	Request For Change
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 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 to "extend" the use of the Peppol network through the creation of domains.

This includes:

- (Introduction of) Local Extensions to global Service Domains
- (Introduction of a) New Local Service Domain

Out of scope

- **Incubations** of new global Service Domains

- **(Maintaining) Local business documents or extensions** – Change Management within local domains is the responsibility of the PA owners of those domains. This applies to developing and maintaining specifications. The Peppol Coordinating Authority approves the introduction of new business documents and extensions in those domains. Local domains are required to keep the Peppol Coordinating Authority informed of its activities.

- **(Introduction of a) Peppol domain business document or extensions** – introduction of new documents or extensions in an existing Peppol domain are managed via the Change Management operational procedure. This includes ongoing management of changes to those business documents and extensions.

- **(Introduction and maintaining) PA specific requirements** – introduction or updates to PA specific requirements are managed via the PA Specific Requirements operational procedure.
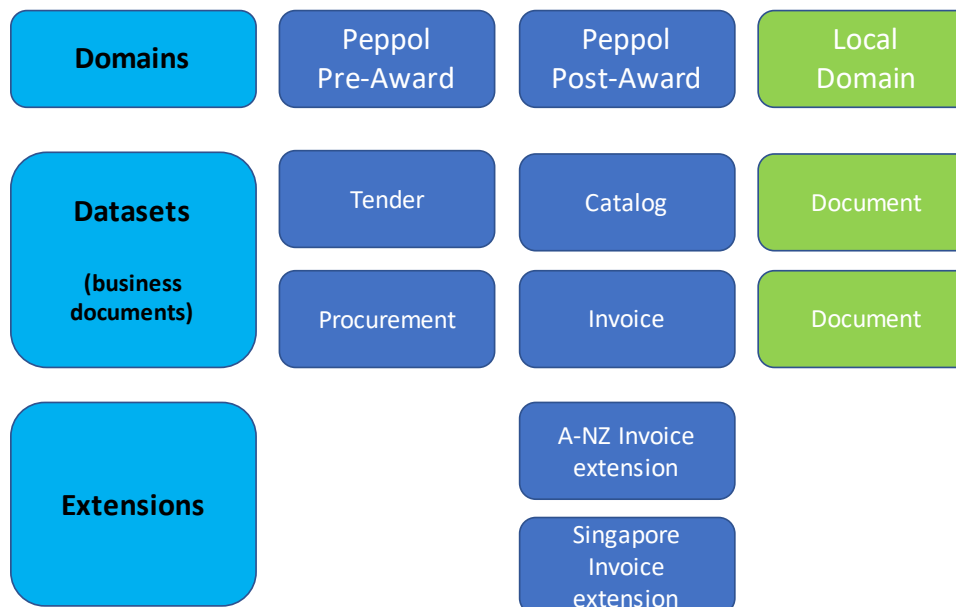
2 Introduction

As Peppol matures and expands, Peppol Authorities (PAs) may want to extend the use of the Peppol Network infrastructure for the transmission of additional documents enabling further digitisation of business processes, or implementation of government policy and/or legislative requirements.

The policies on Extended Use are stated in Internal Regulations for Use of the Peppol Network (chapter 8). The following diagram provides examples of domains and how they relate to datasets (business documents) and extensions.

- **Domains** provide governance over one or more related business documents and their extensions.

- **Datasets** are developed to standardise business documents (e.g. invoice) approved for use in the Peppol Network.

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- **Extensions** are customisations of business documents, usually by PAs to meet local jurisdiction legal or regulatory requirements.

Domains	Peppol Pre-Award	Peppol Post-Award	Local Domain

Datasets (business documents)	Tender	Catalog	Document
	Procurement	Invoice	Document

Extensions		A-NZ Invoice extension	
		Singapore Invoice extension	

The process and procedures set out in this document aim to ensure transparency and consistency of the approach to decisions to approve (or deny) any extended use requests and ensure appropriate awareness of any approved changes.

3 Process Overview

The following diagram provides an overview of the key steps. The diagram 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.

The process established by a PA will result in the business document, extension, and/or domain being available for local use, and does not include timeframes for implementation or migration (including any development of technical specifications needed).

- A PA may request expedited action for urgent consideration when lodging the change request. The Peppol Managing Committee will make best efforts to accommodate such requests, subject to the nature and complexity of the change.

- Any delays by PAs to supply information may result in delays to the process.

- High complexity or contentious requests may take longer.

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	Step	Description	Responsibility
1	Raise request for change (RFC)	An RFC is raised to the Peppol Service Desk to initiate the process.	Peppol Authority
2	Register RFC	The RFC is registered and published, and PAs notified.	OpenPeppol Operating Office
3	Preliminary analysis	Preliminary analysis is undertaken, which may involve meeting with the PA.	OpenPeppol Operating Office
4	Submit final draft documents	Final draft documents are submitted to facilitate an impact assessment.	Peppol Authority
5	Impact assessment	Impact assessment is undertaken, usually involving consultation with stakeholder groups, including PAs, Service Providers in the local domain, and/or relevant domain communities.	OpenPeppol Operating Office
6	Recommendation to MC	A recommendation is provided to support a decision by the Peppol Managing Committee (MC).	OpenPeppol Operating Office
7	MC Decision	The MC makes a decision to approve / deny the request.	OpenPeppol Managing Committee
8	Release	If the change request is approved, the domain will be available for use.	OpenPeppol Operating Office

4 Procedures

4.1 Raise Request For Change (RFC)

To initiate the process, the PA will need to:

1. Submit an RFC through the Peppol Service Desk.

   The template in **Attachment A** must be completed and attached to the RFC.

2. Attach any draft documents to the RFC.

   These can be early drafts / working versions – there is an opportunity to provide updated drafts prior to any consultation. The documents must meet the criteria and include the documents listed in Internal Regulations for Use of the Peppol Network (8.2.2 Basic principles and requirements).

4.2 Register RFC

The OpenPeppol Operating Office (OO) will:

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1. Register the change request on the Extended Use Register.

2. Notify PA of the CR number.

3. Publish the updated Extended Use Register to a location accessible by PAs, usually within 2 business days of receiving the request.

   This will include the following information:

   a. Title

   b. CR number

   c. Brief description

   d. PA which submitted the request

   e. Primary PA contact details for the request

   f. Submission date

   g. MC decision (to be updated following MC decision)

   h. The PA that is participating in the local domain

4. Notify all PAs, usually within 2 business days of publishing the details. The notification will include a link to the latest published Extended Use Register.

4.3 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 PA to understand details or clarify any matters.

3. Categorise each extended use RFC into one of the following groups as stated in the Internal Regulations for Use of the Peppol Network (8.2.1 Types of Extended Use):

   a. Local extensions to global Service Domains

   b. Local Service Domains

4. For local domain RFCs, co-ordinate an initial discussion with the PA Community to determine whether there is broad support to re-classify the RFC as an Incubation.

   This will include due consideration to the timeframes of the requesting PA. If needed, the RFC can be managed as a local domain RFC, with an Incubation process to be progressed in parallel or initiated at a later time. The Incubation process will be handled separately.

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4.4 Submit final draft documents

PAs will need to:

1. Submit final draft documents to facilitate the impact assessment, including consultation activities. The documents must meet the criteria and include the documents listed in Internal Regulations for Use of the Peppol Network (8.2.2 Basic principles and requirements).

4.5 Impact assessment

The OO will:

1. Disseminate information to stakeholders for consultation. This will usually include:

   a. PAs

   b. SPs of the local market

   c. Domain communities (if required)

2. Arrange to meet with stakeholders. This could be via existing forums such as the PA Community meetings and SP Community meetings of the local domain, Co-ordinating Committee meetings.

3. Facilitate a consultation with stakeholders.

   Consultation is to assist the OO to understand the impacts, including:

   a. Who will be affected, and the extent of the impact/s to each stakeholder group?

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

   c. Any possible conflicts with other Peppol, local domains.

   The OO will work with affected domains to reconcile the conflicts. This could include:

   i.   An agreed proposal to make changes to existing domains (managed through their CMBs),

   ii. Amending the RFC, and/or

   iii. Consolidation of domains.

   Any conflicts which are unable to be fully reconciled will be highlighted for consideration by the MC.

4. Undertake any further analysis as required,

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5. Prepare an impact assessment (including summary for each of the items listed above), and

6. Provide the impact assessment to the PA which submitted the RFC for feedback.

7. Assist the PA to make any refinement to the RFC (at the discretion of the PA).

The PA which requested the RFC will:

a. Present to each stakeholder group to enable stakeholders to understand the RFC, including context, purpose, and key elements.

4.6 Recommendation to MC

The OO will:

1. Prepare a recommendation for the MC, which will include:

   a. Description of change

   b. Impact assessment

   c. Any matters it deems relevant to the MC decision

   d. Highlighting of any of the following:

      i. Conflicts with no agreed proposal for resolution

      ii. Any objections expressed by stakeholders / stakeholder groups, including extent to which those objections were made

      iii. Any objections by the OO

   e. Recommendation whether to accept/reject the RFC

   f. RFC (attachment), including all documents submitted by the change requester

2. Submit the recommendation to the MC, and

3. Provide a copy of the recommendation to the PA which submitted the RFC.

4.7 MC decision

The MC will:

1. Invite the PA which made the submission 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 that may assist the MC to understand the RFC or assist with making the decision.

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2. Direct any further work by the OO needed before the MC can decide. This could include:

   a. Further analysis,

   b. Further consultation,

   c. Further work to resolve any issues,

   d. Further work to develop strategies or plans to address risks/conflicts, and or

   e. Any other steps it deems appropriate.

3. Decide on the RFC, with consideration to the recommendation by the OO.

4. Provide reasoning for its decision.

The OO will:

1. Update the Extended Use Register to reflect the MC decision, usually within 2 business days of the MC decision.

   This will include updates to reflect the PA of the local domain.

2. Notify the requesting PA of the MC decision.

If the decision is to reject the RFC, the PA can:

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

2. Amend the RFC to address any concerns from the MC. The PA will:

   a. Notify the OO of the intent to amend the Extended Use Request,

   b. Submit the amendments to the OO.

The OO will:

1. Assist the PA to amend the Extended Use Request to address MC concerns

2. Facilitate additional consultation for any substantive or material changes

3. Organise for an MC decision on the amended Extended Use Request

4.8 Release

If the change request is approved, the OO will:

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

   This notification will outline the next steps and when the domain is expected to be available for use and the contact points for the new domain.

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Attachment A – Template for Extended Use Request

Extended Use Request	
Title	*Provide a name for the extended use request*
Description	*Describe the extended use request.* *This should include the purpose/driver of the change; it's intended use and desired outcomes.* *If the change is for a new local domain, include the Peppol Authorities and a high-level description of the proposed governance arrangements to satisfy the Peppol Coordinating Authority that appropriate governance arrangements will be put into place. Local domains are the responsibility of the local PAs.* *A successful completion of incubation of a local domain leads to all the usual governance structures and processes of a Peppol domain.*
Peppol Authority	*Peppol Authority making the extended use request*
Contact	*Primary contact for the extended use request*
Phone	*Primary contact's phone number*
E-Mail	*Primary contact's email address*
Timeframe requirements	*Provide details of any target timeframes, including any legislative, regulatory, policy or other government requirements.* *Include any request for expedited action / urgent consideration.*
Type of change	☐ New local domain ☐ Incubation of new Peppol domain ☐ Incubation (of a local domain) into a Peppol domain

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Initial impact assessment	*Describe your understanding of who will be affected by this change, the extent of the impact and what changes may be required.*
Initial risk assessment	*Describe your understanding of the risk assessment to the broader Peppol network including interoperability, network integrity, security, Peppol reputation, and legal liability.*
Consultation to date	*Provide a summary of any consultation undertaken so far.*
Impacted documents	*Please list, if known, the documents impacted by the requested change.*

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