



New PEPPOL Agreement Framework Presentation at the Stakeholder Community meetings

**Brussels
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Presentation outline

1. Introduction
2. Status on the annex updates
3. The new Agreement Framework
 - What do we want to achieve?
 - Where are we in the process?
 - Highlights in the current proposal
 - Next steps

The PEPPOL Transport Infrastructure Agreement (TIA)

- ▶▶ Original TIA developed in 2011/2012 at the close of the PEPPOL project
- ▶▶ Making PEPPOL an open, transparent community with consistent minimum requirements and criteria applied throughout the PEPPOL eDelivery Network
- ▶▶ PEPPOL Authority Agreement
- ▶▶ PEPPOL Access Point (AP) Provider Agreement
- ▶▶ PEPPOL Service Metadata Publisher (SMP) Provider Agreement
- ▶▶ Annex 1 – Contact points
- ▶▶ Annex 2 – Definitions
- ▶▶ Annex 3 – Service and Service Levels
- ▶▶ Annex 4 – Technical Standards
- ▶▶ Annex 5 – Domain and its specific services and service levels
- ▶▶ Annex 6 – Change Procedures

A lot has happened since 2012

- ▶▶ PEPPOL is expanding
 - ▶▶ new markets, i.e. new PEPPOL Authorities
 - ▶▶ new application domains are approaching production,
 - ▶ i.e. eTendering
 - ▶▶ even more application domains are in the pipeline
 - ▶ e.g. Payment, eGovernment, ...
 - ▶▶ new domains are introducing new types of service providers as well as service requirements
- ▶▶ New specifications have been made available, not reflected in the Agreements
- ▶▶ New OpenPEPPOL organizational structure not reflected

What need to be done?

Update current agreements to reality

- ▶▶ TIA annex 1, 3 and 4
- ▶▶ eTendering Interim Agreement, annex 4

Create a robust Agreement Framework for the future

- ▶▶ Revised PEPPOL Agreement Framework



**Updating current
agreements to
reality**

- ▶▶ TIA annex updates
- ▶▶ eTendering Interim Agreement, annex 4 update

TIA annex updates

- ▶▶ Aim is to **implement changes already agreed by the respective CMB** to the annexes in order to reflect current reality
 - ▶▶ Annex 1: new organizational structure
 - ▶▶ Annex 3: increased service level (availability)
 - ▶▶ Annex 4: reference current specifications
- ▶▶ Quick process - in compliance with the change procedure (Annex 6)
 - ▶▶ Prepare
 - ▶▶ Review by PEPPOL Authorities in consultation with their Service providers
 - ▶▶ Vote by PEPPOL Authorities
 - ▶▶ Migration notice

eTendering Interim Agreement

- ▶▶ **The eTendering Interim Agreement is already approved for use**
 - ▶▶ Substitutes the PEPPOL Access Point Provider Agreement for AP providers in the e-Tendering business process domain
 - ▶▶ Separate agreement between e-Tendering platform providers, as the e-Tendering actors and platforms utilize different technical building blocks and specifications.
- ▶▶ Some details need to be corrected in annex 4 in order to align with the TIA

Where are we?

▶▶ TIA annex 1 and 3

- ▶▶ Approved at the PA meeting on February 13

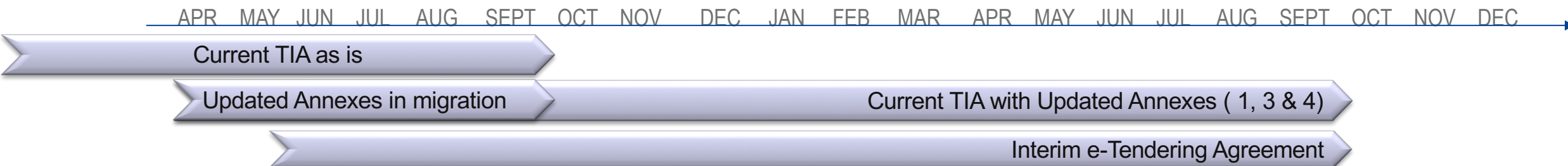
▶▶ TIA annex 4

- ▶▶ Formal approval pending availability of the AS2 2.0 specification – now available
- ▶▶ Final voting should take place at the PA meeting later today

▶▶ Interim eTendering Agreement annex 4

- ▶▶ Dependency on the content of TIA annex 4
- ▶▶ Some details still need to be discussed and resolved

Implementation



- ▶▶ Formal notice on the availability and implementation of the updated annexes will be sent to all PA's by OpenPEPPOL and to SP's by the PA with whom they have a contract.
- ▶▶ No need to re-sign any agreements.



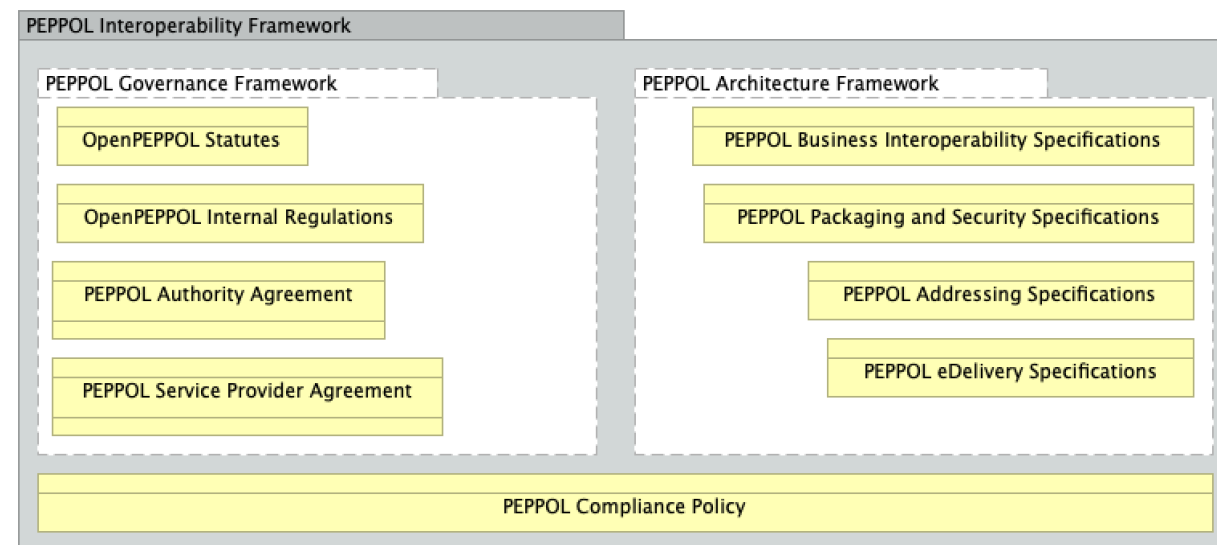
**Create a robust
Agreement
Framework for
the future**

The new PEPPOL Agreement Framework

- What do we want to achieve?
- Where are we in the process?
- Highlights in the current proposal
- Next steps

The PEPPOL Agreement Framework

- ▶▶ A set of common agreement documents for use by all actors in PEPPOL, applicable to all application domains.
- ▶▶ Part of the PEPPOL Governance Framework
 - ▶▶ PEPPOL Authorities and Service Providers will be working together within the boundaries of the Governance Framework to provide services that complies with the Architecture Framework.



Key requirements (1)

- ▶▶ Reflect the delegation of authority outlined in the OpenPEPPOL statutes
 - ▶▶ Change management process, compliant with OpenPEPPOL change management policy
 - ▶▶ Release management aligned with OpenPEPPOL Migration Policy

- ▶▶ Stability in legal text while allowing for agile implementation of agreed changes to specifications
 - ▶▶ Separate operational procedures from legal requirements
 - ▶▶ Clear and unambiguous identification of the parties signing an agreement
 - ▶▶ Clear and unambiguous definition of responsibilities of the actors involved

Key requirements (2)

- ▶▶ Maintain a distributed, decentralized governance structure with PEPPOL Authorities
 - ▶▶ Continued support for PA's to adapt for demands specific to their jurisdiction
- ▶▶ Governance must be manageable both for PA's and SP's

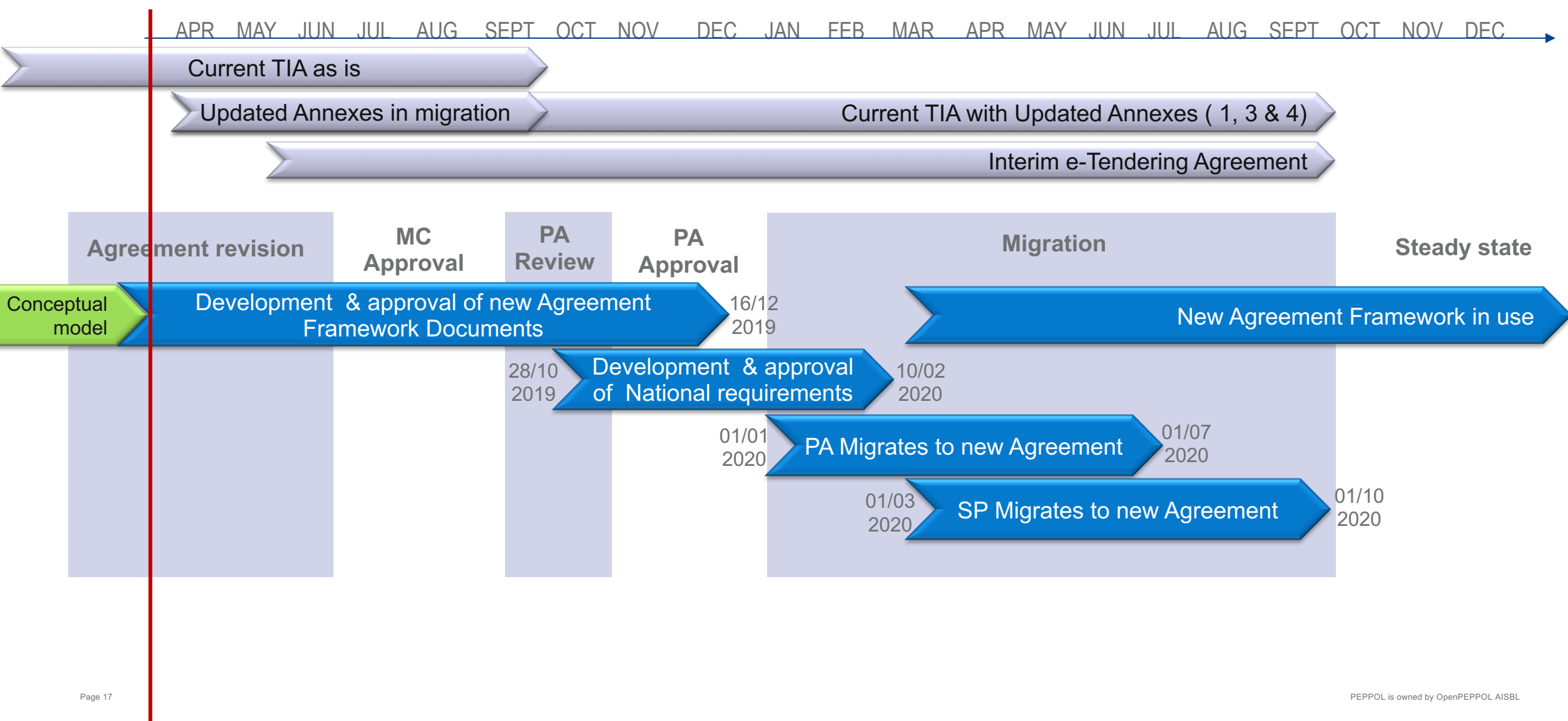
Key requirements (3)

- ▶▶ Facilitate implementation of new application domains, as well as their evolution over time
 - ▶▶ Different application domains require different services, specifications and service levels
 - ▶▶ Regulate services and service level requirements for different application domains

Key requirements (4)

- ▶▶ Recognize service providers other than AP/SMP providers
- ▶▶ Secure equal terms and conditions for all SP's, across jurisdictions of different PA's through one common agreement applicable for all SP's
- ▶▶ Allow flexibility regarding the distribution of services amongst different SPs and their sub-contractors

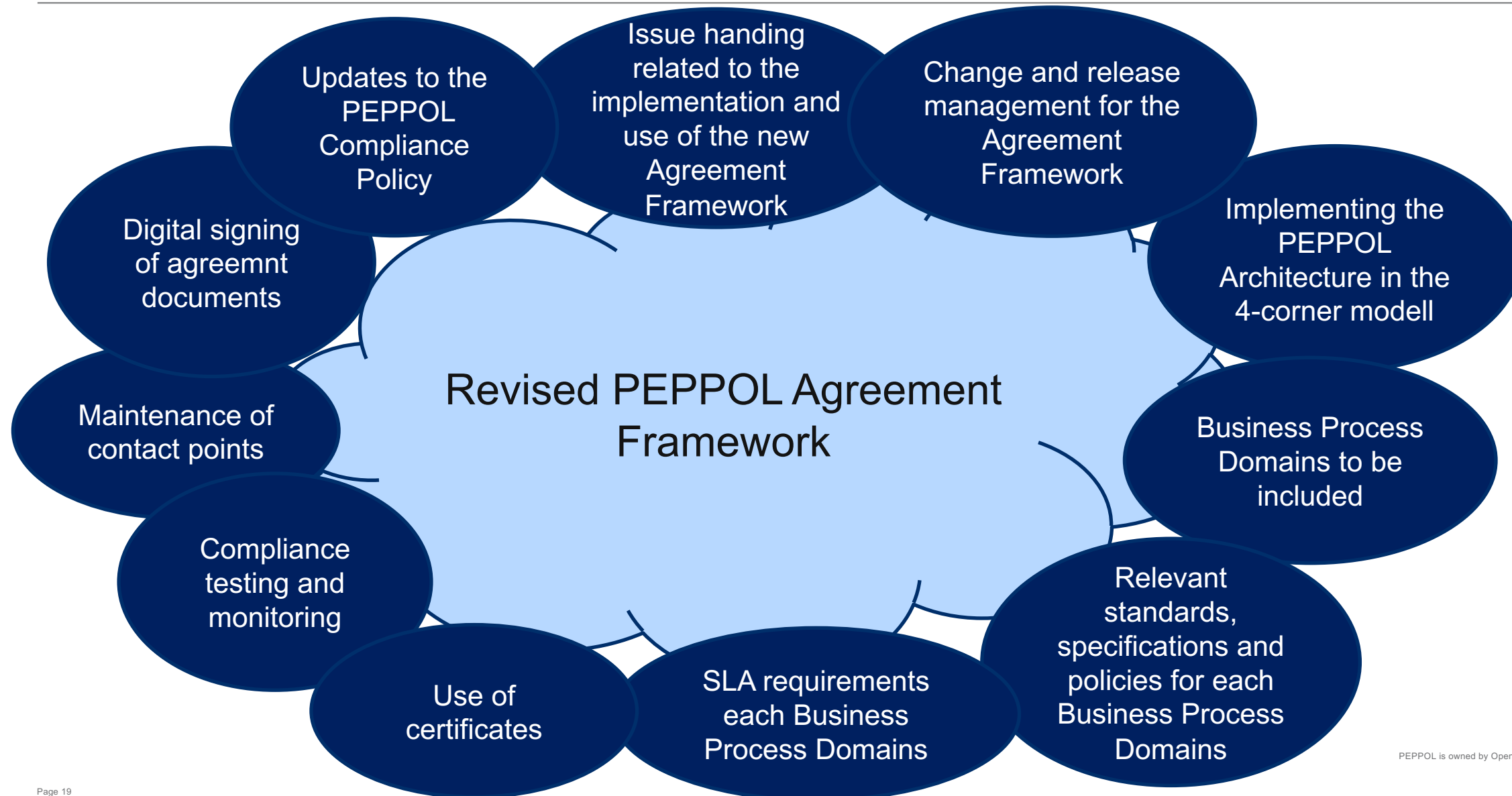
Implementation timeline



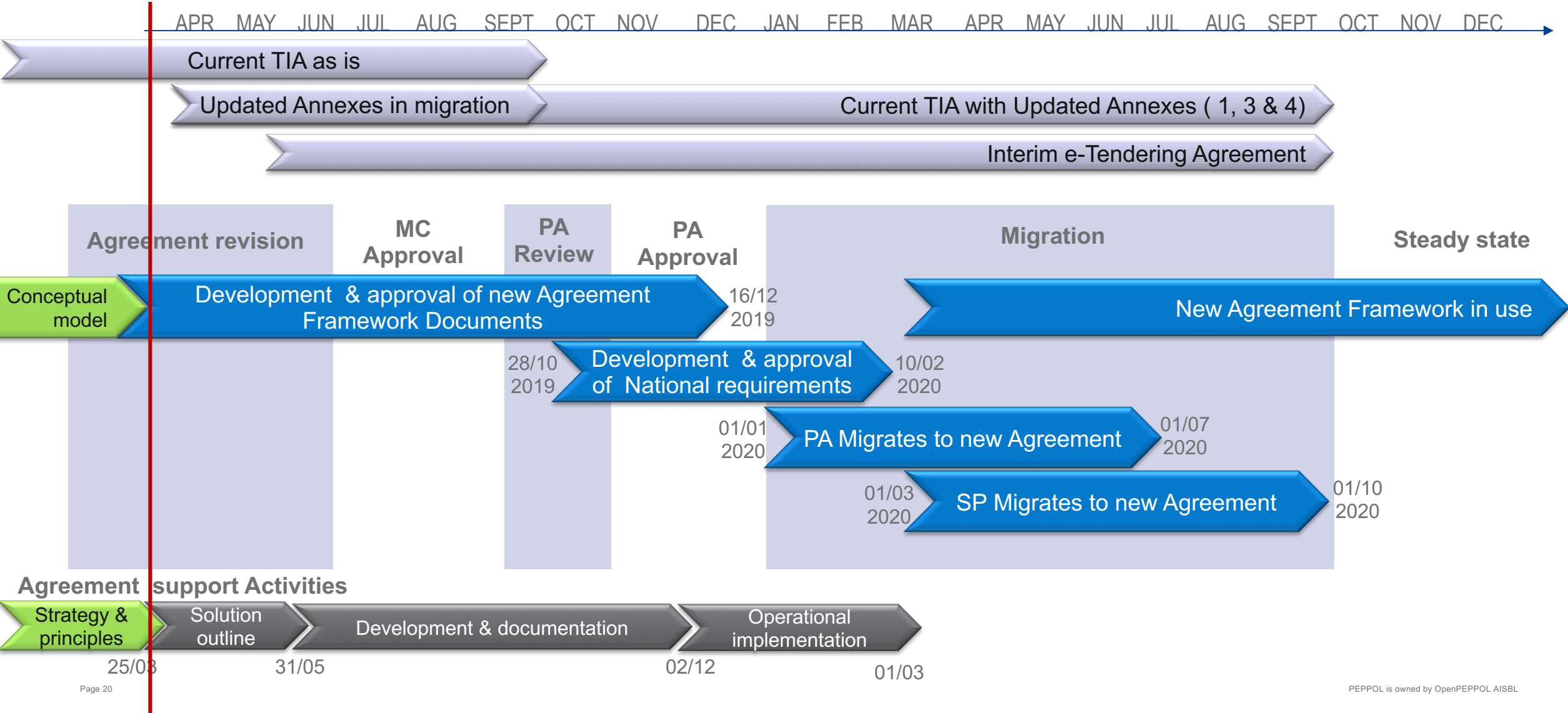
Conceptual Model

- ▶▶ Pre-approved by MC on January 16
- ▶▶ Distributed to PA's for review on January 20 with deadline for comments on March 6
 - ▶ 4 information webinars conducted with approximately 25 attendees
- ▶▶ No comments received on the conceptual model itself
 - ▶ Some concerns raised on the activities, capacity and resourced needed to implement the revised Agreement Framework as proposed
- ▶▶ **MC approved the Conceptual Model as a basis for moving forward with the Agreement Revision in its meeting on March 19.**

Complementing activities



Implementation





Highlights in
the current
proposal

Delegation of authority

OpenPEPPOL AISBL

Strategic
governance

- ▶▶ OpenPEPPOL MC
 - ▶▶ Agreement Framework
 - ▶▶ Compliance Policy

Operational
governance

- ▶▶ OpenPEPPOL OO
 - ▶▶ Internal regulations
 - ▶▶ Compliance testing and certificates

Development
& sustainability

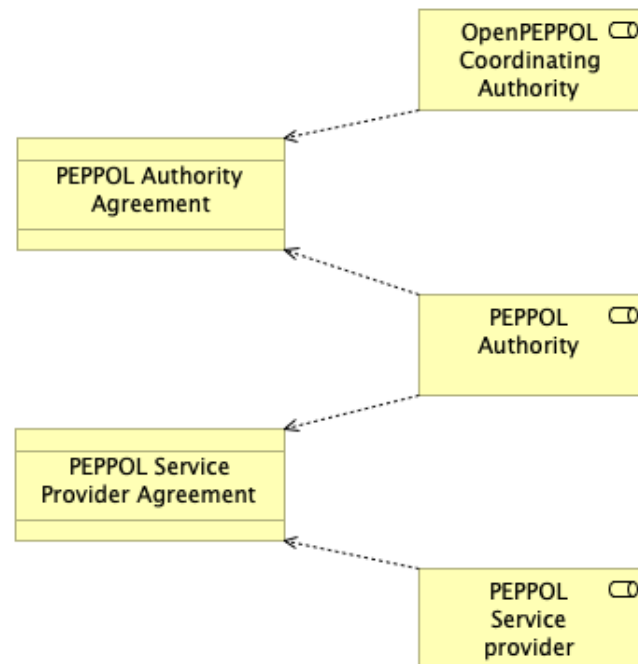
- ▶▶ Community CMB
 - ▶▶ Content of standards and specifications
 - ▶▶ **List of standards and SLA requirements applicable within a Business Process Domain**

Stability vs. agility

- ▶▶ Elements subject to «frequent» change are moved out of the Agreement documents and will be maintained on peppol.eu, e.g.:
 - ▶▶ Contact points (annex 1)
 - ▶▶ List of applicable standards, specifications and policies (annex 4)
 - ▶▶ List of SLA requirements (annex 3)

- ▶▶ Agreement need to recognise this fact
 - ▶▶ The Agreement Framework itself, as well as all policies, standards and specifications, are subject to a defined change management process;
 - ▶▶ The availability of a new version shall be explicitly announced to each actor;
 - ▶▶ All actors are expected to implement approved changes according to the defined migration policy;
 - ▶▶ Any actor that declines implementation of agreed new versions shall be deemed to have terminated its agreement according to normal notice.

Decentralized governance



- ▶▶ **OpenPEPPOL AISBL** will maintain responsibility for the central governance of common standards, specifications and policies, i.e. the PEPPOL Architecture Framework
- ▶▶ **PEPPOL Authorities** will be delegated the governance of implementation and use of the PEPPOL eDelivery network within a defined jurisdiction through the PEPPOL Authority Agreement.
 - ▶▶ As is the case with the current TIA, the PA will be given the opportunity to define its specific requirements (“Annex 5”-requirements) applicable within its jurisdiction.
- ▶▶ **Service Providers** will offer services to PEPPOL Participants based on the PEPPOL Architecture Framework

- **The current AP Provider Agreement and SMP Provider Agreement will no longer exist as separate agreements.**
- **Instead the type of services regulated by these agreements will be covered by the PEPPOL Service Provider Agreement.**

«Annex 5»-requirements

- ▶▶ **The agreement revision is not expected to represent changes to the content or use of “annex 5” other than what is needed to reflect the approved PEPPOL Compliance Policy.**
- ▶▶ There is however an expectation that the defined legal responsibilities of the PA’s, including their use of “Annex 5”, will be monitored and enforced.
- ▶▶ Furthermore, it is expected that the PEPPOL Authority terms and conditions document will allow the PA to approve additional interoperability specifications for use, subject to the following conditions:
 - ▶▶ it shall be identified and referenced on www.peppol.eu,
 - ▶▶ it shall be free to use for all PEPPOL Participants, and
 - ▶▶ it shall be supported by openly and freely available validation artefacts.

«Annex 5» approval process

▶ Defined in the PEPPOL Compliance Policy

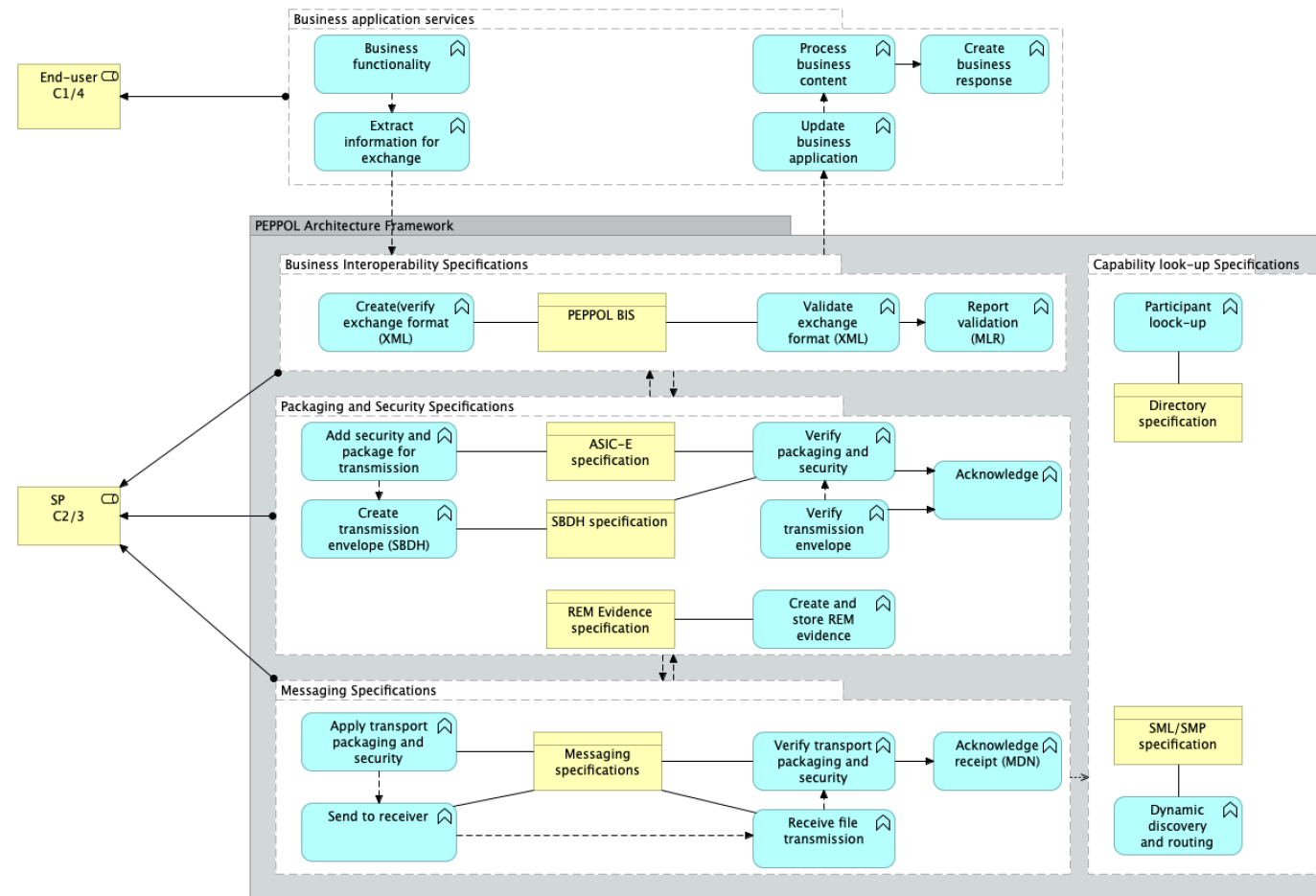
1. A **draft** of the proposed Annex 5 shall be prepared by the PEPPOL Authority.
2. A **review** of the draft Annex 5 shall be performed by the PEPPOL Agreement Coordinator and the PEPPOL Compliance & QA Lead to ensure that:
 - a. all overarching principles are respected;
 - b. the requirements and criteria do not represent an unnecessary burden on service providers.
3. Comments to the draft resulting from the review process shall be resolved by the PEPPOL Authority.
4. Following the **comment resolution** and in consultation with the PEPPOL Authority, the PEPPOL Compliance & QA Lead shall make a recommendation to accept or reject the draft Annex 5, supported by a summary of the process including issues addressed during comment resolution and any outstanding issues not yet resolved.
5. Based on the recommendation from the PEPPOL Compliance & QA Lead, the PEPPOL Coordinating Authority shall **approve** or reject the draft Annex 5 for implementation.

PA activities related to “annex 5”

- ▶▶ Start preparing “Annex 5” content as soon as the document outlining is distributed for review → **July**
- ▶▶ Finalize their “Annex 5” immediately after the initial PA review of the document outline → **October**
- ▶▶ Submit their “Annex 5” for MC approval at least 6 weeks prior to publication of the Service Provider Agreement → **December**
 - ▶▶ The MC will need at least 8 weeks to approve “Annex 5” requests from PA’s.

The PEPPOL Architecture Framework

- ▶▶ End user is responsible for content of business document
 - ▶▶ As well as the tools used
- ▶▶ SP is responsible for all services offered in compliance to the PEPPOL Architecture
- ▶▶ SP may subcontracted any part of its services to other providers
 - ▶▶ Specialised AP providers or the end user)



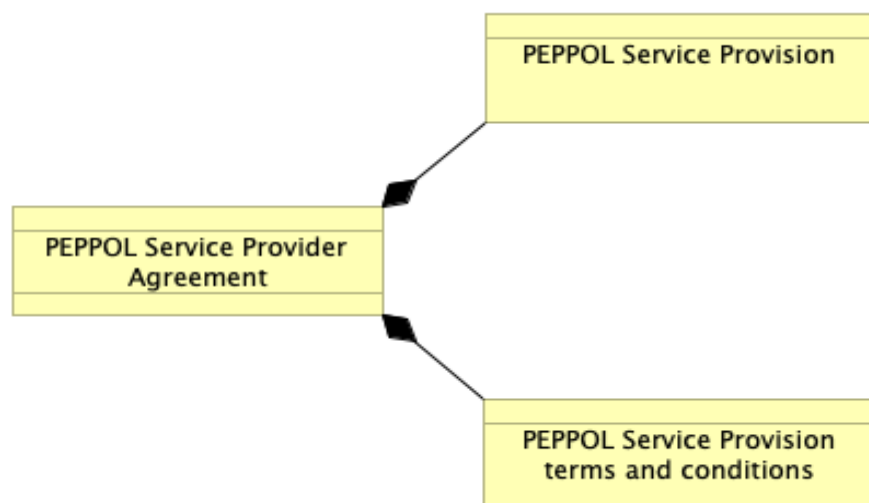
- ▶▶ OpenPEPPOL will continue to make PEPPOL Business Interoperability Specifications (PEPPOL BIS) available for use by the market.
- ▶▶ **OpenPEPPOL has defined its PEPPOL BIS as mandatory for use by all participants in the PEPPOL eDelivery Network** in order to establish a common baseline for organisational and semantic interoperability,

➤ **Important clarifications:**

- ▶▶ This implies that a PEPPOL Participant must have its PEPPOL BIS receive capability registered in an SMP, before their capability to receive other document types covering the same business process can be registered.
- ▶▶ OpenPEPPOL issues document identifiers, and through this process OpenPEPPOL also decides if a new document type has a corresponding PEPPOL BIS document type or not.
 - If no corresponding PEPPOL BIS document type exist, OpenPEPPOL can issue document identifiers that can be used without initial registration of PEPPOL BIS receive capability.
 - If a corresponding PEPPOL BIS document type is provided at a later stage, OpenPEPPOL can include the mandatory PEPPOL BIS requirement at a later stage through ordinary change management procedures.
- ▶▶ Only PEPPOL Authorities can request for non-PEPPOL BIS document types to be allocated a PEPPOL document identifier.
- ▶▶ Also, only PEPPOL Authorities can create derivative specifications based on PEPPOL BIS, as well as national rulesets within a PEPPOL BIS.

The PEPPOL Service Provider Agreement

- ▶▶ One common agreement for all SP's
 - ▶▶ Discontinue the concept of “template text”
- ▶▶ The PEPPOL Service Provider Agreement will regulate
 - ▶▶ the **business process domain in which the SP will provide services** based on the PEPPOL Architecture Framework, and
 - ▶▶ the terms and conditions under which the services shall be provided.



The <Service provider> will provide services based on the PEPPOL Architecture Framework in the below stated business process domains and/or support areas:

Business process domain	
Pre-award	Yes
Post-award	Yes
Payment	No
E-Government	No
Addressing services	Yes

Example only

List of applicable standards

- ▶ **SP compliance will be measured against a defined list of standards, specifications and policies.**
- ▶ The list must be subject to a structured and well-known change and release management process, where changes are notified with minimum 6-month notice giving the SP sufficient time to adopt its actual service offering

Business Interoperability Specifications	Pre-award	Post-award	Payment	E-Gov.	Addressing (SMP)
P001 – Procurement procedure subscription	M				
P002 – Procurement document access	M				
PEPPOL BIS 1A Catalogue Only		M			
PEPPOL BIS Billing 3.0		M			
PEPPOL BIS 36 A Message Level Response	O	O	O	O	
Packaging and Security Specifications	Pre-award	Post-award	Payment	E-Gov.	Addressing (SMP)
SBDH Envelope specification	M	M	M	M	
PEPPOL BIS eDocuments guide for pre-award	M				
PEPPOL BIS eDelivery guide for pre-award	M				
Messaging Specifications	Pre-award	Post-award	Payment	E-Gov.	Addressing (SMP)
PEPPOL AS2 protocol	O				
PEPPOL AS4 protocol	O				
Addressing Specifications	Pre-award	Post-award	Payment	E-Gov.	Addressing (SMP)
The SML and SMP					M
PEPPOL Directory					M
Policy for using identifiers	M	M	M	M	M

Example only

SLA requirements

▶▶ SP compliance will also be measured against a defined list of SLA requirements

- ▶▶ SLA requirements may be different for the different business process domain and/or support areas.
- ▶▶ Service level requirements will be defined as **the minimum service level to be provided by all SP's**, leaving each individual SP free to offer higher service levels.
- ▶▶ It is recommended that the list is defined as part of the PEPPOL Service Provision terms and condition document, thus making the same requirements equally applicable to all SPs.

Services provided based on the PEPPOL Architecture Framework shall be provided and maintained in a reliable, professional and state of the art manner with the following minimum service levels:

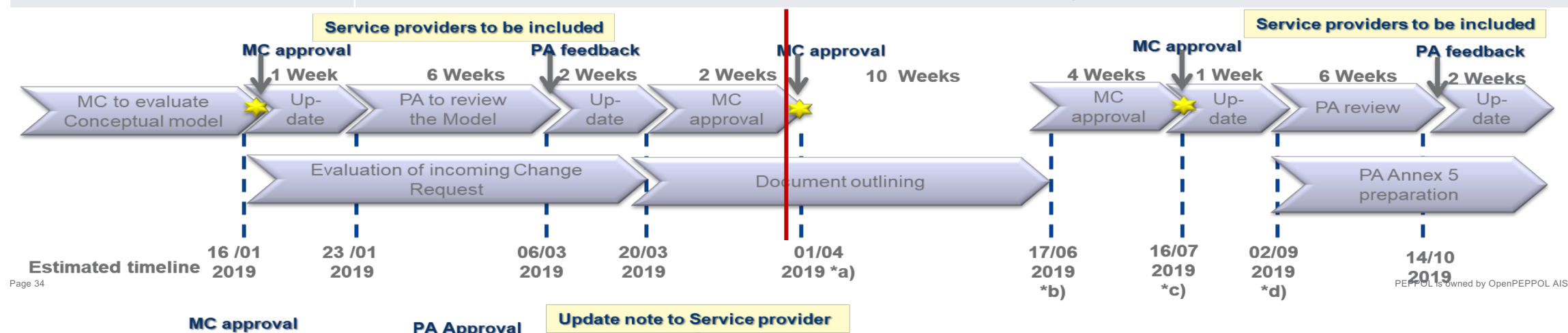
SLA requirements	Pre-award	Post-award	Payment	E-Gov.	Addressing
Availability	99.5%	99.5%	99.8%	99.5%	99.5%
Retry policy		3 times within 2 hrs.	Non	Continuous	

Example only



Immediate next milestones

When	What
May 31	Community CMB to provide the list of standards, specifications and policies relevant for each Business Process Domain
	Community CMB to provide the list of SLA requirements relevant for each Business Process Domain
June 16	Draft agreement documents available
July 17	MC pre-approval of agreement documents
September 2	Agreement documents released for PA review
October 14	Deadline for PA comments on the revised agreement documents





Thank you for your attention