



# Peppol

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## Operational Procedures

### Peppol Authority Specific Requirements

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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
<b>CT</b>	Compliance Team
<b>MC</b>	OpenPeppol Managing Committee
<b>OO</b>	OpenPeppol Operating Office
<b>PA</b>	Peppol Authority
<b>PCA</b>	Peppol Coordinating Authority (OpenPeppol AISBL)
<b>RFC</b>	Request for Change
<b>SP</b>	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 Use of the Peppol Network and these will take precedence over the OpenPeppol Operational Procedures.

## 1 Purpose

This document sets out the processes and procedures by which Peppol Authority (PA) specific requirements can be approved for use in the Peppol network.

## 2 Introduction

Within a global framework, it is recognised that different PAs may have specific requirements related to government policy, legal requirements, or to manage specific issues/risks in relation to the operation of Peppol within its jurisdiction.

The policies on PA Specific Requirements are stated in Internal Regulations for Use of the Peppol Network (chapter 7).

## 3 Process Overview

The following diagram provides an overview of the key process steps and timeframes. 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.

PAs should define their specific requirements in a clear and comprehensible way to be reviewed by OpenPeppol. This will result in the PA specific requirements being available for use and does not include implementation or migration.

Step	Description	Responsibility
1	Raise request for change (RFC) An RFC is raised to initiate the process.	Peppol Authority
2	Register RFC The RFC is registered and published.	OpenPeppol Operating Office
3	Preliminary analysis Preliminary analysis is undertaken, which may involve meeting with the requesting PA.	OpenPeppol Operating Office
4	Compliance review A review for conformance with the Peppol Interoperability Framework is undertaken.	OpenPeppol Compliance Team
5	Consultation Only for existing PAs: Other PA's and the SPs are provided an opportunity to comment.	OpenPeppol Operating Office
6	Recommendation to MC A recommendation is provided to support a decision by the MC.	OpenPeppol Operating Office
7	MC Decision The MC makes a decision to approve / deny the request. If the change request is denied because of becoming a general requirement, an RFC is	OpenPeppol Managing Committee

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		raised to the Peppol artefact. The requirement is removed from the PA Specific Requirements.	
8	Release	If the change request is approved, the PA Specific Requirements are published for use and stakeholders are notified.	OpenPeppol Operating Office

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## 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.

Changes to existing, approved, PA Specific Requirements should be submitted as tracked changes to the previously approved document.

### 4.2 Register RFC

The OpenPeppol Operating Office (OO) will:

1. Register the change request on the Change Request Register.
2. Notify the PA of the RFC number.

### 4.3 Preliminary analysis

The OO will:

1. Conduct initial analysis on the proposed PA Specific Requirements to ensure completeness of the request.
2. Assist the PA to resolve any matters identified in the proposed PA Specific Requirements.

If needed, the OO will organise and meet with the PA where the OO identifies any of the following:

- a. Incomplete or incorrect completion of the PA specific requirement template,
- b. Any matters requiring clarification,
- c. Possible conflicts with Peppol policies or principles,
- d. Possible issues/risks, including to interoperability, network integrity, security, Peppol reputation, or legal liability, and/or

- e. Any other matters which may prevent approval of the PA Specific Requirements.

The OO feedback is provided as advice to assist the PA. The PA may choose to progress forward with the process without fully addressing all the matters raised by the OO.

## 4.4 Compliance Review

The OO will:

1. Refer the proposed PA Specific Requirements to the Compliance Team for review.

The Compliance Team will:

1. Review the proposed PA Specific Requirements for any non-compliance or conflicts with the Peppol Interoperability Framework, including:
  - a. Peppol Agreements,
  - b. Internal regulations or policies, and
  - c. Any other matters which may impact the operations of the Peppol Network.
2. Undertake any further analysis as required.
3. Prepare and provide a draft report on its findings to the PA and OO.
4. Assist the PA to resolve any matters identified.

The PA may choose to progress forward with the process without fully addressing all the matters raised by the Compliance team.

5. Finalise and provide the Compliance Team report to the OO.
6. Provide the final Compliance Team report to the PA.

## 4.5 Consultation

For existing PAs, the OO will:

1. Disseminate information to other PA's and the SP's to provide an opportunity for comment. This could be facilitated via existing forums such as the PA Community meetings and SP Community meetings.
2. Collate any feedback from the other PA's and the SP's and undertake further consultation or analysis as required.

This could involve working with the PA to resolve any matters identified.

The PA may choose to progress forward with the process without fully addressing all the matters raised by the stakeholders.

**Notice:** In case PA Specific Requirements fall into the category of “Mandatory use of centralised services and global specifications” (section 7.4.4 of the OpenPeppol Internal Regulations for Use of the Peppol Network) and a similar precedent has already been established, these will be approved automatically without involving the OpenPeppol Managing Committee (MC). 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.

## 4.6 Recommendation to MC

The OO will:

1. Invite the PA to make a submission on any matters raised by the OO or the Compliance team, which the OO team will provide to the MC with its recommendation.
2. Prepare a recommendation for the MC, which will include:
  - a. The Proposed PA Specific Requirements
  - b. Compliance Team Report
  - c. Any submissions made by the PA on matters raised by the OO or Compliance team
  - d. Any issues, risks, or other matters it deems relevant to the MC decision
  - e. 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
  - f. Recommendation whether to approve/reject the PA Specific Requirements
3. Submit the recommendation to the MC, and
4. Provide a copy of the recommendation to the PA.

## 4.7 MC decision

The MC will:

1. Direct any further work by the OO needed before the MC is willing to make a decision. 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.
2. Make a decision on the PA Specific Requirements, with consideration to the recommendation by the OO.
  3. Provide reasoning for its decision.

The OO will:

1. Update the Change Request Register to reflect the MC decision, usually within 2 business days of the MC decision.
2. Notify the PA of the MC decision

If the decision is to reject the proposed PA Specific Requirements, the PA can:

1. Request a detailed explanation of the reasons for the MC decision, including issues and risks,
2. Amend the PA Specific Requirements to address any concerns from the MC. The PA will:
  - a. Notify the OO of the intent to amend the PA Specific Requirements,
  - b. Submit the amendments to the OO.

The OO will:

1. Assist the PA to amend the PA Specific Requirements to address the MC concerns,
2. Facilitate additional consultation for any substantive or material changes,
3. Organise for an MC decision on the amended PA Specific Requirements.

## 4.8 Release

If the PA Specific Requirements are approved, the OO will

1. Publish new/updated PA Specific Requirements.
2. Notify all OpenPeppol Members of the new/updated PA Specific Requirements.  
This will include links to relevant materials.

## Attachment A – Template for PA Specific Requirements

### PA Specific Requirements

*In clause 7.4 of Internal Regulations for Use of the Peppol Network 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.

Territorial coverage	<i>Jurisdiction of the PA as defined in Annex 2 of the Peppol Authority Agreement. The PA Specific Requirements can only be enforced within the jurisdiction for which the PA is authorised.</i>
Peppol Service Domain coverage	
If applicable, terms and conditions related to Peppol Service Domains specific to the Peppol Authority	

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

Applicable	Detailed description
Please choose	<i>In clause 7.4.1 of Internal Regulations for Use of the Peppol Network the details of this category is stated.</i>

### 2. Information Security

Applicable	Detailed description
<b>Please choose</b>	<i>In clause 7.4.2 of Internal Regulations for Use of the Peppol Network the details of this category are stated.</i>

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

Applicable	Detailed description
<b>Please choose</b>	<i>In clause 7.4.3 of Internal Regulations for Use of the Peppol Network the details of this category are stated.</i>

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

Applicable	Detailed description
<b>Please choose</b>	<i>In clause 7.4.4 of Internal Regulations for Use of the Peppol Network the details of this category are stated.</i>

### 5. Service Level Requirements

Applicable	Detailed description
<b>Please choose</b>	<i>In clause 7.4.5 of Internal Regulations for Use of the Peppol Network the details of this category are stated.</i>

### 6. Use of local interoperability specifications

Applicable	Detailed description
<b>Please choose</b>	<i>In clause 7.4.6 of Internal Regulations for Use of the Peppol Network the details of this category are stated.</i>

### 7. Service Provider Accreditation

Applicable	Detailed description
<b>Please choose</b>	<i>In clause 7.4.7 of Internal Regulations for Use of the Peppol Network the details of this category are stated.</i>