Specification

OpenPeppol AISBL

Peppol Transport Infrastructure
ICT - Models

Policy for use of Identifiers

Version: 4.2.0

Status: Released

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Project co-funded by the European Commission within the ICT Policy Support Programme		
Dissemination Level		
P	Public	X
C	Confidential, only for members of the consortium and the Commission Services	

Revision History

Version	Date	Description of changes
3.0	2014-02-03	Updated 1.3, References Updated POLICY 11, Peppol Customization identifiers Updated POLICY 12, Specifying Customization identifiers in UBL documents Updated POLICY 16, Peppol process identifiers Updated 4.2, Document Type Identifier Values Updated 5.2, Process ID values Updated 3.2, Identifier values including ZZZ
3.1	2018-04-27	Extracted the code lists out of this document. References to the code lists were updated. Line numbers start with chapter 1. No content changes.
4.0	2019-01-28	Updated legacy references and wordings Separated Participant and Party identification Introduced the term “Participant Identifier Meta Scheme” Added relation to Peppol BIS versions 1 and 2 Added a table with all used XML Namespace URIs
4.0.1	2019-09-12	Extended the allowed characters for Participant Identifier values in POLICY 1
4.1.0	2020-03-11	Extended the allowed characters for Participant Identifier values in POLICY 1 Adopted to new branding Updated the reference to the Code lists
4.2.0	2023-06-19	Added the new Document Type Identifier Scheme “peppol-doctype-wildcard” Updated the links in the References section The Reference entry “Peppol_Trans” was removed because it was unused Improved and updated example values Updated texts of POLICY 16, POLICY 17, POLICY 21 and POLICY 22 Added POLICY 4a, POLICY 23a, POLICY 25a and POLICY 28a Removed redundant statements to code lists in chapter 3

Statement of originality

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Statement of copyright

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1 Introduction

1.1 Audience

This document describes a Peppol policy and guidelines for use of identifiers within the Peppol network. The intended audience for this document are organizations wishing to be Peppol enabled for exchanging electronic invoices, and/or their ICT-suppliers. More specifically it is addressed towards the following roles:

- ICT Architects
- ICT Developers
- Business Experts

1.2 References

[Peppol]	https://www.peppol.eu/ and https://www.peppol.org/
[Peppol_PostAward]	https://peppol.eu/downloads/post-award/
[Peppol_CodeList]	https://docs.peppol.eu/edelivery/codelists/
[CEN_BII]	https://cenbii.eu/deliverables/cen-bii/
[CEN_BII2]	https://cenbii.eu/deliverables/cen-bii-2/
[ISO 15459]	https://www.iso.org/standard/54782.html https://www.iso.org/standard/54781.html
[ISO 9735 Service Code List (0007)]	https://unece.org/sites/default/files/datastore/fileadmin/DAM/trade/untdid/download/r1241.doc
[ISO 6523]	https://www.iso.org/standard/25773.html
[OASIS UBL]	https://docs.oasis-open.org/ubl/os-UBL-2.1/UBL-2.1.html https://docs.oasis-open.org/ubl/os-UBL-2.1/UBL-2.1.zip
[OASIS UBL22]	https://docs.oasis-open.org/ubl/os-UBL-2.2/UBL-2.2.html https://docs.oasis-open.org/ubl/os-UBL-2.2/UBL-2.2.zip
[OASIS ebCore]	https://docs.oasis-open.org/ebcore/PartyIdType/v1.0/CD03/PartyIdType-1.0.html
[RFC3986]	https://www.ietf.org/rfc/rfc3986.html
[UN/CEFACT]	https://unece.org/trade/uncefact

1.3 XML Namespaces URIs used

Prefix	Namespace URI
cac	urn:oasis:names:specification:ubl:schema:xsd:CommonAggregateComponents-2
cbc	urn:oasis:names:specification:ubl:schema:xsd:CommonBasicComponents-2
ram	urn:un:unece:uncefact:data:standard:ReusableAggregateBusinessInformationEntity:100
rsm	urn:un:unece:uncefact:data:standard:CrossIndustryInvoice:100

2 Introduction to identifiers

Identifiers are information elements that establish the identity of objects, such as organizations, products, places, etc. The Peppol project uses many identifiers in both its transport infrastructure and within the documents exchanged across that infrastructure. Two of the significant identifiers are those for Parties/Participants (organizations, persons, etc.) and Services (business profiles, document types, etc). These are the "who" and the "what" of Peppol business exchanges.

This document outlines the policy for using the correct identifiers specifically for these two areas but it also introduces principles for any identifiers used in the Peppol environment. Implementers failing to adhere to these policies seriously jeopardize the interoperability of the information being exchanged. This policy should form a requirement of any Peppol participation agreements.

2.1 Scope

2.1.1 The policy of a federated scheme for identifying Parties[5]

Parties in the Peppol eDelivery Network play the role of Participants. There are sender and receiver Participants in any exchange, but the Service Metadata Publisher (SMP) only publishes services defined for the receiver Participant. The technical name for this identifier in the Peppol eDelivery Network is the Participant Identifier.

Within each business document there are also Parties taking on business roles such as customer and supplier, etc. Clearly there may be relationships between these Parties and the Participant Identifier. Sometimes the Supplier Party is the receiver Participant for an Order document. Another example is that an Invoice may contain an identifier for EndpointID that equates to the receiver Participant in the SMP. But neither of these are reliable rules. Business standards (such as EN 16931) and agreements (such as BII profiles) do not (deliberately) include any 'envelope' information linking the document content to the transport infrastructure. The relationship between identifiers within Documents and identifiers used in the transport infrastructure is not defined in the specifications.

So whilst there is a relationship between these various Parties, we have no policy on how this should be done. This policy relates to the common use of different identification schemes to identify the appropriate Party within the context required. In other words, identifiers may have different values but the method by which they are defined should be consistent.

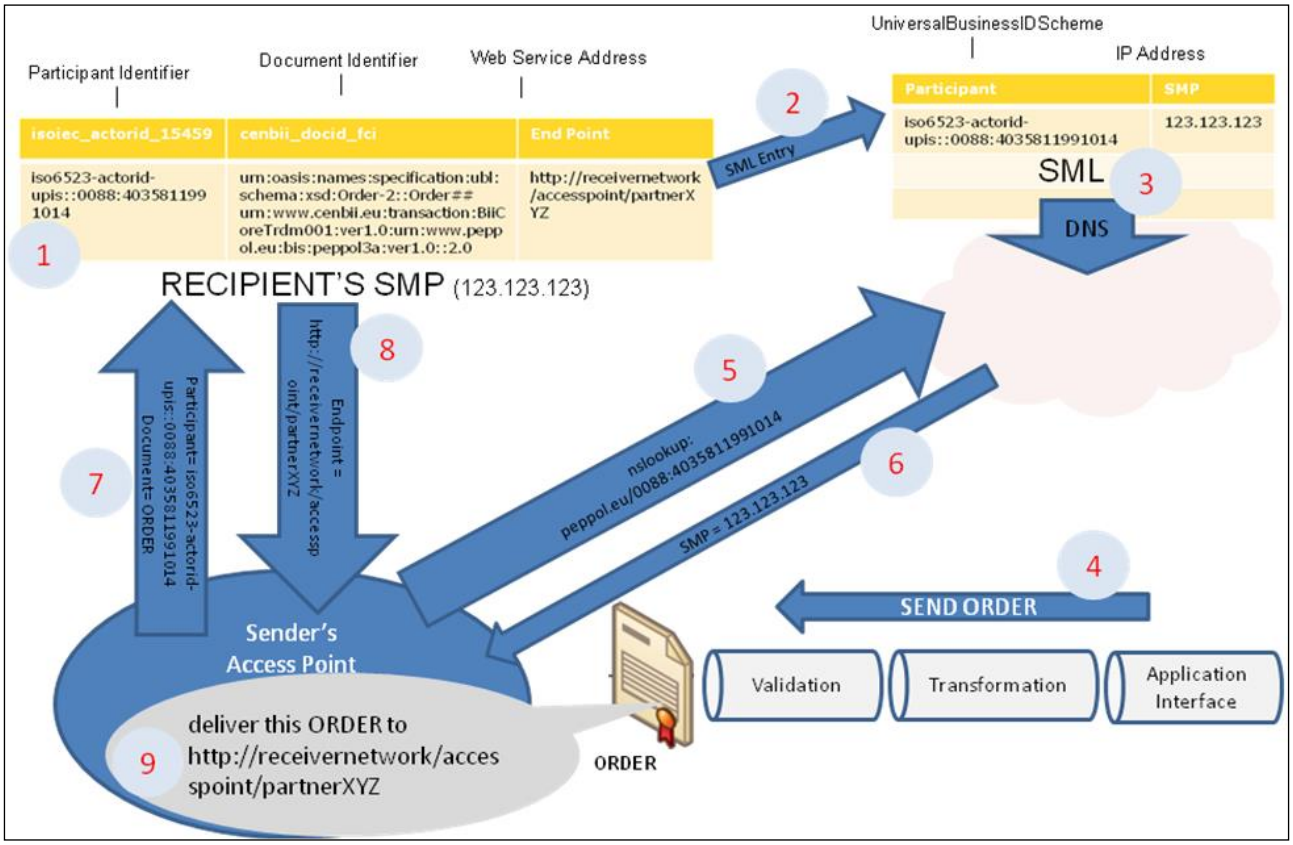
Many schemes already exist for identifying Parties. Peppol has no intention of developing yet another. Our strategy is to recognize a range of different identification schemes and provide a code list of those recognized schemes based on international standards.

2.1.2 The policy for identifying Documents and Services used in Peppol implementation of the Peppol eDelivery Network

The Peppol eDelivery Network requires a Participant sending a document to identify both the receiving Participant and the service that will receive the document. The sender (or their Access Point provider) achieves this by searching the Service Metadata Locator (SML) filled Domain Name System (DNS) to find the relevant Service Metadata Publisher (SMP) that can identify the endpoint URL[6] within the recipient's Access Point (AP). This endpoint URL is the service address where the document is received. Therefore, it is important to define precisely what documents and services can be handled by the receiving Participant.

[5] By federation we mean that each agency maintains their own identification schemes. Our policy recognizes and identifies these schemes and does not attempt to replicate them.
[6] Note: the endpoint URL is not the same as the Endpoint ID in the business document.

The diagram below shows the relationship of these information elements.



Peppol has set up Business Interoperability Specifications (BIS) explaining how business documents need to be filled from a semantical and technical point of view.

2.1.3 Semantic scope

This document covers the following areas:

- Participant identification
  - Identification of a technical entity in the Peppol eDelivery network
  - Can be used in transport documents and (where needed) in business documents
- Party identification
  - Identification of a business entity
  - Usually only used in business documents
- Document type identification
- Process identification
- Transport profile identification

2.1.4 Relation to Peppol BIS versions 1 and 2

This version of the document cannot be applied on Peppol BIS versions 1 and 2. Peppol BIS versions 1 and 2 MUST follow the most up-to-date "Peppol Policy for use of identifiers" version 3.x.

2.2 Participant vs. Party Identification

The following aspects are addressed in this document:

1. The Peppol code list of Party Identification schemes used in business documents.

2. The Peppol code list of Participant Identification schemes used in metadata as well as in business documents.

Peppol does not implement its own scheme for identifying Parties. Instead, it supports a federated system for uniquely identifying parties following the ISO 15459 format scheme[7] for unique identifiers. This requires defining a controlled set of "Issuing Agency Codes"[8] for identification schemes (also known as "party identifier types"[9] or "Identification code qualifier"[10] or "International Code Designators"[11] or "Party ID Type"[12]) required by Peppol implementations.

Each Peppol Party identifier to be used in the federated system is a combination of the Issuing Agency Code and the value given by the Issuing Agency.

- For Peppol, it will be part of the Peppol Service Provider agreement that service providers for Peppol Addressing and Capability look-up have suitable governance of their identification schemes when they enter, update and delete information on their SMP.
- Within the content of business documents, each Peppol Participant will be responsible for using the appropriate Peppol Party Identifier.

This section defines the policies for the formatting and the population of values for Party Identifiers used by Peppol.

Note for UBL documents: It should be pointed out here that this policy covers only use `Party/PartyIdentification/ID` and `Party/EndpointID`. Other party or participant identifiers within UBL documents are out of scope for this policy.

Note for CII documents: It should be pointed out here that this policy covers only use `SellerTradeParty/ID`, `BuyerTradeParty/ID`, `BuyerTradeParty/URIUniversalCommunication/URIID` and `SellerTradeParty/URIUniversalCommunication/URIID`. Other party or participant identifiers within CII documents are out of scope for this policy.

2.3 Common Policies

POLICY 1 Usage of ISO15459

Participant Identifiers should adhere to the following constraints:
- MUST be at least 1 character long (excluding the identifier scheme)
- MUST NOT be more than 50 characters long (excluding the identifier scheme)
- MUST only contain letters (a-z), numeric digits (0-9), the minus sign (-), the period character (.), the underscore character (_) or the tilde character (~) from the invariant character set of ISO-8859-1[13]

Party Identifiers should adhere to the following constraints:
- MUST be at least 1 character long (excluding the identifier scheme)
- MUST NOT be more than 50 characters long (excluding the identifier scheme)
- MUST only contain characters from the invariant character set of ISO-8859-1

Document Type Identifiers should adhere to the following constraints:

[7] ISO 15459-4 Individual items, see [ISO 15459]
[8] ISO 15459 terminology, see [ISO 15459]
[9] CEN/BII terminology
[10] ISO 9735 Service Code List (0007) terminology
[11] ISO 6523 terminology
[12] OASIS ebCore terminology
[13] Based on the unreserved characters of [RFC3986]

- MUST be at least 1 character long (excluding the identifier scheme)
- MUST NOT be more than 500 characters long (excluding the identifier scheme)
- MUST only contain characters from the invariant character set of ISO-8859-1

Process Identifiers should adhere to the following constraints:

- MUST be at least 1 character long (excluding the identifier scheme)
- MUST NOT be more than 200 characters long (excluding the identifier scheme)
- MUST only contain characters from the invariant character set of ISO-8859-1

Transport Profile Identifiers should adhere to the following constraints:

- MUST be at least 1 character long (excluding the identifier scheme)
- MUST NOT be more than 50 characters long (excluding the identifier scheme)
- MUST only contain letters, numeric digits, the minus sign ('-') or the underscore sign ('_') from the invariant character set of ISO-8859-1

Applies to: All above mentioned types of identifiers in all Peppol components

POLICY 2 Identifier Value casing

All Participant Identifier values have to be treated case insensitive even if the underlying scheme requires a case sensitive value.
All Party Identifier values have to be treated case insensitive even if the underlying scheme requires a case sensitive value.
All Document Type Identifier values have to be treated case sensitive.
All Process Identifier values have to be treated case sensitive.
All Transport Profile Identifiers have to be treated case sensitive.

Applies to: All identifiers in all Peppol components

Note: all identifier scheme values are case sensitive (see POLICY 5, POLICY 16 and POLICY 24)

Example 1 (Participant Identifier Values):

Participant Identifier Value `0088:abc` is equal to `0088:ABc`

Participant Identifier Value `0088:abc` is NOT equal to `0010:abc`

Example 2 (Document Type Identifier Values):

Document Type Identifier Value

```
urn:oasis:names:specification:ubl:schema:xsd:Invoice-
2::Invoice##urn:cen.eu:en16931:2017#compliant#urn:fdc:peppol.eu:2017:p
oacc:billing:3.0::2.1
```

is NOT equal to

```
URN:OASIS:NAMES:SPECIFICATION:UBL:SCHEMA:XSD:INVOICE-
2::INVOICE##URN:CEN.EU:EN16931:2017#COMPLIANT#URN:FDC:Peppol.EU:2017:P
OACC:BILLING:3.0::2.1
```

Example 3 (Process Identifier Values):

Process Identifier Value

```
urn:fdc:peppol.eu:2017:poacc:billing:01:1.0
```

is NOT equal to

```
URN:FDC:Peppol.EU:2017:POACC:BILLING:01:1.0
```

3 Policy for Peppol Participant Identification

Participant identifiers relate to technical entities and are used in all kind of transport level documents (e.g. the Peppol Business Message Envelope, AS4 User Message or SMP endpoints) as well as in business documents.

3.1 Format

POLICY 3 Use of ISO15459 structure

Participant Identifier values used in Peppol are comprised of:
- An Identifier Scheme
- The value provided by this Identifier Scheme

Applies to: All Participant identifiers in all Peppol components

Example:

Identifier Scheme: EAN International

Identifier Scheme according to [Peppol_CodeList]: `0088`

Value provided by the Identifier Scheme: `1234567890128`

POLICY 4 Coding of Identifier Schemes

All Identifier Schemes for Participant Identifiers are to be taken from the normative version of [Peppol_CodeList].
This list is currently maintained by OpenPeppol.

Applies to: All Participant identifiers in all Peppol components

3.2 Identifier Scheme values

The values for the Peppol identifier Scheme Code list were originally taken from the NESUBL PartyID code list but this has been extended to cover use by all Peppol participants and includes other known Identifier Schemes (from e.g. ISO 6523[14]).

It is significant that this list will need ongoing extension under governance procedures currently being developed (see section on Governance). To ensure sustainability and proper governance it is proposed to include only Issuing Agency Codes (IACs) in the following order of priority:

1. International recognized standard schemes, then
2. International de-facto accepted schemes, then
3. Nationally defined schemes

The actual values for numeric International Code Designators were based on the following allocation criteria:

1. ISO 6523 International Code Designator (if known), or
2. ISO 9735 Identification code qualifier (if known), or
3. An incremental number starting from 9900 (issued by OpenPeppol)

[14] See http://en.wikipedia.org/wiki/ISO_6523

Even though these numeric values are based on ISO code sets, they form a separate Peppol code list because they contain additional values. Therefore, the Issuing Agency for all numeric codes is Peppol and not ISO 6523.

POLICY 4a Participant Identifier Scheme Code List States

Code List rows with the state "deprecated" MUST NOT be used for newly exchanged business documents or new SMP registrations, as the respective identifier issuing agency is no longer active/valid. Rows with the state "removed" MUST NOT be used at all. Previous Issuing Agency Codes MUST NOT be reused for different agencies as existing exchanged documents may refer to them.

Applies to: All Participant identifiers in all Peppol components

Note: It is important to note that this is a dynamic list. Over time new services will be added. Developers should take this into account when designing and implementing solutions for Peppol services.

POLICY 5 Participant Identifier Meta Scheme

The Peppol Participant Identifier Meta Scheme is:
`iso6523-actorid-upis`

Applies to: All Participant Identifiers in all Peppol components

Note: This Meta Scheme is always case sensitive – only the Participant Identifier value is case insensitive (see POLICY 2).

Note: The Participant Identifier Meta Scheme may be omitted in documents because it is currently constant.

POLICY 6 Numeric Codes for Identifier Schemes

The numeric ISO 6523 code set as used in Peppol include additional code values not part of the official ISO 6523 code set and so cannot be referred to as the official ISO 6523 code set[15]. The codes starting with “99” are extending this code set and are called “extended values”. For convenience the term “ISO 6523” is used for all codes and indicates the origin of many code values used.

Applies to: All participant identifiers in all Peppol components

POLICY 7 Participant Identifiers for DNS

Participant identifiers – consisting of scheme and value – are encoded as follows into a DNS name:
`B-<hash-of-value>.<scheme>.<SML-zone-name>`

Applies to: The resolution of Peppol Participant Identifiers for SMP clients

Explanation:

<hash-of-value>	Is the string representation of the MD5 hash value, of the lowercased identifier value (e.g. 0088:abc). The **UTF-8** charset needs to be used for extracting bytes out of strings for MD5 hash value creation. Lowercasing must be performed according to the **en_US** locale rules (no special character handling).

[15] ISO 6523 is currently under revision after a 25 year working period; the new version will meet requirements imposed by technological development.

	Note: it is important, that the MD5 hash value is generated **after** the identifier value has been lowercased because according to POLICY 2 participant identifiers have to be treated case insensitive. "String representation" means the encoding of each MD5 hash-byte into 2 characters in the range of [0-9a-f] (e.g. byte value 255 becomes string representation "ff").
<scheme>	Is the identifier scheme value ("iso6523-actorid-upis" in Peppol) and is added "as is" into the DNS name[16]. A scheme identifier may only contain the following characters: only contain the following characters: [a-z], [0-9], [-]. A scheme identifier SHOULD be as short as possible, and MUST NOT exceed 25 characters.
<SML-zone-name>	Is the DNS domain name of the SML zone (e.g. "edelivery.tech.ec.europa.eu." – mind the trailing dot).

Example:

The Participant Identifier `0088:123abc` with the Meta Scheme `iso6523-actorid-upis` in the SML DNS zone `edelivery.tech.ec.europa.eu.` is encoded into the following identifier:

```
B-f5e78500450d37de5aabe6648ac3bb70.iso6523-actorid-upis.
edelivery.tech.ec.europa.eu.
```

The result must be the same if the identifier `0088:123ABC` is used, as identifier values are treated case insensitive.

POLICY 8 XML attributes for Participant Identifiers in SMP responses

The "scheme" attribute MUST be populated with the value "iso6523-actorid-upis" (see POLICY 5) in all instances of the "ParticipantIdentifier" element.

Applies to: XML documents used in the SMP

Example 1:

The following example from an SMP exchange denotes that the SMP Endpoint is identified using the ISO 6523 ICD value in the OpenPeppol set of Participant Identifier Schemes. This in turn has a numeric value of `0088` meaning that the party has a GLN number with the value of `7300010000001`.

```
<ParticipantIdentifier scheme="iso6523-actorid-upis"
>0088:7300010000001</ParticipantIdentifier>
```

Example 2:

The following example denotes that the SMP Endpoint is identified using the ISO 6523 ICD value in the OpenPeppol set of Participant Identifier Schemes. This in turn has a numeric value of `0002` meaning that the party has a French SIRENE identifier with the value of `542034942`.

```
<ParticipantIdentifier scheme="iso6523-actorid-upis"
>0002:542034942</ParticipantIdentifier>
```

[16] Case changes may be done but are not required, as the underlying DNS system is case insensitive.

POLICY 9 XML attributes for Electronic Address IDs (EndpointID) in UBL documents

The “schemeID” attribute MUST be populated in all instances of the “EndpointID” element when used within a “Party” element. The only valid values are defined in the [Peppol_CodeList] as “ICD value”.
Extended values starting with “99” as indicated by POLICY 6 MAY be used.

Applies to: All business documents used in a Peppol BIS with UBL syntax mapping

Example:

```
<cac:Party>
  <cbc:EndpointID schemeID="0088">7300010000001</cbc:EndpointID>
</cac:Party>
```

POLICY 10 XML attributes for Electronic Address IDs in CII documents

The “schemeID” attribute MUST be populated in all instances of the “ram:URIUniversalCommunication/ram:URIID” element when used within a “Party” element. The only valid values are defined in the [Peppol_CodeList] as “ICD value”.
Extended values starting with “99” as indicated by POLICY 6 MAY be used.

Applies to: All business documents used in a Peppol BIS with CII syntax mapping

Example:

```
<ram:BuyerTradeParty>
  <ram:URIUniversalCommunication>
    <ram:URIID schemeID="0088">7300010000001</ram:URIID>
  </ram:URIUniversalCommunication>
</ram:BuyerTradeParty>
```

POLICY 11 XML attributes for Participant Identifiers in the Envelope (SBDH)

The “Authority” attribute MUST be populated with the value "iso6523-actorid-upis" (see POLICY 5) in all instances of the “Identifier” element.

Applies to: All instances of the Peppol Business Message Envelope (SBDH)

Example 1:

The following example denotes that the Sender Identifier of the Business Envelope is identified using the ISO 6523 ICD value in the OpenPeppol set of Participant Identifier Schemes. This in turn has an alphanumeric value of `0088:7300010000001` meaning that the party has a GLN number with the value of `7300010000001`.

```
<Sender>
  <Identifier Authority="iso6523-actorid-
upis">0088:7300010000001</Identifier>
</Sender>
```

Example 2:

The following example denotes that the Receiver Identifier of the Business Envelope is identified using the ISO 6523 ICD value in the OpenPeppol set of Participant Identifier Schemes. This in turn has an alphanumeric value of `0088:7300010000001` meaning that the party has a GLN number with the value of `7300010000001`.

```
<Receiver>
```

```
  <Identifier Authority="iso6523-actorid-upis">0088:7300010000001
</Identifier>
</Receiver>
```

4 Policy for Peppol Party Identification

Party identification relates to business entities and is only used in business documents.

4.1 Format

POLICY 12 Use of ISO15459 structure

Party Identifier values used in Peppol are comprised of:
- An optional Identifier Scheme
- The value provided by this Identifier Scheme

Applies to: All Party identifiers in all Peppol components

Note: The Identifier Scheme MAY be omitted if it can be reasoned within the context[17].

Example:

Identifier Scheme: EAN International

Identifier Scheme according to ISO 6523: `0088`

Value provided by the Identifier Scheme: `1234567890128`

POLICY 13 Coding of Identifier Schemes

All Identifier Scheme for Party Identifiers are to be taken from the normative version of the ISO 6523 ICD list.

Applies to: All Party identifiers in all Peppol components

POLICY 14 XML attributes for Party Identifiers in UBL documents

The “schemeID” attribute SHOULD be populated in all instances of the “ID” element when used within a “PartyIdentification” element when used within a “Party” element. The only valid values are defined in the [ISO 6523] code list as the numeric “International Code Designator” (ICD) value. Extended values starting with “99” as indicated by POLICY 6 MUST NOT be used.

Applies to: All business documents used in a Peppol BIS with UBL syntax mapping

Note: The Party Identification is not involved in a Peppol Document Exchange – it is contained for business usage only.

Example 1:

The following example denotes that the ISO 6523 ICD value is `0088` meaning it’s a GLN number with the value of `7300010000001`.

```
<cac:PartyIdentification>
  <cbc:ID schemeID="0088">7300010000001</cbc:ID>
</cac:PartyIdentification>
```

Example 2:

The following example denotes that the ISO 6523 ICD value is `0002` meaning it’s a French SIRENE number with the value of `542034942`.

[17] This is e.g. relevant for the Peppol Billing BIS to be compliant with EN 16931.

```
<cac:PartyIdentification>
  <cbc:ID schemeID="0002">542034942</cbc:ID>
</cac:PartyIdentification>
```

POLICY 15 XML attributes for Party Identifiers in CII documents

The “schemeID” attribute SHOULD be populated in all instances of the “ID” element when used within a “PartyIdentification” element when used within a “Party” element. The only valid values are defined in the [ISO 6523] code list as the numeric “International Code Designator” (ICD) value. Extended values starting with “99” as indicated by POLICY 6 MUST NOT be used.

Applies to: All business documents used in a Peppol BIS with CII syntax mapping

Note: The Party Identification is not involved in a Peppol Document Exchange – it is contained for business usage only.

Example 1:

The following example denotes that the ISO 6523 ICD value is `0088` meaning it’s a GLN number with the value of `7300010000001`.

```
<ram:BuyerTradeParty>
  <ram:ID schemeID="0088">7300010000001</ram:ID>
</ram:BuyerTradeParty>
```

Example 2:

The following example denotes that the ISO 6523 ICD value is `0002` meaning it’s a French SIRENE number with the value of `542034942`.

```
<ram:BuyerTradeParty>
  <ram:ID schemeID="0002 ">542034942</ram:ID>
</ram:BuyerTradeParty>
```

5 Policies on Identifying Document Types supported by Peppol

Document Types are represented by an identifier value and an identifier scheme type which represents the scheme or format of the identifier itself.

As outlined in POLICY 2 Document Type Identifier Values have to be treated case sensitive.

5.1 Document Type Identifier Schemes

The Peppol eDelivery Network supports the following Document Type Identifier Schemes that are supported to fit different purposes when advertising receiving capabilities:

- the scheme “busdox-docid-qns”, supports “exact match”; and
- the scheme “peppol-doctype-wildcard” (introduced in v4.2.0), supports “best match” through the use of a wildcard

5.1.1 busdox-docid-qns

This Document Type Identifier Scheme “busdox-docid-qns” is the original Scheme that was always available in Peppol. It defines the layout for Document Type Identifier Values (see POLICY 20) as well as the matching rules. The matching of identifiers from the SMP is exact matching only, so only Document Types Identifiers that have the same Scheme and the same Value are considered equal.

Using this Scheme, Document Type Identifier Values MUST be identical for the sending AP (C2[18]), the receiving AP (C3[19]) and the SMP registration (of C4[20]) of the receiving AP in all occurrences. Hence, if the SMP registration for C4 uses the “busdox-docid-qns” scheme, C2 can only initiate a business document exchange if there is an exact Document Type Identifier Value string match.

5.1.2 peppol-doctype-wildcard

The Document Type Identifier Scheme “peppol-doctype-wildcard” was introduced to support the Peppol International Invoicing (PINT) project, which enables receivers to register multiple ‘similar’ receiving capabilities in an SMP, without having the need to register multiple similar SMP endpoints. The goal of the new Document Type Identifier Scheme is to fulfil the PINT requirements but will also be applicable to similar future requirements.

With this Document Type Identifier Scheme, business document receivers can register for all Document Types that match the root Document Type or are specialised in a single SMP endpoint. Specialised means that some or all features of the Parent Document Type are used and all rules of the Parent Document Type are respected.

Under this Scheme, the layout of Document Type Identifier Values will also follow POLICY 20 except for Customization ID.

The following rules for the “Customization ID” apply:

- [BR-PDC-01] The Customization ID MUST contain one or more “Parts”. Every Part following (i.e., being on the right side of) a previous Part MUST be represented by a more specialised (i.e., further restricted) business specification.
- [BR-PDC-02] If more than one Part is used in one Customization ID, each individual Part MUST be separated by the character “@” (ASCII Decimal 64) – see examples below. The Separator should be interpreted as “specialised by”.

[18] C2 refers to the 2nd corner of the 4-corner model
[19] C3 refers to the 3rd corner of the 4-corner model
[20] C4 refers to the 4th corner of the 4-corner model

- [BR-PDC-03] A Customization ID MUST NOT contain the same Part more than once.
- [BR-PDC-04] The leftmost Part is called the “Root Part”.
- [BR-PDC-05] A Part MUST NOT contain any of the characters “*” (ASCII Decimal 42), “@” (ASCII Decimal 64) or whitespace characters (ASCII Decimal 9, 10, 11, 12, 13, 32, 133, 160).

Note: The overall length restrictions imposed by POLICY 1 apply.

Note: These rules apply to all Customization IDs in all occurrences.

Example Customization IDs:

- `a`
  - One Part: `a`
  - `a` is the Root Part
- `a@b`
  - Two Parts: `a` and `b`
  - `a` is the Root Part
- `a@b@c@d`
  - Four Parts: `a`, `b`, `c` and `d`
  - `a` is the Root Part

The new concept of a “Wildcard Indicator” is introduced. It is represented by a “*” character (star or asterisk character, ASCII Decimal 42).

The following rules for the Wildcard Indicator apply:

- [BR-PDW-01] It MUST only be used in combination with the “peppol-doctype-wildcard” scheme.
- [BR-PDW-02] It MUST occur in SMP endpoint registration when using the “peppol-doctype-wildcard” scheme. It MUST NOT occur in any other standardized occurrences of “Customization IDs” (e.g. Peppol Business Message Envelope, AS4 UserMessage and Business Document).
- [BR-PDW-03] It MUST be the last character of the respective Customization ID in an SMP endpoint registration.
- [BR-PDW-04] It MUST only be used once per Identifier Value.
- [BR-PDW-05] It MUST follow a Part. Consequently, a Wildcard Indicator can never follow a Separator (as in `a@*`) and the sole usage of a Wildcard Indicator is also NOT allowed (`*`).

Examples of valid Wildcard Customization IDs:

- `a*`
- `a@b*`
- `a@b@c@d*`

Examples of invalid Wildcard Customization IDs:

- `a`
  - No Wildcard Indicator is present.
  - Violates rule [BR-PDW-02]
- `a**`
  - Only one Wildcard Character is allowed
  - The Wildcard Character must be the last character
  - Violates rules [BR-PDW-03] and [BR-PDW-04]
- `a@b@*`
  - The Wildcard Character must follow a Part
  - Violates rule [BR-PDW-05]
- `a*@b`

- The Wildcard Character must be the last character
- Violates rule [BR-PDW-03]

- `*`
  - The Wildcard Character must follow a Part
  - Violates rule [BR-PDW-05]

Note: A Document Type Identifier Value for "busdox-docid-qns" MUST NOT contain the "*" character.

Matching Document Type Identifiers with Wildcards

The following rules for matching Document Type Identifiers with "Wildcard Indicator" apply (for SMP responses):

- [BR-PDM-01] When matching SMP responses, all the Parts up to the Wildcard Indicator MUST be matched.
- [BR-PDM-02] When matching SMP responses, the Wildcard Indicator MUST act as a generalization for zero, one or more Parts.
- [BR-PDM-03] Matching MUST be performed from left to right.
- [BR-PDM-04] A Customization ID that matches more Parts MUST have precedence over a Customization ID with less matching Parts.

Examples:

- SMP registration `a*`
  - Matches e.g. `a`, `a@b` or `a@b@c@d`
  - Does not match e.g. `b`, `b@a` or `b@a@c`
- SMP registration `a@b*`
  - Matches e.g. `a@b`, `a@b@c`, `a@b@c@d`
  - Does not match e.g. `a`, `a@c`, `b@a`, or `c@a@b`
- SMP has a registration for `a*` and `a@b*`
  - Senders wanting to send `a@b@c` must choose the SMP endpoint offered by `a@b*`
  - Senders wanting to send `a@b` must choose the SMP endpoint offered by `a@b*`
  - Senders wanting to send `a@c` must choose the SMP endpoint offered by `a*`
  - Senders wanting to send `a` must choose the SMP endpoint offered by `a*`
  - Senders wanting to send `b@c` will not find a matching SMP endpoint

Note: The usage of this Document Type Identifier Scheme leads to differences between what the sending AP (C2) queries from the SMP (retrieved receiving capabilities will include a wildcard, and may not include all Scheme Parts of the Customization ID) and what the sending AP puts into the Business Message Envelope (full Customization ID for the document, without wildcard) to be delivered to the receiving AP (C3).

Note: The Customization ID is embedded into a Document Type Identifier Value as described in chapter 5.2 and needs to be extracted before any matching can be performed.

Note: Matching Document Type Identifiers is usually only done in Access Points and other SMP lookup components. SMP server solutions don't need to perform any matching.

Any BIS may choose to use one or more specific Document Type Identifier Schemes. Any BIS that supports more than one Document Type Identifier Scheme, must also define its own complete matching algorithm prioritising the different supported schemes.

For any BIS, that does not define an explicit Document Type Identifier Scheme, only "busdox-docid-qns" is to be used for backwards compatibility reasons. Any BIS can override the default Document Type Identifier Scheme if there is sufficient value to warrant a different approach. In the event of a

particular BIS requiring additional special use, e.g. that exact-match is not supported for some reason, the BIS-specific rules must be added to the BIS.

5.1.3 Comparison between the different Document Type Identifier Schemes

The following table lists the equalities and differences of these Identifier Schemes:

Document Type Identifier Scheme	busdox-docid-qns	peppol-doctype-wildcard
Value Syntax	POLICY 20 applies The "*" is not allowed	POLICY 20 applies
Customization ID	Defined by a Peppol BIS	At least the Root Part needs to be defined by a Peppol BIS. Not all permutations are known in advance.
Receiver announces in SMP	Full Document Type Identifier	Document Type Identifier including a Wildcard Indicator
Sender document type matching	Exact matches only	Wildcard matching
Sender provides in Envelope and Receiver receives in Envelope	Full Document Type Identifier	Full Document Type Identifier without a Wildcard. This value will differ from what is announced in the SMP.

POLICY 16 Document Type Identifier Scheme

The Peppol Document Type Identifier Scheme to be used MUST be one of the following:
`busdox-docid-qns`
`peppol-doctype-wildcard`

Applies to: All Document Type Identifiers in all components

Note: The Document Type Identifier Schemes are case sensitive.

5.2 Document Type Identifier Values

The identifier format is an aggregated format that covers the following identifier concepts:

- **Syntax specific Identifier**:
  This identifies the syntax (e.g. XML) and format (e.g. UBL Invoice) of the document that is being exchanged in the service. E.g. for XML documents, the root element namespace (the namespace of the schema defining the root element) and document element local name (the name of the root element) are concatenated using the "::" delimiter to define the syntax of the XML document.
- **Customization Identifier**:
  An identification of the specification containing the total set of rules regarding semantic content, cardinalities and business rules to which the data contained in the business document conforms. Peppol requirements are documented in Peppol BIS which also indicate the implementation syntax (like UBL). See [Peppol_PostAward] for details.

- **Version Identifier**:
  This identifies the version of a document type following the versioning conventions of that specific document syntax and format.

POLICY 17 Customization Identifiers

For “busdox-docid-qns”:
The Customization Identifier is defined in the relevant Peppol BIS specification.
A Customization Identifier MUST NOT contain “*” (ASCII Decimal 42) or whitespace characters (ASCII Decimal 9, 10, 11, 12, 13, 32, 133, 160).

Applies to: All Document Type Identifiers in all components using the “busdox-docid-qns” Document Type Identifier Scheme.

Example 1 (from Billing BIS v3):

```
urn:cen.eu:en16931:2017#compliant#urn:fdc:peppol.eu:2017:poacc:billing:3.0
```

Example 2 (from Order BIS v3):

```
urn:fdc:peppol.eu:poacc:trns:order:3
```

Example 3 (from JP BIS Self-Billing Invoice):

```
urn:peppol:pint:selfbilling-1@jp-1
```

For “peppol-doctype-wildcard”:
The Customization Identifier is assembled from the “Parts” and the separator “@” (ASCII Decimal 64) as described in chapter 5.1.2. At least the “Root Part” is defined in the relevant Peppol BIS specification.
When used in SMP registrations, the “Wildcard Indicator” as described in chapter 5.1.2 MUST be present.

Applies to: All Document Type Identifiers in all components using the “peppol-doctype-wildcard” Document Type Identifier Scheme.

Note: The same Customization (excluding the Wildcard Indicator) may be used with the “busdox-docid-qns” scheme, as long as its specific rules are followed.

Example 1 (used except for SMP registrations):

```
urn:peppol:pint:selfbilling-1@jp-1
```

Example 2 (used for SMP registrations):

```
urn:peppol:pint:selfbilling-1*
```

Example 3 (used for SMP registrations):

```
urn:peppol:pint:selfbilling-1@jp-1*
```

POLICY 18 Specifying Customization Identifiers in UBL documents

The value for “CustomizationID” element in the UBL document instance must correspond to the Customization ID of the Document Type Identifier.

Applies to: All business documents used in a Peppol BIS with UBL syntax mapping

Example (from Billing BIS v3):

```
<cbc:CustomizationID>urn:cen.eu:en16931:2017#compliant#urn:fdc:peppol.
eu:2017:poacc:billing:3.0</cbc:CustomizationID>
```

POLICY 19 Specifying Customization Identifiers in CII Documents

The value for "//ExchangeDocumentContext/GuidelineSpecifiedDocumentContextParameter/ID" element in the CII document instance must correspond to the Customization ID of the Document Type Identifier.

Applies to: All business documents used in a Peppol BIS with CII syntax mapping

CII example (from Billing BIS v3):

```
<rsm:ExchangedDocumentContext>
  <ram:GuidelineSpecifiedDocumentContextParameter>
    <ram:ID>
urn:cen.eu:en16931:2017#compliant#urn:fdc:peppol.eu:2017:poacc:billing
:3.0
    </ram:ID>
  </ram:GuidelineSpecifiedDocumentContextParameter>
</rsm:ExchangedDocumentContext>
```

POLICY 20 Document Type Identifier Value pattern

The format of a Document Type Identifier Value is:
`<syntax specific id>##<customization id>::<version>`
`<version>` is used to reflect the version of the underlying format standard (e.g. the UBL version).

Applies to: All Document Type Identifiers in all components

The Document Type Identifier Value pattern is based on a concatenation of a syntax specific identifier and a subtype identifier in the layout:

```
<syntax specific id>##<subtype Identifier>
```

The two consecutive hash signs `##` represent a string literal.

The `<syntax specific id>` for XML based documents is a concatenation of the document element namespace URI and the document element local name, separated by a double-colon:

```
<document element namespace URI>::<document element local name>
```

The `<subtype Identifier>` is the combination of customization ID and version.

Therefore, the final structure of the pattern is:

```
<syntax specific id>##<customization id>::<version>
```

When representing document type identifiers in URLs, the document identifier itself will be prefixed with the scheme identifier (see POLICY 16) following two colons:

```
<scheme identifier>::<syntax specific id>##<customization id>::<version>
```

This string must be percent encoded if used in a URL.

Example (from Billing BIS v3):

The following example denotes a Document Type that is a UBL 2.1 Invoice conforming to the Peppol Billing BIS v3.

```
urn:oasis:names:specification:ubl:schema:xsd:Invoice-
2::Invoice##urn:cen.eu:en16931:2017#compliant#urn:fdc:peppol.eu:2017:p
oacc:billing:3.0::2.1
```

Syntax specific ID	urn:oasis:names:specification:ubl:schema:xsd:Invoice-2::Invoice
XML document element namespace URI	urn:oasis:names:specification:ubl:schema:xsd:Invoice-2
XML document element local name	Invoice
Customization ID	urn:cen.eu:en16931:2017#compliant#urn:fdc:peppol.eu:2017:poacc:billing:3.0
Version	2.1

Example (using a Wildcard Customization ID):

The following example denotes a Document Type for usage in an SMP registration that is a UBL 2.1 Invoice conforming to an example Customization ID.

```
urn:oasis:names:specification:ubl:schema:xsd:Invoice-
2::Invoice##urn:peppol:pint:selfbilling-1*::2.1
```

Syntax specific ID	urn:oasis:names:specification:ubl:schema:xsd:Invoice-2::Invoice
XML document element namespace URI	urn:oasis:names:specification:ubl:schema:xsd:Invoice-2
XML document element local name	Invoice
Customization ID	urn:peppol:pint:selfbilling-1*
Version	2.1

POLICY 21 Specifying Document Type Identifiers in SMP documents

The value for the "scheme" attribute must be one of the values listed in POLICY 16 and the element value must be the Document Type Identifier itself.

Applies to: All XML documents used in the SMP

Example (using busdox-docid-qns):

```
<DocumentIdentifier scheme="busdox-docid-qns">
urn:oasis:names:specification:ubl:schema:xsd:Invoice-
2::Invoice##urn:cen.eu:en16931:2017#compliant#urn:fdc:peppol.eu:2017:p
oacc:billing:3.0::2.1
</DocumentIdentifier>
```

Example (using peppol-doctype-wildcard):

```
<DocumentIdentifier scheme="peppol-doctype-wildcard">
urn:oasis:names:specification:ubl:schema:xsd:Invoice-
2::Invoice##urn:peppol:pint:selfbilling-1*::2.1
</DocumentIdentifier>
```

Note: The Wildcard Indicator ("*") is required for Customization IDs in SMP registrations using the "peppol-doctype-wildcard" Document Type Identifier Scheme.

POLICY 22 Specifying Document Type Identifiers in the Envelope (SBDH)

When the "//BusinessScope/Scope/Type" element value is "DOCUMENTID", the value for the "//BusinessScope/Scope/Identifier" element must be one of the values listed in POLICY 16 and the value of the element "//BusinessScope/Scope/InstanceIdentifier" must be the Document Type Identifier Value itself.

Applies to: All instances of the Peppol Business Message Envelope (SBDH)

Example (using busdox-docid-qns):

```
<BusinessScope>
  <Scope>
    <Type>DOCUMENTID</Type>
    <InstanceIdentifier>
urn:oasis:names:specification:ubl:schema:xsd:Invoice-
2::Invoice##urn:www.cenbii.eu:transaction:biitrns010:ver2.0:extended:u
rn:www.peppol.eu:bis:peppol4a:ver2.0::2.1</InstanceIdentifier>
    <Identifier>busdox-docid-qns</Identifier>
  </Scope>
</BusinessScope>
```

Note: The order of elements is defined by the Standard Business Document Header XML Schema.

Example (using peppol-doctype-wildcard):

```
<BusinessScope>
  <Scope>
    <Type>DOCUMENTID</Type>
    <InstanceIdentifier>
urn:oasis:names:specification:ubl:schema:xsd:Invoice-
2::Invoice##urn:peppol:pint:selfbilling-1@jp-
1::2.1</InstanceIdentifier>
    <Identifier>peppol-doctype-wildcard</Identifier>
  </Scope>
</BusinessScope>
```

Note: The order of elements is defined by the Standard Business Document Header XML Schema.

Note: The Wildcard Indicator MUST NOT be used in the SBDH.

POLICY 23 Document Type Identifier Values

All valid Document Type Identifier Values are defined in [Peppol_CodeList].

Applies to: All Document Type Identifiers in all components, except for SMP document using a Wildcard Customization ID

POLICY 23a Document Type Identifier Values Code List States

Code List rows in [Peppol_CodeList] with the state "deprecated" MUST NOT be used for new SMP endpoint registrations, rows with the state "removed" MUST NOT be used at all.

Applies to: All Document Type Identifiers in all components

Note: It is important to note that this is a dynamic list. Over time new services will be added. Developers should take this into account when designing and implementing solutions for Peppol services.

6 Policy for Peppol Process Identifiers

Process Identifiers define the orchestrations in which business documents are exchanged. A Process Identifier Value is referenced in a Peppol BIS specification as “profile identifier”.

As outlined in POLICY 2 Peppol process identifiers have to be treated case sensitive.

POLICY 24 Process Identifier Scheme

The Peppol Process Identifier Scheme is:
`cenbii-procid-ubl`

Applies to: All Process Identifiers in all components

Note: this scheme identifier is always case sensitive

POLICY 25 Process Identifier Value

All valid Process Identifier Values are defined in [Peppol_CodeList].
Process Identifier Values MUST NOT contain whitespace characters.

Applies to: All Process Identifiers in all components

Example 1 (from Billing BIS v3):

```
urn:fdc:peppol.eu:2017:poacc:billing:01:1.0
```

Example 2 (from Order BIS v3):

```
urn:fdc:peppol.eu:poacc:bis:ordering:3
```

POLICY 25a Process Identifier Value Code List States

Code List Rows in [Peppol_CodeList] with the state "deprecated" MUST NOT be used for new SMP endpoint registrations, rows with the state "removed" MUST NOT be used at all.

Applies to: All Process Identifiers in all components

Note: It is important to note that this is a dynamic list. Over time new services will be added. Developers should take this into account when designing and implementing solutions for Peppol services.

POLICY 26 Specifying Process Identifiers in the Envelope (SBDH)

When the “//BusinessScope/Scope/Type” element value is “PROCESSID”, the value for the “//BusinessScope/Scope/Identifier” element must be “cenbii-procid-ubl” (see POLICY 24) and the value of the element “//BusinessScope/Scope/InstanceIdentifier” must be the Process Identifier Value itself.

Applies to: All instances of the Peppol Business Message Envelope (SBDH)

Example:

```
<BusinessScope>
  <Scope>
    <Type>PROCESSID</Type>
    <InstanceIdentifier>
urn:fdc:peppol.eu:2017:poacc:billing:01:1.0</InstanceIdentifier>
    <Identifier>cenbii-procid-ubl</Identifier>
  </Scope>
</BusinessScope>
```

Note: The order of elements is defined by the Standard Business Document Header XML Schema.

POLICY 27 Specifying Process Identifiers in SMP documents

The value for the scheme attribute SHOULD be “cenbii-procid-ubl” (see POLICY 24) and the element value MUST be the process identifier itself.

Applies to: XML documents used in the SMP

Example 1 (from Billing BIS v3):

```
<ProcessIdentifier scheme="cenbii-procid-ubl"
>urn:fdc:peppol.eu:2017:poacc:billing:01:1.0</ProcessIdentifier>
```

Example 2 (from Order BIS v3):

```
<ProcessIdentifier scheme="cenbii-procid-ubl"
> urn:fdc:peppol.eu:poacc:bis:ordering:3</ProcessIdentifier>
```

7 Policy on Identifying Transport Profiles in Peppol

7.1 SMP

The Peppol Transport Infrastructure supports different transport protocols. Each endpoint registered in an SMP is required to provide a transport profile identifying the used transport.

POLICY 28 Transport Profile Values

All valid Transport Profile Values are defined in [Peppol_CodeList].

Applies to: All XML documents used in the SMP

POLICY 28a Transport Profile Value Code List States

Rows in [Peppol_CodeList] with the state "deprecated" MUST NOT be used for new SMP endpoint registrations, rows with the state "removed" MUST NOT be used at all.

Applies to: All XML documents used in the SMP

Note: It is important to note that this is a dynamic list. Over time new services will be added. Developers should take this into account when designing and implementing solutions for Peppol services.

POLICY 29 Specifying Transport Profiles in SMP documents

The Transport Profile identifier MUST be placed in the “transportProfile” attribute of the SMP “Endpoint” element.
The value of the “transportProfile” attribute is case sensitive.

Applies to: All XML documents used in the SMP

Example (AS4 profile v2):

```
<Endpoint transportProfile="peppol-transport-as4-v2_0">
  ...
</Endpoint>
```

8 Governance of this Policy

This policy needs maintenance to ensure it supports new versions of the standards, extensions to other identification schemes, new services etc.

This policy document together with the code lists for Identifier Schemes, Document Type Identifiers, Process Identifiers and Transport Profiles is maintained by the Peppol Transport Infrastructure Coordinating Community (TICC).

To ensure sustainability and proper governance of Identifier Schemes it is proposed to include only Identifier Schemes in the scope of:

1. It should be verified, whether an inclusion in the official ISO 6523 code list is possible
2. International recognized standard schemes (e.g. CEN, ISO, UN/ECE)
3. International de-facto accepted schemes (e.g. OASIS)
4. Nationally defined schemes

It shall be ensured that each Identifier Scheme provider:

1. Recognizes any organisation wishing to allocate unique Party identifiers as part of Peppol. An individual organisation or company wishing to issue unique identifiers shall do so through officially recognized umbrella organisations such as their trade associations, network provider or a public or state agency;
2. Has defined rules so that a unique party identifier is only re-issued after the previously issued unique identifier has ceased to be of significant to any user. The length of such period should be dependent upon the environment in which the unique identifier will be used.

These rules mirror those of an ISO 15459 registration Authority and will support the option to transfer the responsibility that authority as part of the Peppol sustainability programme.