Peppol Service Provider Community Meeting

Brussels 16. October 2019

www.peppol.eu

Agenda

- 11.00 Introduction (Ahti)
- 11.05 Procedure for transferring receivers to another AP (Paul)
- 11.15 International Invoicing (George)
- 11.30 Testbed 2.0 (Jesper, Mikael)
- 11.45 Celtrino case (Diane)
- 12.00 GIF (Global Interoperability Network) (Ahti)
- 12.15 Peppol and Tax clearance models (Ahti)
- 12.30 Lunch
- 13.30 Reporting in Peppol Network (Philip)
- 13.45 New Service Provider Agreement (Jostein)
- 14.45 Discussion
- 15.00 END

Procedure for transferring receivers to another AP

Paul Simons

# International Invoicing

George Birgisson

Current Post Award situation for Invoice

- PEPPOL BIS Billing 3.0, mandatory since 2019-04-18.
  - Compliant CIUS (restriction) of the EN 16931.
  - Implementation provides compliance eInvoicing directive 2014/55.
- BIS includes seller country rules (must be relevant for all sellers in a country).
  - Used by NO, SE, DK, IT.
- EN 16931 is designed to support EU directives, mainly VAT directive 2006/112
- PEPPOL BIS Billing 3.0 can not be mandated to non-EU/EEA members states
  - Singapore, Australia and New Zealand extensions.
  - Suppress some tax rules of EN 16931.
  - Apply some of Tax calculation rules redefined as GST.
  - Additional legal requirements.
  - Mandatory principle temporarily on hold.

PEPPOL International Invoicing Pre-Study

- Recognizing challenges to the current mandatory BIS and the application of the mandatory principle.

- Mandatory principle
  - PEPPOL Communities define PEPPOL BIS to promote global interoperability. ... Receivers with a registered receive capability for a business function for which a PEPPOL BIS is available shall have receive capabilities for the PEPPOL BIS registered in an SMP, as a minimum.
  - Applied through a single mandatory BIS specification, PEPPOL BIS Billing 3.0

- Main work
  - Identify gaps in requirements
  - Assess feasibility of international invoicing and propose solutions.

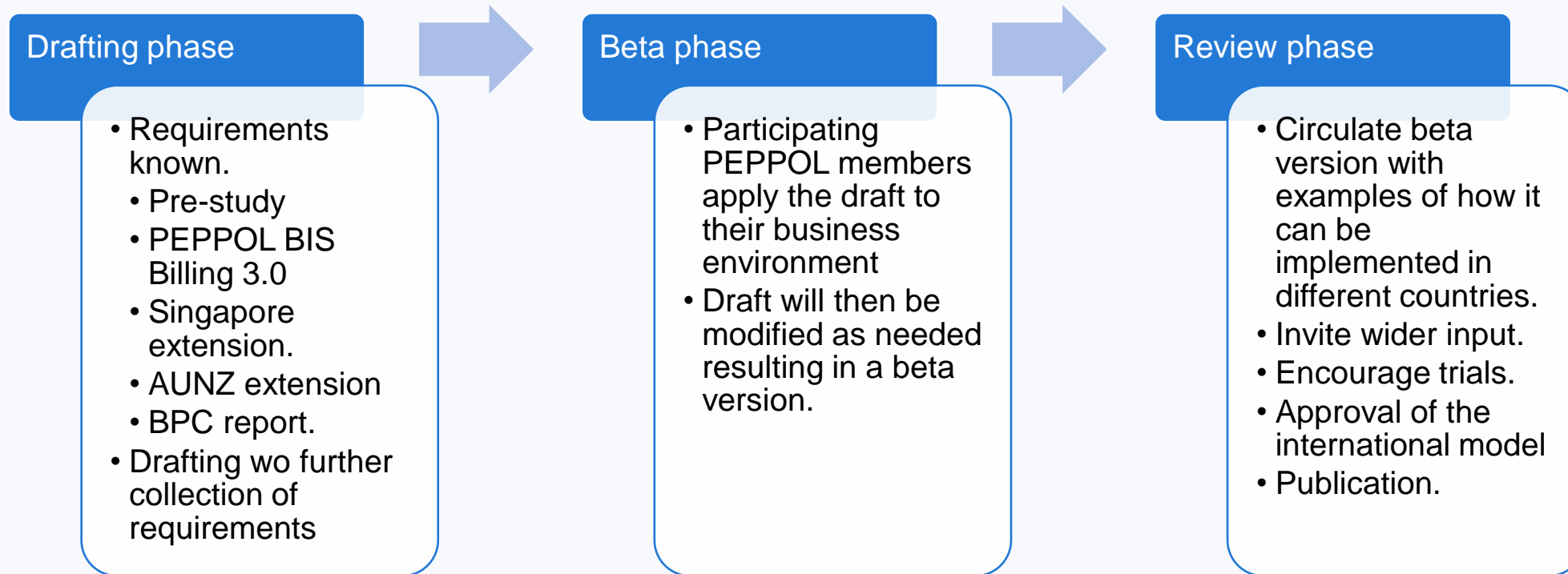# PEPPOL International Invoicing Model
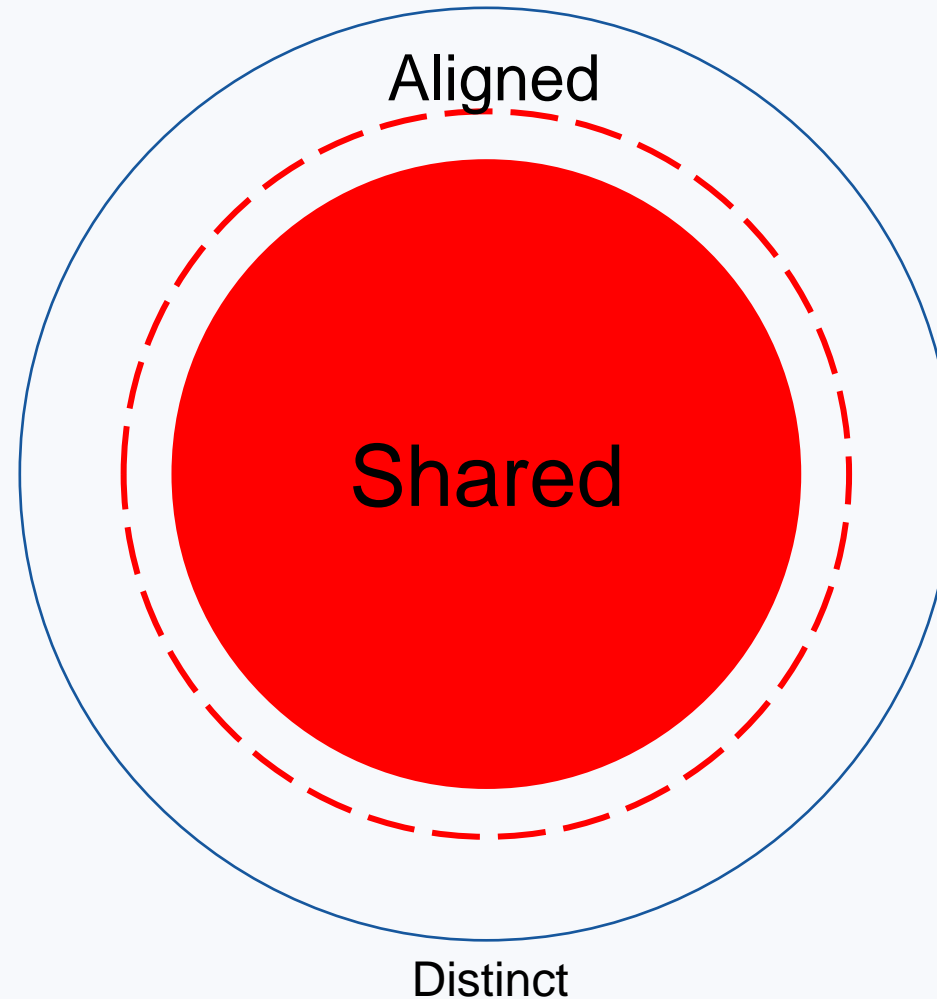
One vs many

- One
  - Can the rules be implemented as conditional without interfering with each other? Specially if a domain uses distinct content.
  - How to enforce rules for different regions in the same country, there is a challenge to finding a correct trigger for the rules.
  - IF one domain needs to update their rules then everyone is affected. At least they need to roll out a new rules set and verify if it interferes with their needs.

- Many
  - Requires modification to the methods for registering receiving capabilities, discovering them and matching them.

Receiving restricted versions

- It can be assumed that a receiver of a specification will accept and process any document that is a based on a restricted version of that specification.
  - this is in fact the underlying principle behind EN 16931 accepting CIUS as compliant implementation.
  - Using wildcard for registering receiving capacities.

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

Development phases

Peppol

Drafting phase

- Requirements known.
- Pre-study
- PEPPOL BIS Billing 3.0
- Singapore extension.
- AUNZ extension
- BPC report.
- Drafting wo further collection of requirements

Beta phase

- Participating PEPPOL members apply the draft to their business environment
- Draft will then be modified as needed resulting in a beta version.

Review phase

- Circulate beta version with examples of how it can be implemented in different countries.
- Invite wider input.
- Encourage trials.
- Approval of the international model
- Publication.

Testbed 2.0

Jesper Larsen, Mikael Aksamit

Agenda

- Introducing a proxy
- New eDelivery AS4 test suite
- Introducing SMP onboarding test suite
- Introducing BIS compliance test suites
- Migration plan
- Questions

Peppol testbed context

- Peppol testbed
  - For onboarding AS2 and AS4 as a service provider in the Peppol eDelivery Network
  - Self service where testers interact with the testbed without human interference
  - Applicable to all new service providers before issuing of production certificates
  - Currently under migration
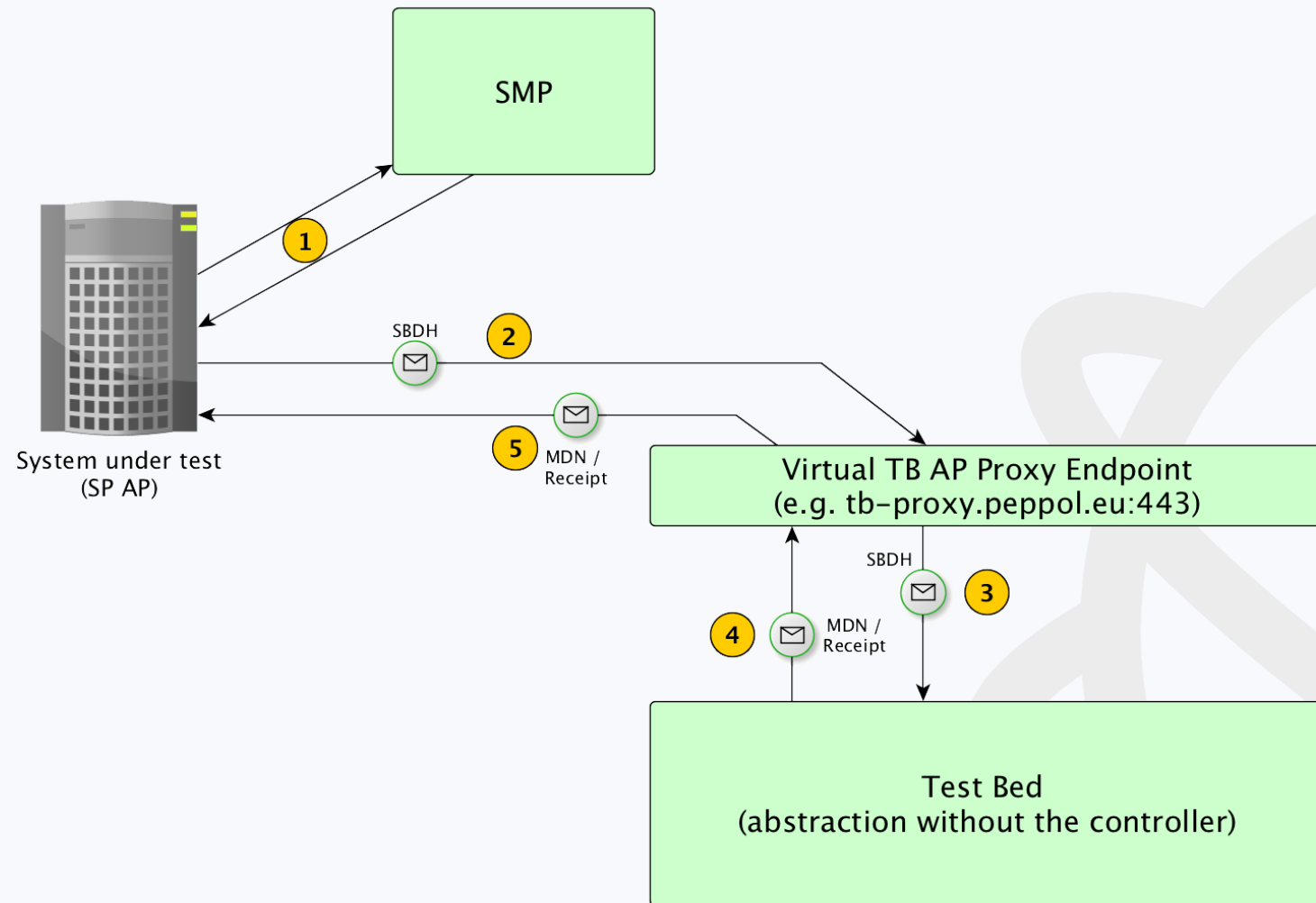
Improved over-all functionality

- Better error handling for self-service purposes
- Automatic SSL grade verification
- Improved logging for debugging purposes
- Transport level verifications
- More AP controller implementations
- JIRA integration (planned)
  - Auto submission of report to JSD
  - Ability to create support tickets from the Testbed

New eDelivery AS4 test suite

- Still contains the 4 testcases from Testbed 1.0 (these will be improved)
  - Receive Invoice (upgraded to BIS v3)
  - Send Invoice (upgraded to BIS v3)
  - Receive large Order (upgraded to BIS v3)
  - Send Large Order (Upgraded to BIS v3)

- Adding 2 new testcases
  - Simulate "man in the middle attack"
    - Testbed signs transaction with a different certificate than expected through the SMP lookup
  - Revoked or invalid certificates in the SMP lookup
    - Testing AP should not initiate transactions if certificate from SMP lookup cannot be entrusted

- Adding 1 new testcase to the eDelivery test suite 25th of November
  - General validation of PEPPOL BIS 3.0

Introducing SMP onboarding test suite

- Mandatory for all SMP providers
  - During testing the SMK and TEST OpenPEPPOL Directory is utilized

- Consists of four test cases:
  - Verification of SML publishing capability
  - Verification of Metadata registration capability (with multiple transport protocols)
  - Verification of OpenPEPPOL Directory integration
  - Verification of SML unpublishing capability and expected HTTP 404 returned from SMP on unavailable service groups.

- All tests performed in an automatic way without human intervention

Introducing BIS compliance test suites

Peppol

- PEPPOL BIS Billing 3.0 compliance test

- PEPPOL BIS Order 3.0 compliance test

- PEPPOL BIS DespatchAdvice 3.0 compliance test

- PEPPOL BIS Invoice Response 3.0 compliance

- PEPPOL BIS AU-NZ Billing 3.0

- PEPPOL BIS AU-NZ SelfBilling 3.0

- Test method
  - Deliver data requirements to tester (Invoice data)
  - Tester to generate BIS 3.0 document and sent to receiver using a dynamic lookup
  - Testbed will do run time validation of the incoming files and correlate the testcase status

Migration plan from 1.0 to 2.0

- 21st of October
  - Old eDelivery test suite (version 1.0) test suites are no longer enrollable
    - Currently enrolled testers will have to abandon the 1.0 test and do the 2.0 test to get the production certificate
  - New eDelivery test suite (version 2.0) will be mandatory for all AP providers

- 31st of October
  - SMP test suite will be added and mandatory for new SMP providers

- 25th of November
  - Introducing BIS compliance testing

- Policy for testing being scoped (Who tests what and when?)

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Celtrino case

Diane Kelly

Agenda

Introduction

Celtrino
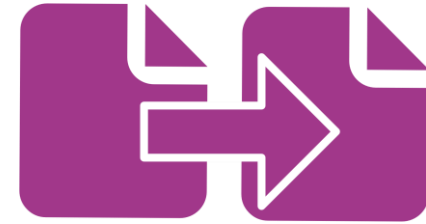
Ireland & PEPPOL

Demo

Discussion

Celtrino specialise in

Purchase to Pay

Order to Cash

E-Invoice Processing

Business Interoperability

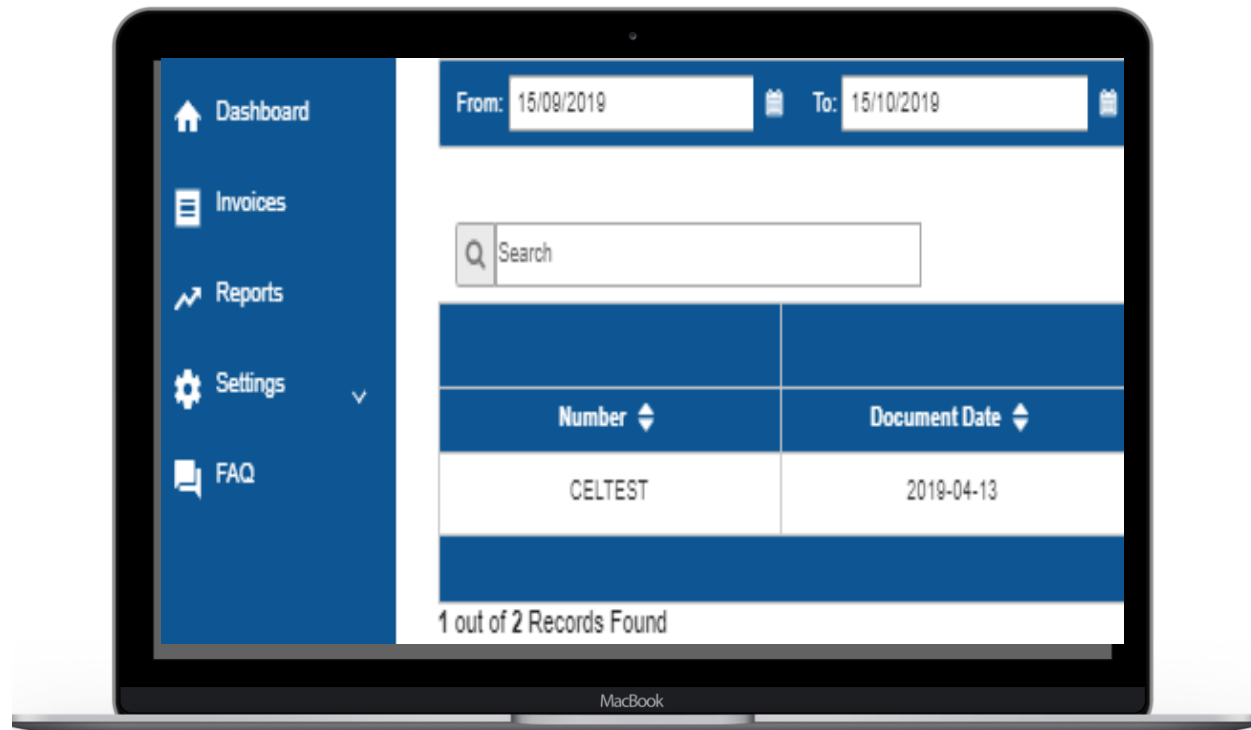**Onboarding Services**

Best Deal Sourcing

Our experience combined with our connected technology platform has enabled us be in 2019 to be the main winner of the tender for the "**PEPPOL Networking and eInvoicing Systems and Services to the Irish Public Sector**"

Oifig um Sholáthar Rialtais
Office of Government Procurement

PEPPOL Connect
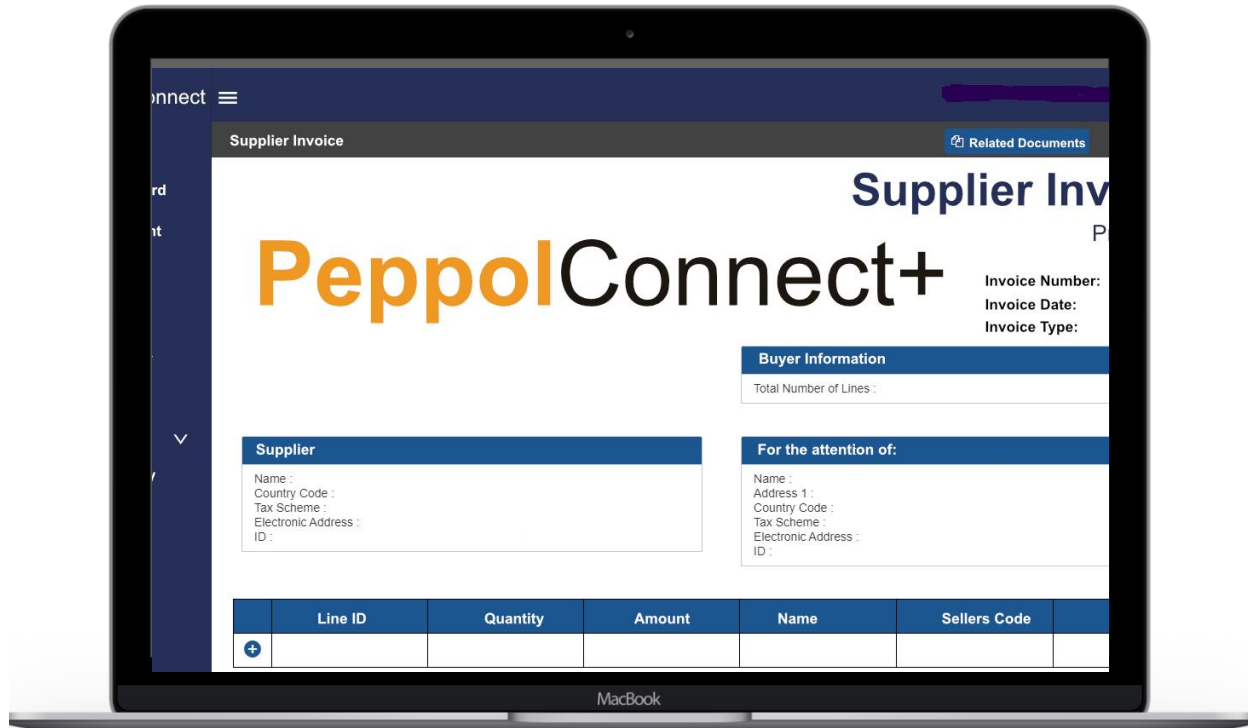

Key Features

- E-invoicing Directive compliance for Public Bodies
- E-Document Portal
- UBL 2.1/CII
- PEPPOL/TC434 Validations
- Alerting
- Reporting
- E-Archiving

PEPPOL Connect Plus

Key Features

- E-invoicing Directive compliance for Public Bodies
- Flexible document approval workflows
- Business Rule Validation Engine
- Integration
- Standardised Supplier Feedback Process

Dublin Simon

Digital Transformation

- Celtrino and Dublin Simon Community are collaborating on a digital transformation program
- E-invoicing, advanced invoice approval management and intelligent business rules validations
- All aspects of the program are underpinned by PEPPOL and compliance to the European Standard (EN)
- The initiative is supported by EURINV.

Contact

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Product Manager

🌐 **www.celtrino.com**

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celtrino

Thank You

Global Interoperability Network

Ahti Allikas

What is the Global Interoperability Framework (GIF)?

- A **neutral** vehicle to facilitate **open** collaboration on **common issues** and, where possible,

- To allow agreement on **common artefacts** that can be **supported** on a global, or regional, basis.

  Leading to ..

- Wider adoption of common interoperability '**building blocks**'

  N.B. *The GIF is NOT a physical network, but a set of recommendations to assist the establishment of specific interoperability frameworks at regional, country, community or sector level.*

- **For end users ….**
- **Simpler and faster** to embrace digital business
- Full end-to end **compliance** and invoice process **traceability**
- Better placed to **support** moves towards "**real-time**" reporting
- **Lower cost** of digital business

- **For network & service providers:**
- Agreement on common interoperability '**building blocks**' which will …
  - *Increase* **added value** *for customers*
  - *Save time and* **reduce interoperability costs**

Working Group – Established 2019

EESPA

- Tim Cole (UK)
- Cyrille Sautereau (France)

PEPPOL PAN-EUROPEAN PUBLIC PROCUREMENT ONLINE

- Ahti Allikas (Estonia)
- Arne Johan Larsen (Norway)

connect ONCE

- Chris Welsh- Chair (US)
- Stephan Albers (DE)

BPC Business Payments Coalition

- Todd Albers (US)

GIF

- Charles Bryant (Secretary)

GIF Components – The 4 D's

Peppol

Unlocking
Value Added Services

Directives
e.g. Legislative, Business
and Network requirements

Discovery
e.g. Identifiers,
Addressing, Registry.

Delivery
e.g. Envelope,
Transfer protocols
(e.g. AS2), Response
Messages

Data
Semantic, e.g. EN16931,
&
Syntax e.g. UBL (+
CIUS)
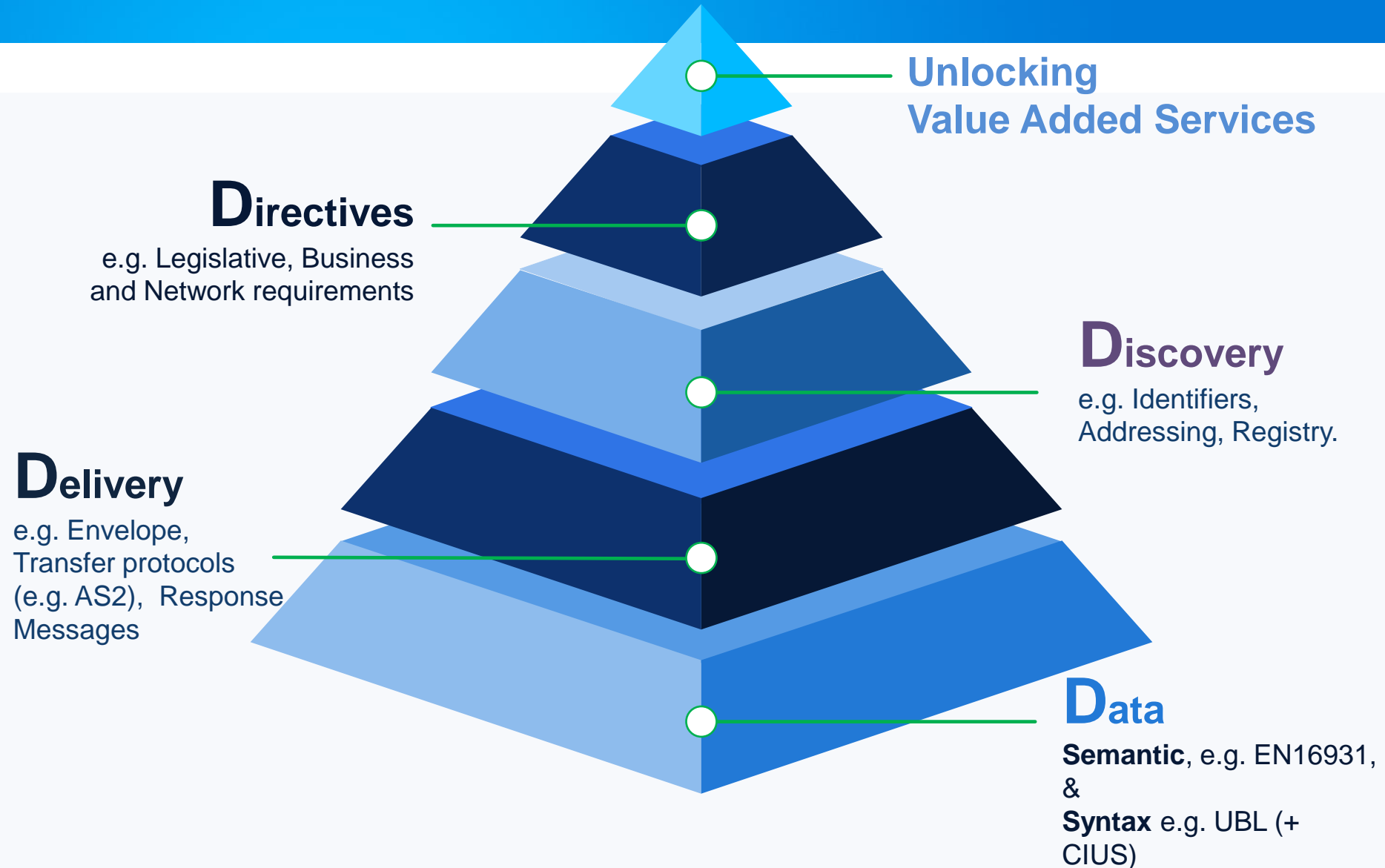
Artefacts – Initial GIF candidates

Peppol

4 D Artefacts

Data

- Semantic Model
- Syntax
- Documents
- Messages (including responses)
- Usage specifications
- Extensions
- Attachments

Delivery

- 4-corner topology
- Technical Delivery Confirmation
- Envelope
- Security
- Emerging Technologies?

Discovery

- Business Entity ID
- GLEI ?
- E-Address ID
- E-Routing Address
- Registry service
- Directory services (more…)

Directives

- 2 sections
- External regulatory frameworks and tax/business rules
- Internal GIF governance and model agreements

Possible quick wins

- UBL Invoice
- Response Message

- CEF eDelivery
- AS2/AS4

- SML/SMP

Peppol and Tax Clearance models (work in progress)

Ahti Allikas

Peppol Network on the way to support clearance model for e-Invoicing

Why?

1. Big share of the new models developed in the world of E-Invoicing are based either on some kind of a clearance models on real-time reporting.
2. Clearance model recommended over real-time reporting is by the industry profesionals.
3. Clearance model is already widespread in many countries.
4. Clearance model has no usually regulation for transport infrastructure of E-Invoices (clear strength of Peppol eDelivery network).
5. Clearance models are nowadays very local – Peppol usage would help to make them globally more universal.
6. Support for globally common clearance model fits well with Peppol's international invoice and globalization strategy.
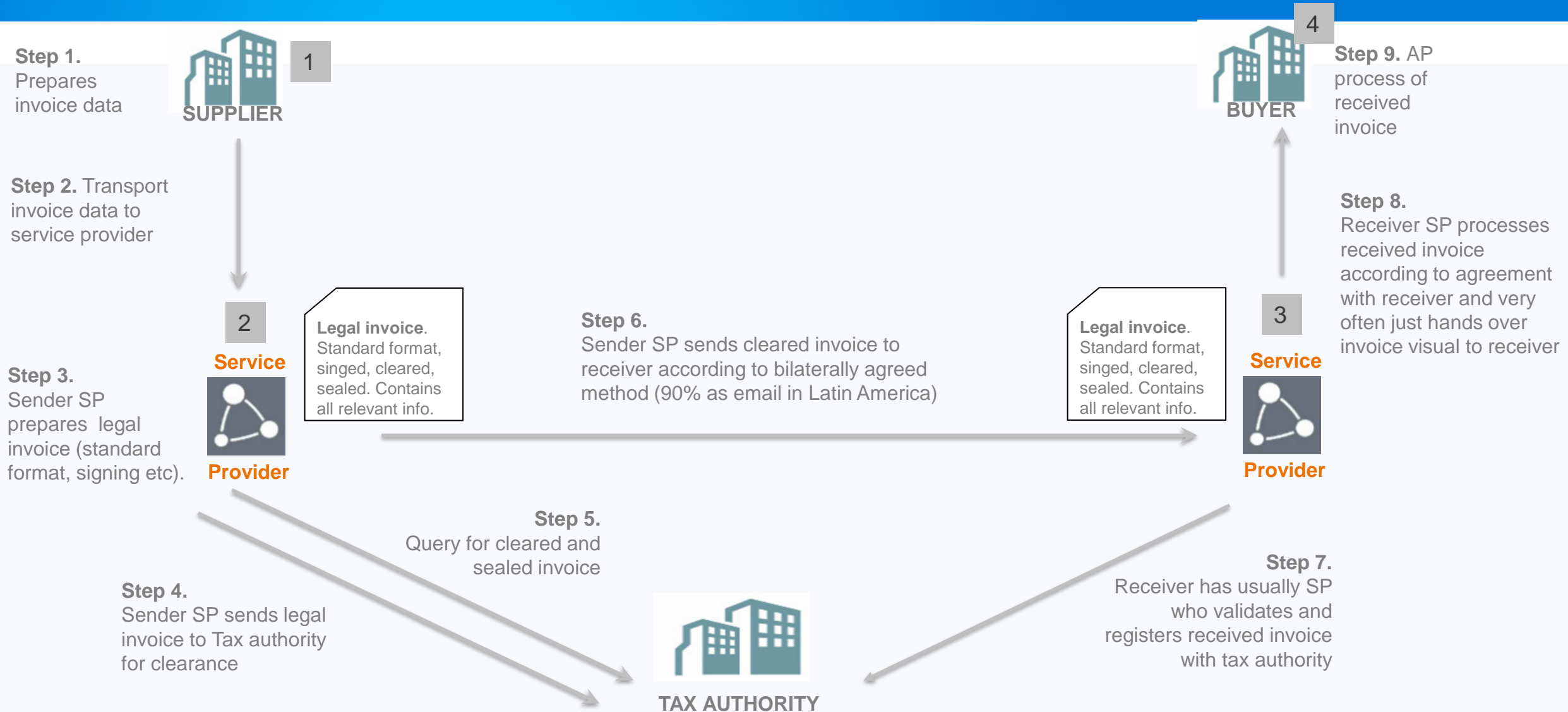
Why not?

1. Clearance models are usually based on local invoice message standard, developed by local tax authorities what will in a short term force Peppol to support more standards next to BIS.

Characteristics of clearance model

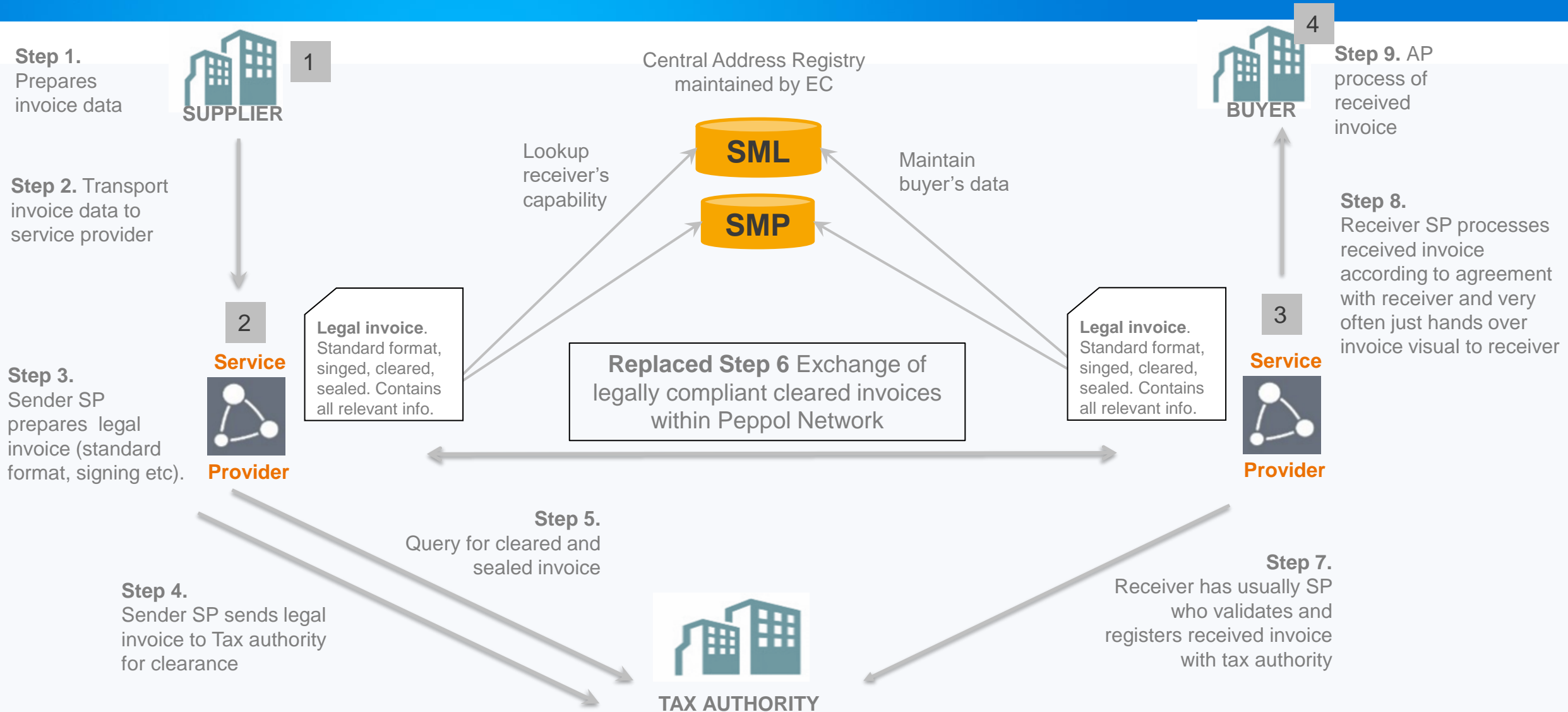With 'clearance model' for E-Invoicing, the tax administration requires each invoice to be reported and authorized electronically by them before or during the exchange process.

1. Tax authority mandates the issuance and respectively reception of E-Invoices.
2. There are diferent validation and reporting rules relevant in clearance model.
3. Usually the exchange process (from supplier to buyer) is left to be unregulated.
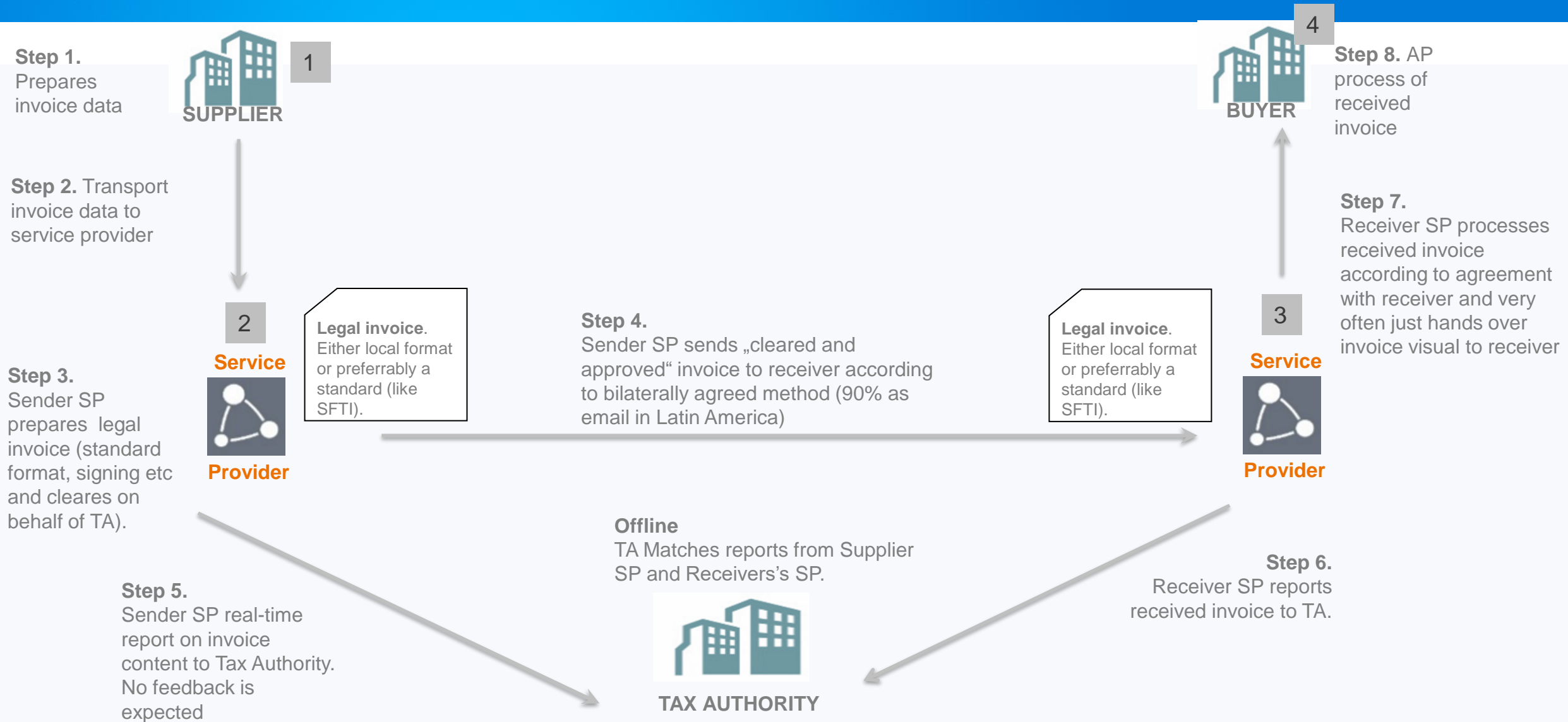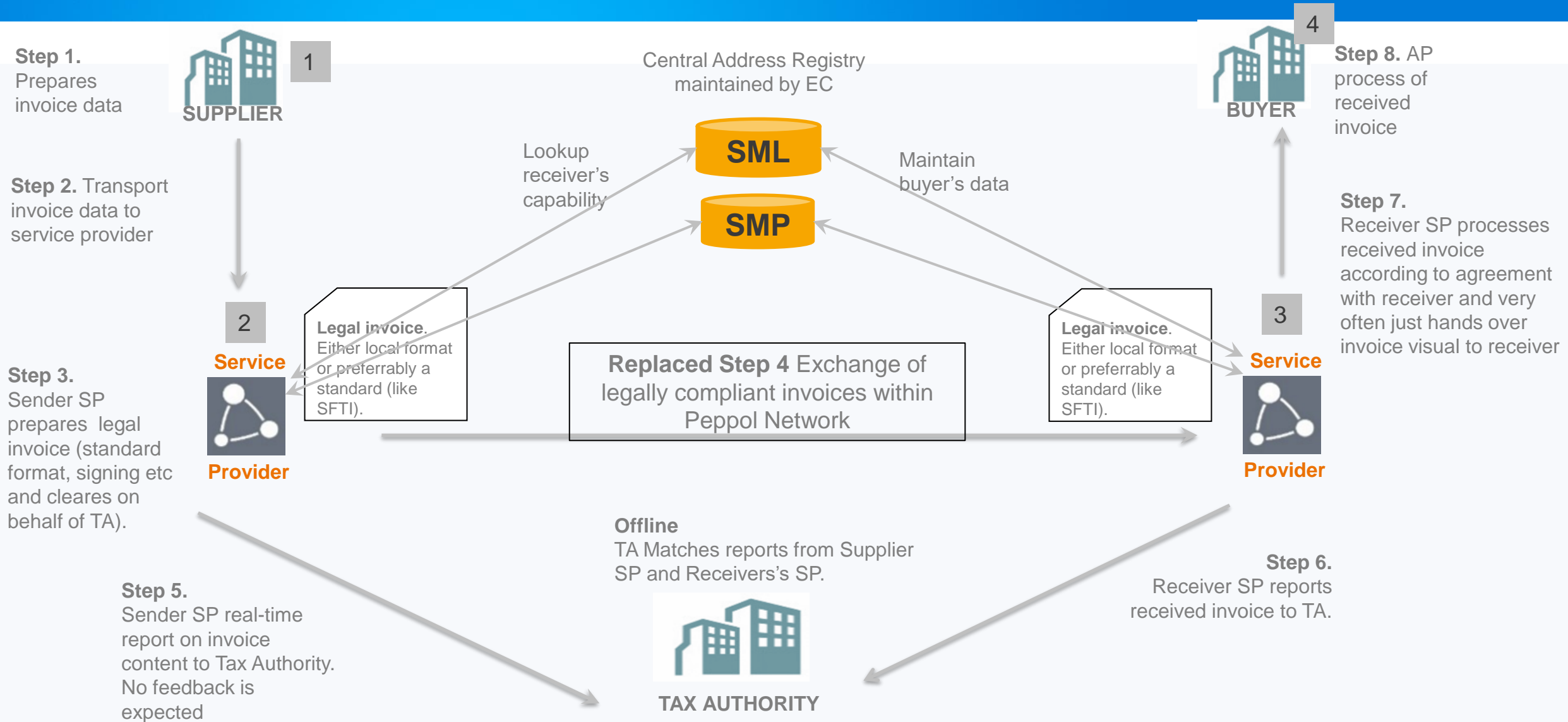
How does clearance model work today…

Peppol

Step 1. Prepares invoice data

SUPPLIER [1]

Step 2. Transport invoice data to service provider

[2] **Service Provider**

Step 3. Sender SP prepares legal invoice (standard format, signing etc).

Legal invoice. Standard format, singed, cleared, sealed. Contains all relevant info.

Step 6. Sender SP sends cleared invoice to receiver according to bilaterally agreed method (90% as email in Latin America)

Legal invoice. Standard format, singed, cleared, sealed. Contains all relevant info.

[3] **Service Provider**

Step 4. Sender SP sends legal invoice to Tax authority for clearance

Step 5. Query for cleared and sealed invoice

Step 7. Receiver has usually SP who validates and registers received invoice with tax authority

TAX AUTHORITY

BUYER [4]

Step 9. AP process of received invoice

Step 8. Receiver SP processes received invoice according to agreement with receiver and very often just hands over invoice visual to receiver

… and how does it work in Peppol?

Peppol

Step 1. Prepares invoice data

SUPPLIER `1`

Central Address Registry maintained by EC

BUYER `4`

Step 9. AP process of received invoice

Step 2. Transport invoice data to service provider

Lookup receiver's capability

SML

Maintain buyer's data

SMP

Step 8. Receiver SP processes received invoice according to agreement with receiver and very often just hands over invoice visual to receiver

Step 3. Sender SP prepares legal invoice (standard format, signing etc).

Service `2`

Provider

Legal invoice. Standard format, singed, cleared, sealed. Contains all relevant info.

Replaced Step 6 Exchange of legally compliant cleared invoices within Peppol Network

Legal invoice. Standard format, singed, cleared, sealed. Contains all relevant info.

Service `3`

Provider

Step 5. Query for cleared and sealed invoice

Step 4. Sender SP sends legal invoice to Tax authority for clearance

TAX AUTHORITY

Step 7. Receiver has usually SP who validates and registers received invoice with tax authority

How does Real-Time reporting model work today …

Peppol

Step 1.
Prepares invoice data

SUPPLIER

1

Step 2. Transport invoice data to service provider

2

Service

Provider

Step 3.
Sender SP prepares legal invoice (standard format, signing etc and cleares on behalf of TA).

Legal invoice. Either local format or preferrably a standard (like SFTI).

Step 4.
Sender SP sends „cleared and approved" invoice to receiver according to bilaterally agreed method (90% as email in Latin America)

Legal invoice. Either local format or preferrably a standard (like SFTI).

4

BUYER

Step 8. AP process of received invoice

Step 7.
Receiver SP processes received invoice according to agreement with receiver and very often just hands over invoice visual to receiver

3

Service

Provider

Step 5.
Sender SP real-time report on invoice content to Tax Authority. No feedback is expected

Offline
TA Matches reports from Supplier SP and Receivers's SP.

TAX AUTHORITY

Step 6.
Receiver SP reports received invoice to TA.

… and how does it work in Peppol?

Peppol

Step 1. Prepares invoice data

SUPPLIER

1

Central Address Registry maintained by EC

SML

Lookup receiver's capability

Maintain buyer's data

BUYER

4

Step 8. AP process of received invoice

Step 2. Transport invoice data to service provider

SMP

Step 7. Receiver SP processes received invoice according to agreement with receiver and very often just hands over invoice visual to receiver

2

Service

Legal invoice. Either local format or preferrably a standard (like SFTI).

Replaced Step 4 Exchange of legally compliant invoices within Peppol Network

3

Service

Legal invoice. Either local format or preferrably a standard (like SFTI).

Step 3. Sender SP prepares legal invoice (standard format, signing etc and cleares on behalf of TA).

Provider

Provider

Offline TA Matches reports from Supplier SP and Receivers's SP.

Step 6. Receiver SP reports received invoice to TA.

Step 5. Sender SP real-time report on invoice content to Tax Authority. No feedback is expected

TAX AUTHORITY

Do we have a recommendation for TA?

Peppol

Step 1. Prepares invoice data

1 SUPPLIER

Central Address Registry maintained by EC

4 BUYER

Step 9. AP process of received invoice

Lookup receiver's capability

SML

Maintain buyer's data

Step 2. Transport invoice data to service provider

SMP

Step 8. Receiver SP processes received invoice according to agreement with receiver and very often just hands over invoice visual to receiver

2 Service

Step 3. Sender SP prepares legal invoice (standard format, signing etc).

Provider

Legal invoice. Standard format, singed, cleared, sealed. Contains all relevant info.

Exchange of legally compliant cleared invoices within Peppol Network

Legal invoice. Standard format, singed, cleared, sealed. Contains all relevant info.

3 Service

Provider

| Use standard comms – AS4 | Use standard format (UBL) | Follow ICC guidelines | Not wise to use 4-corner |

Step 4. Sender SP sends legal invoice to Tax authority for clearance

Step 7. Receiver has usually SP who validates and registers received invoice with tax authority

TAX AUTHORITY

Pro's and Con's with both of the model

Pro's

- Clearance and RT – Will support TA's need with just a small upgrade

- Clearance and RT – new agreement model will support adding additional responsibilities to SP

- RT – possibility to implement without any interference to current NW

Con's

- Clearance will require support of diferent national standards in NW

- Real-Time seems to be not less preferred by TA's

> "It is more fun to talk with someone who doesn't use long difficult words but rather short, easy words like „what about lunch?"

Winnie The Pooh

Reporting in Peppol Network

Philip Helger

Agenda

- Context – what we're aiming for
- Goals – the reason for this BIS
- Scope – the information elements gathered
- Data – what is collected
- XML – how it could be represented
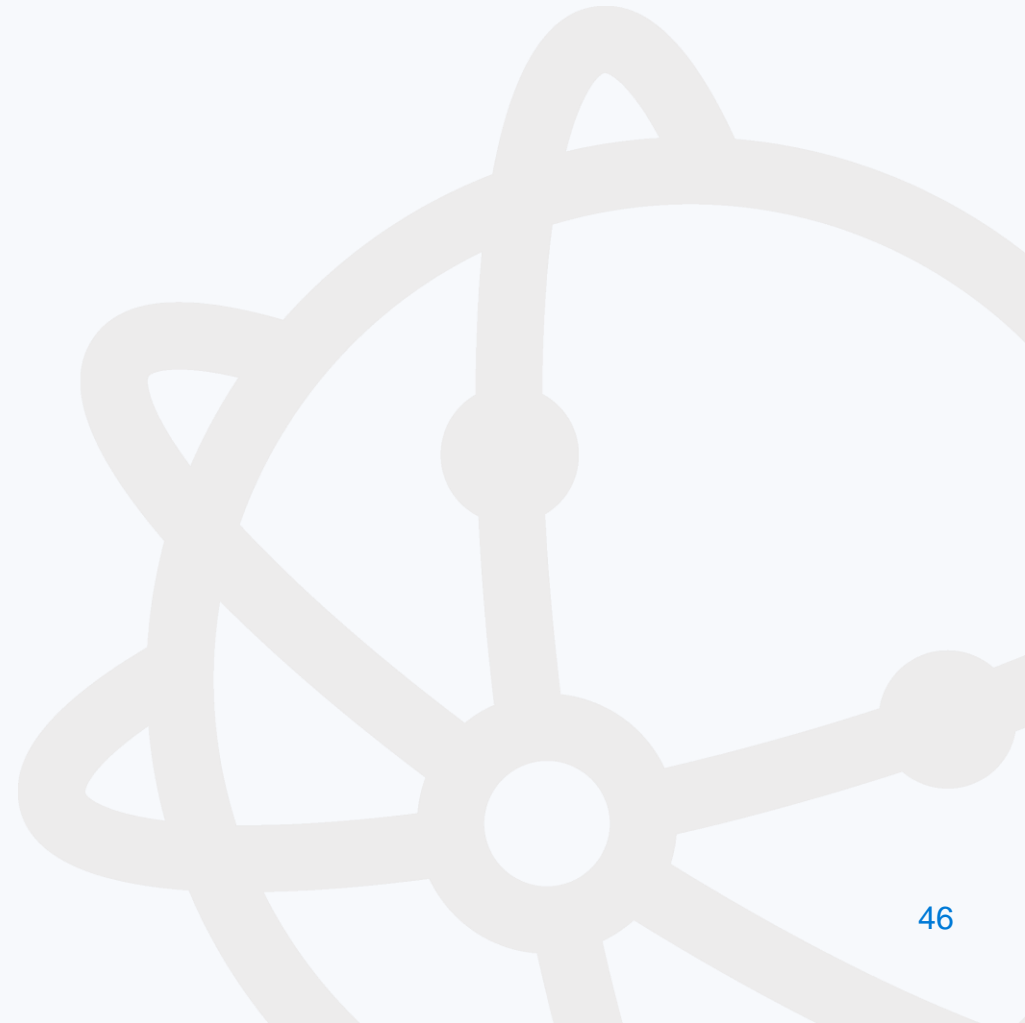
Context

for Digital Traffic Reporting - DTR

DTR Governance

DTR BIS

OpenPEPPOL DTR Collector

APs

SMPs

…
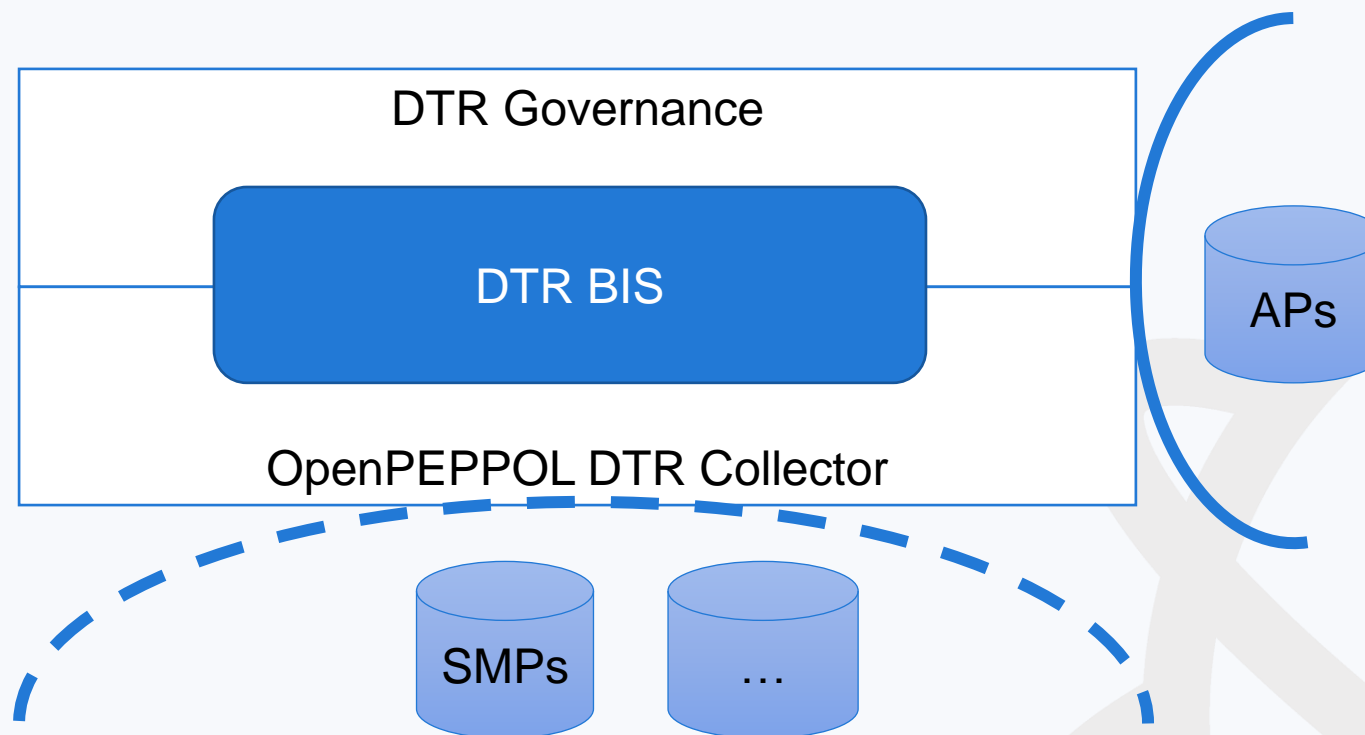
Goals

- Describe Digital Traffic Reporting in the PEPPOL network

- Provide a technical representation of the **Digital Traffic Report** (DTR) message

- The BIS applies to all **AP Providers**, independent of the transport protocols they support.
  - Service Metadata Publisher (SMP) providers and others don't need to issue a DTR.

- Two basic parties are involved
  - Reporter as the sender of a DTR and
  - a PEPPOL Authority as the receiver of the DTR

Process

1. A PEPPOL AP submits a DTR to a PEPPOL Authority containing the digital traffic volumes collected within a defined traffic period.

2. The PEPPOL Authority may gather additional information elements e.g. on SMP providers from different sources.

3. The PEPPOL Authority will collect and evaluate the received DTRs and may provide parts of the gathered data and insights to other PEPPOL authorities.

In scope of the BIS

Part 1

- General Rules
  - All values MUST be collected separately for incoming and outgoing transactions.

- Identify Senders and Receivers
  - The reporter MUST provide the total number of effective distinct senders and effective distinct receivers.
  - The reporter MUST provide the list of effective distinct senders and effective distinct receivers.

- Identify exchanged Quantities
  - The reporter MUST provide the total number of sent and received documents, independent of the participants and the document types.
  - The reporter MAY provide the total number of exchanged documents per sender and receiver, independent of the document types.

- Identify exchanged Transport Protocols
  - The reporter MUST provide the total number of documents per transport protocol, independent of the participants and the document types.

In scope of the BIS

Part 2

- Identify exchanged Document Types
  - The reporter MUST provide the total number of documents per document type, independent of the participants.
  - The reporter MAY provide the total number of documents per sender and per document type.
  - The reporter MAY provide the total number of documents per receiver and per document type.
- Identify Locality of the exchanged documents
  - The reporter MAY provide the total number of cross-border and domestic exchanges, independent of the participants and the document types.
  - The reporter MAY provide the total number 3-corner and 4-corner model exchanges, independent of the participants and the document types.

Out of scope of the BIS

- The definition of the traffic reporting period.
- The declaration of the digital traffic report receiver participant identifier.
- The responsibilities and requirements for the receiver of the DTRs.
- Additional governance aspects for the receiver of the DTRs.
- The rules for identifying the country code from a participant identifier.

Data

Part 1

- Incoming vs. Outgoing transaction
  - For the sending AP of a document exchange, all transactions count as outgoing.
  - For the receiving AP of a document exchange, all transactions count as incoming.
  - If an AP is sending and receiving with a traffic reporting period, the numbers for outgoing and incoming transactions need to be counted separately.

- Transport Protocol
  - Is obtained implicitly from the communication channel in use.

- Sender ID, Receiver ID, Document Type ID
  - *Sending*: Information is available for the SMP lookup.
    Alternatively it can be obtained by inspecting the SBDH envelope.
  - *Receiving*: Can be retrieved from the SBDH envelope.
  - Note: Data extraction rules from SBDH are defined.

Data

Part 2

- Sender and Receiver Country Code
  - The country code can be determined from the respective participant identifier schemes (as in 0184 or 9914).
    This method is not 100% exact, but close to.
  - The exact rules for extracting the country code from the participant identifier schemes is not defined in the BIS.

- Domestic vs. Cross-border transaction
  - A transaction is considered domestic, if Sender and Receiver Country Code are identical, otherwise it is a cross-border transaction.
  - If the sending AP and the receiving AP share the same PEPPOL Access Point certificate it is considered a 3-corner transaction, otherwise it is a 4-corner transaction.

XML representation

Suggestion only

```xml
<DigitalTrafficReport xmlns="urn:peppol:names:specification:ubl-compatible:schema:xsd:DigitalTrafficReport-2">
  <!-- Header information omitted -->
  <Outgoing>
    <TotalCount>1</TotalCount>
    <CrossBorderCount>1</Cro
    <DomesticCount>0</Domest
    <ThreeCornerCount>0</Thr
    <FourCornerCount>1</Four
    <DistinctSenderCount>1</
    <Sender><ID scheme="iso6

    <DistinctReceiverCount>1
    <Receiver><ID scheme="is
    <DocumentType>
      <ID scheme="busdox-doc
      <Count>1</Count>
      <Sender><ID scheme="is
      <Receiver><ID scheme="
    </DocumentType>
    <TransportProtocol><ID>b
  </Outgoing>
  <Incoming>
    <TotalCount>1</TotalCoun
    <CrossBorderCount>1</Cro
    <DomesticCount>0</Domest
    <ThreeCornerCount>0</Thr
    <FourCornerCount>1</Four
```

```xml
<DigitalTrafficReport xmlns="urn:peppol:names:specification:ubl-compatible:schema:xsd:DigitalTrafficReport-2">
  <!-- Header information omitted -->
  <Outgoing>
    <TotalCount>1</TotalCount>

    <DistinctSenderCount>1</DistinctSenderCount>
    <Sender>
      <ID scheme="iso6523-actorid-upis">9915:test</ID>
    </Sender>

    <DistinctReceiverCount>1</DistinctReceiverCount>
    <Receiver>
      <ID scheme="iso6523-actorid-upis">9958:example</ID>
    </Receiver>

    <DocumentType>
      <ID scheme="busdox-docid-qns">urn:oasis:names:specification:ubl:schema:xsd:Invoice-2::Invoice##urn:www.cenbii.eu:transaction:b
      <Count>1</Count>
    </DocumentType>

    <TransportProtocol>
      <ID>busdox-transport-as2-ver1p0</ID>
      <Count>1</Count>
    </TransportProtocol>
  </Outgoing>

  <Incoming>
    <TotalCount>1</TotalCount>
```

Alternative approach

Batch event transmission

- List of the following fields for the reporting period
  - Date and time (in UTC)
  - Direction (incoming or outgoing)
  - Other AP Certificate Subject DN (our AP Certificate is contained)
  - Sender ID country (Sender ID directly would be better - allowed by GDPR?)
  - Receiver ID country (Receiver ID directly would be better - allowed by GDPR?)
  - Transport protocol
  - Document type ID
  - Process ID

Poll

- Aggregate data on AP side
  - Potentially error prone
  - Less privacy concerns

- Alternatively provide an event stream
  - Potentially data privacy issues
  - Easier to collect and send
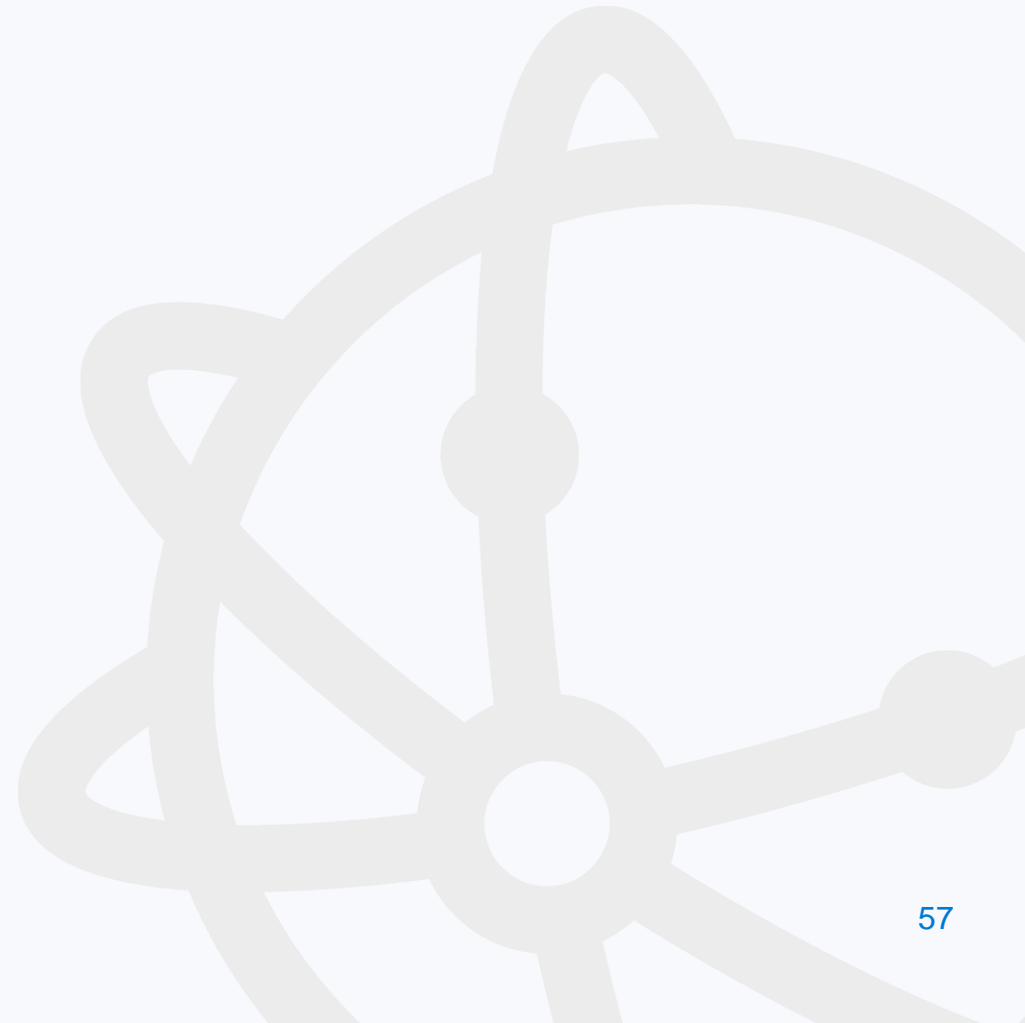
Revised PEPPOL Service Provider Agreement

Discussion with PEPPOL Service Provider Community

October 16, 2019

Jostein Frømyr, PEPPOL Agreement Coordinator

www.peppol.eu

Presentation outline

- Overall status of the agreement revision project
  - Where are we in the process and what's next
- The revised PEPPOL Service Provider Agreement
  - Selected highlights & changes
- Expectation on the PEPPOL Service Providers
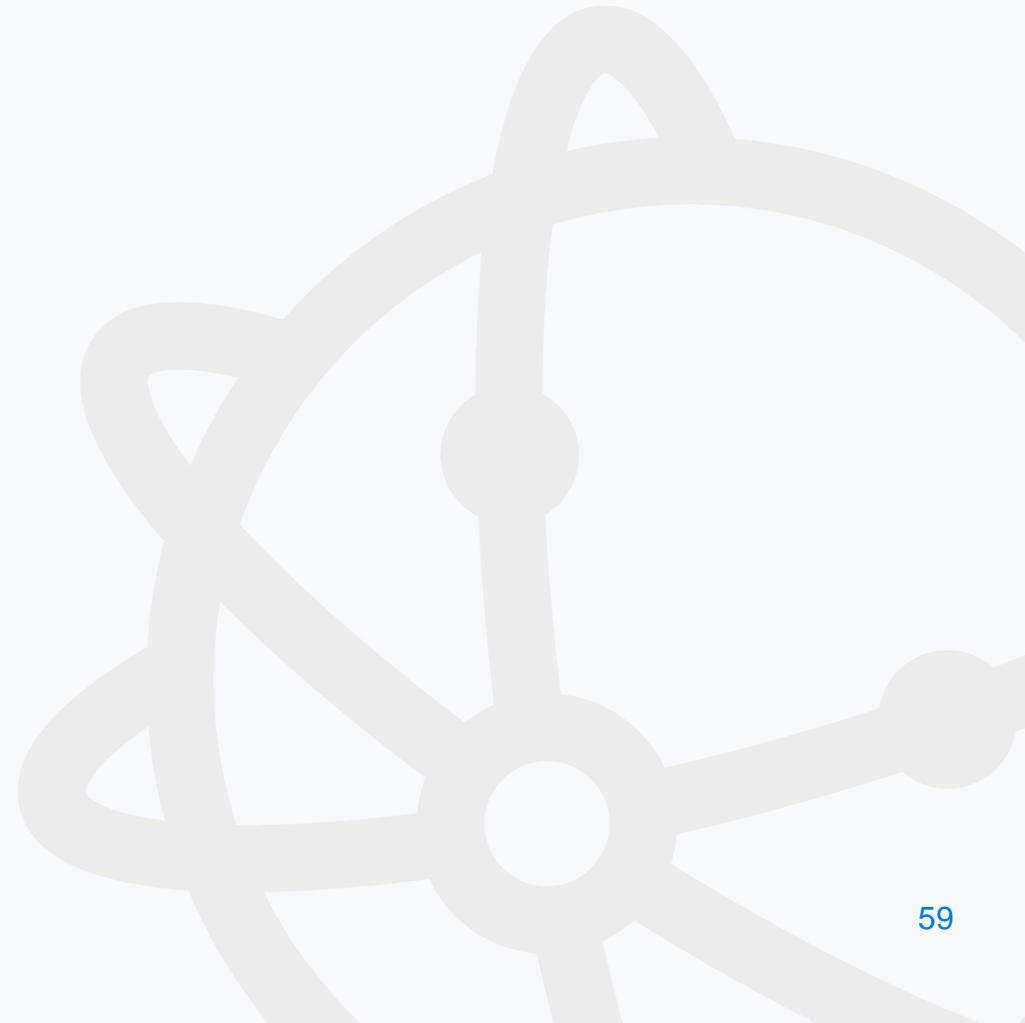
Overall status

- **No significant push-back has materialised on the agreed conceptual model.**
- **Draft agreement documents have been released for PA review**
  - PEPPOL Authority Agreement, draft 27 of 2019.09.27
  - PEPPOL Service Provider Agreement, draft 16 of 2019.09.27
  - Revised PEPPOL Agreement Framework Review Guide, version 1 of 2019.10.03
  - **Deadline for comments: Friday November 15**
- **OpenPEPPOL OO has initiated work on a number of supporting activities**
  - Documenting the PEPPOL Architecture Framework and its integration in the 4-corner model
  - Working with the Domain Communities to document the List of standards and SLA requirements applicable for each of the business process domains
  - Documenting the change, release and migration management processes
  - Revision of the PEPPOL certificate regime to support the revised Agreement Framework
  - Changes to administrative procedures based on the revised Agreement Framework

Next steps

Agreement Support Activities are handled by Operations and the PEPPOL communities in collaboration, and out of scope for the Agreement development Taskforce

Service providers to be included

Update note to SPs; Annulling old agreements

PA feedback

MC approval

PA Approval

4 Weeks — MC approval

1 Week — Up-date

6 Weeks — PA review

1 Weeks — Up-date

4 Weeks — MC evaluation

1 Week — Up-date

3 Weeks — PA formal approval

MC approval

Publication

Update note to PA; Annulling old agreement

Document outlining

Annex 5 preparation

PA Annex 5 content dev.

Annex 5 MC approval

8 Weeks

| 30/08 2019 | 27/09 2019 | 04/10 2019 | 15/11 2019 | 22/11 2019 | 20/12 2019 | 06/01 2020 | 27/01 2020 | 03/02 2020 | 02/03 2020 | 15/3 2020 |

When	Who	What
Nov. 15	**PAs**	**Deadline for submission of Review comments**
Nov. 15 - 22	Task Team	Update agreement documents based on received comments
Nov. 22 - Dec. 20	MC	Evaluate and agree on final agreement documents
Jan. 6 - 27, 2020	PA	Formal approval of agreement documents
→ Jan. 6, 2020	PA	Documentation of PA Special requirements
Feb. 3, 2020	OO	Publication of new PEPPOL Agreement Framework
Feb. 3, 2020 →	OO	Initiate migration

Revised PEPPOL Agreement Framework

The helicopter view
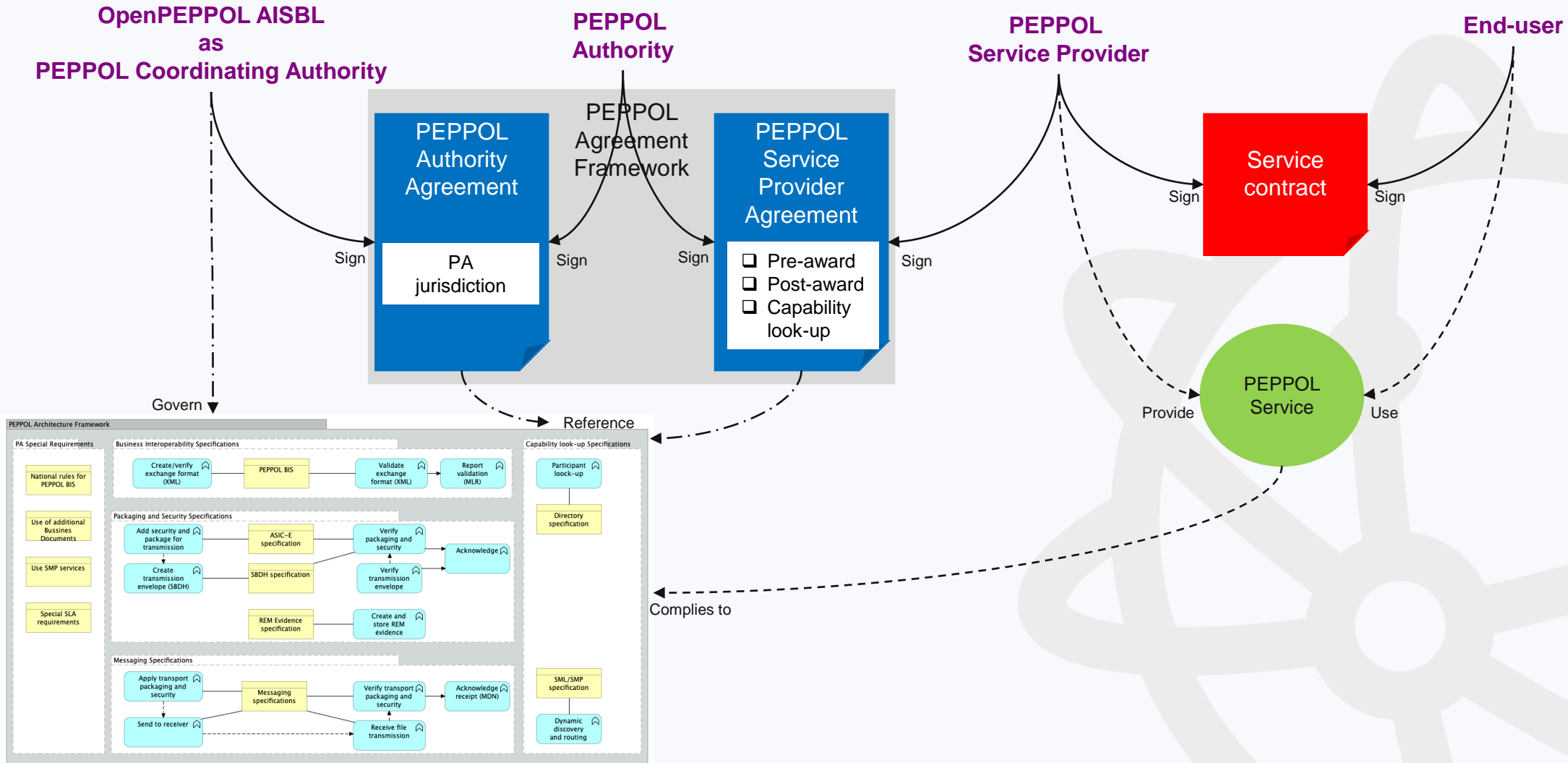
PEPPOL Service Provider Agreement

PEPPOL Authority Agreement will regulate

- the **PEPPOL Service Areas** in which the PEPPOL Service Provider will provide services based on the PEPPOL Architecture Framework

- the **terms and conditions** under which the services shall be provided
    - Designed to be equally applicable to all PEPPOL Service Providers
    - Subject to the agreed OpenPEPPOL Change Management process (§18.1)

Revised document structure

Peppol

ANNEX 6 – Change Procedures

ANNEX 4 – Technical Standards

ANNEX 1 – Contact points

ANNEX 2 – Definitions

Authority Agreement
AP Provider Agreement
SMP Provider Agreement

ANNEX 5 – Domain and its specific services and service levels

ANNEX 3 – Service and Service Levels

PEPPOL Interoperability Framework

PEPPOL Governance Framework
- OpenPEPPOL Statutes
- OpenPEPPOL Internal Regulations

PEPPOL Agreement Framework
- PEPPOL Authority Agreement
- PEPPOL Service Provider Agreement

PEPPOL Architecture Framework
- PEPPOL Business Interoperability Specifications
- PEPPOL Packaging and Security Specifications
- PEPPOL Addressing Specifications
- PEPPOL eDelivery Specifications
- PA Special Requirements

PEPPOL Compliance Policy

Correct business content vs. technical compliance

The end-user [C1&4] remains fully responsible for the business content of the documents exchanged including their compliance to relevant law as well as for any resulting business commitment (§4.1)

All PEPPOL Services provided by the PEPPOL Service Provider [C3&4] shall be in compliance with the relevant building blocks of the PEPPOL Interoperability Framework [or more precisely the PEPPOL Architecture Framework] (§4.5)
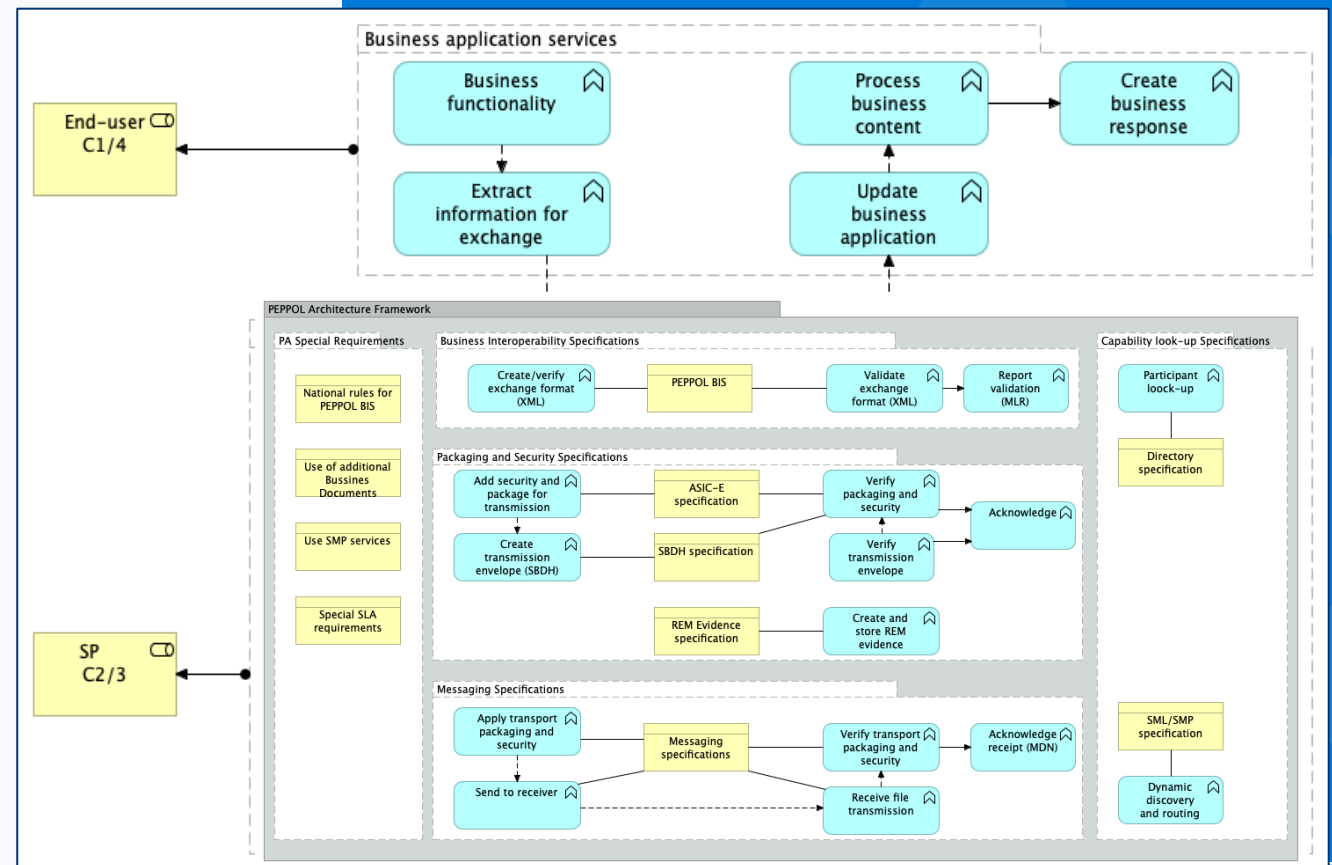
Relevant building blocks

For measuring SP compliance

The individual building blocks relevant for the different PEPPOL Service Areas is defined as part of the PEPPOL Architecture Framework – "the artefact list".

Use of a building block varies for the different PEPPOL Service Areas

- **Mandatory** indicates that PEPPOL Services offered within the PEPPOL Service Area shall be in compliance to the standard, specification or policy stated

- **Optional** indicates that a PEPPOL Service Provider may choose to offer PEPPOL Services based on the give standard, specification or policy within the PEPPOL Service AREA, if so the PEPPOL Service offered shall be in compliance to that standard, specification or policy

- **No** indicates that the standards, specifications or policy is not relevant for that PEPPOL Service Area

Name	Use in Post-Award Domain	Use in Pre-Award Domain	Use in addressing (SMP)	Remark
PEPPOL Transport Infrastructure AS2 Profile	Optional	No	No	Being phased in
PEPPOL Transport Infrastructure AS2 Profile	Mandatory	No	No	Not used in DE
PEPPOL Transport Infrastructure BusDox Common Definitions	Optional	No	No	BIS2 only
PEPPOL Business Message Envelope (SBDH) [Deleted by accident]	Mandatory	Mandatory	No	
PEPPOL Business Message Envelope (SBDH)	Mandatory	Mandatory	No	
PEPPOL Directory	No	No	Optional	
PEPPOL Policy for Transport Security	Optional	Optional	No	
Policy for use of Identifiers	Optional	No	No	BIS2 only
Policy for use of Identifiers	Mandatory	Mandatory	Mandatory	
				Sending AP only but to

Service level requirements

[The PEPPOL Service Provider shall] ensure that it has sufficient resources for the readiness, testing, operation and maintenance of its services according to the minimum service levels defined for the PEPPOL Service Area in which it is offering its services (§4.5.10).

Published and maintained as part of the PEPPOL Architecture Framework.

|	Pre-award	Post-Award	Capability look up (SMP)
The PEPPOL Service shall be configured with a timeout (the period during which the service, once initiated, shall not terminate due to lack of activity)	No less than 60 seconds	No less than 120 seconds	No less than seconds
The PEPPOL Service shall be able to handle PEPPOL Business Documents up to the size stated.	2 GB	100 MB	Not applicab
The PEPPOL Service is considered unavailable if it is not reachable for a continuous period of time or for other reasons is not able to handle incoming messages or requests in a secure manner.	120 seconds	10 seconds	10 seconds
The PEPPOL Service shall be available, measured as a monthly average including service windows (total number of hours in the month divided by the number of hours the service was unavailable).	99,65%	99.5 %	99.5 %
In case a requested action (e.g. request to send a PEPPOL Business Document or request to provide a look-up) cannot be performed, a failure report shall be returned to the affected end-user.	Yes	Yes	Yes
A receiving PEPPOL Service shall send a technical receipt at communication protocol level (e.g. an MDN) to the sending PEPPOL Service within the stated period of time after having received the PEPPOL Business Document.	2 seconds	2 seconds	Not applicab

PA specific requirements

«Annex 5»

PA is given the opportunity to define its **specific requirements** ("Annex 5"-requirements) applicable within its jurisdiction (§6)

- Approval by the OpenPEPPOL MC

- Must respect the PEPPOL Compliance Policy

- Published as part of the PEPPOL Architecture Framework
  - **Will thus be equally applicable to all SP's operating within that jurisdiction independent of who they have signed an agreement with**

- Subject to OpenPEPPOL Change Management procedures
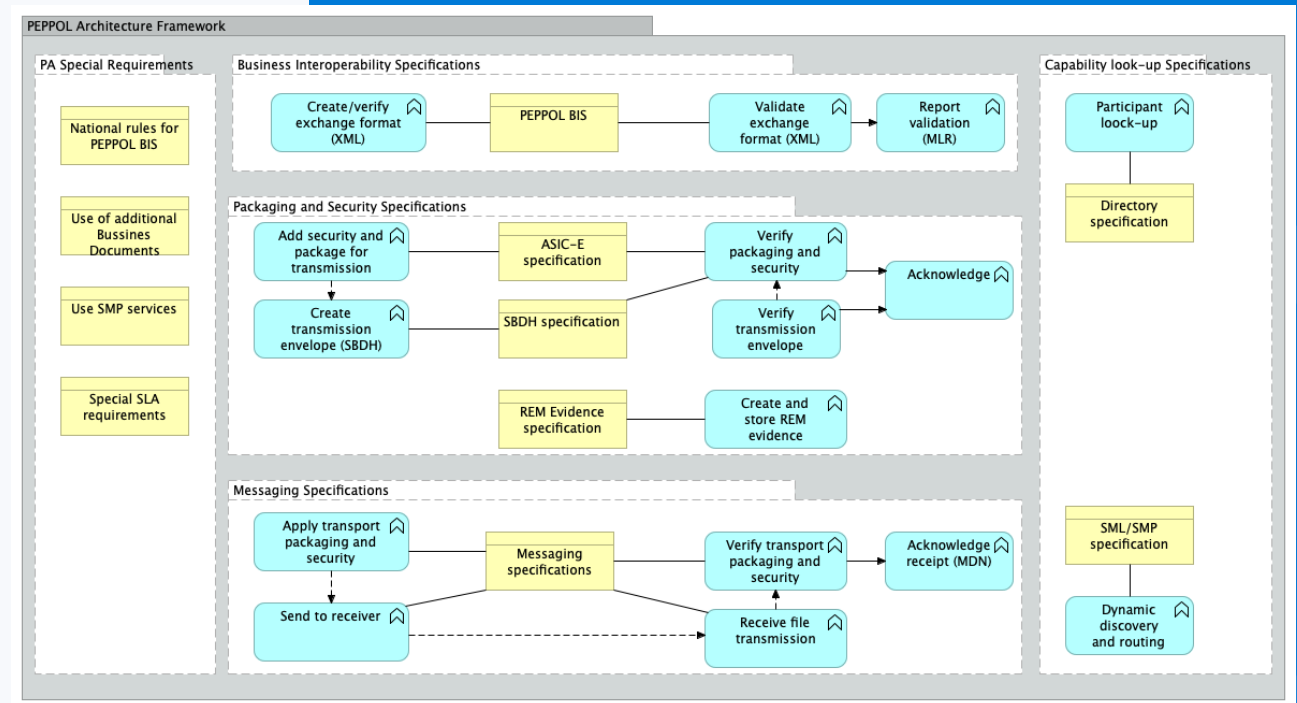
Penalties and Revocation of Services in case of non-compliance (§15)
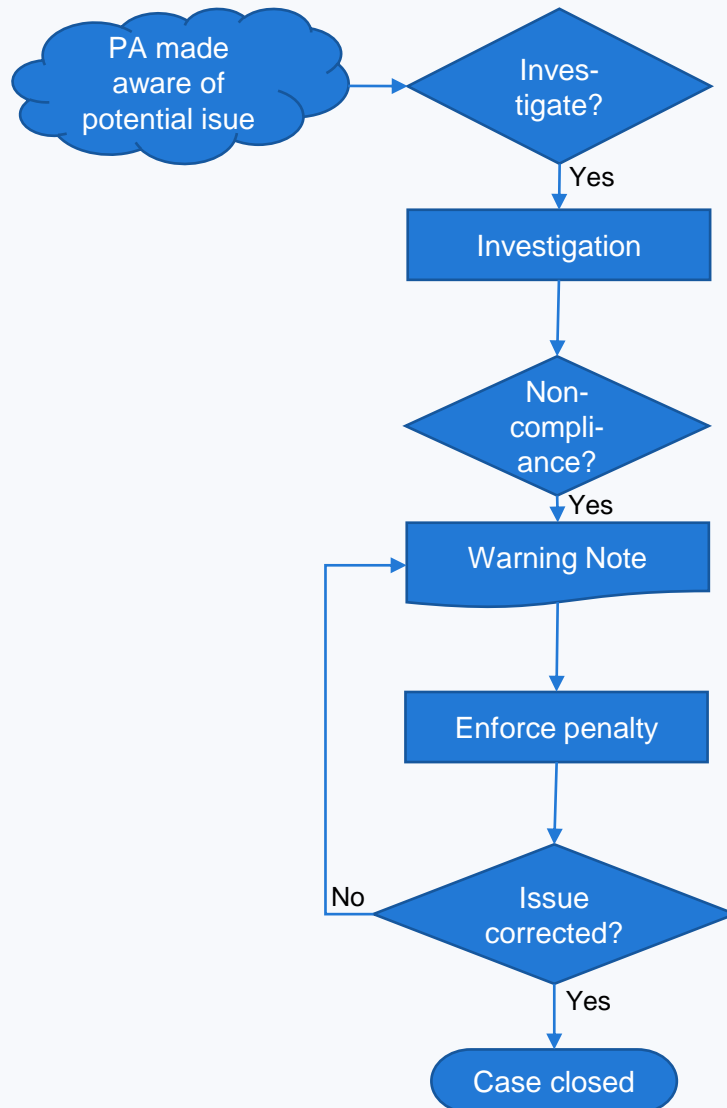
- The PEPPOL Authority may initiate an investigation (§15.1)
  - as soon as it is made aware of a possible situation of non-compliance with the provisions of this Agreement or with the PEPPOL Interoperability Framework, or of any other situation that may endanger the correct functioning of the PEPPOL eDelivery Framework
  - to confirm the cause of the situation as well as the consequence on the PEPPOL eDelivery Network as a whole

- If non-compliance is confirmed (§15.2)
  - Send Warning Note to the PEPPOL Service Provider with copy to the PEPPOL Coordinating Authority

- The escalation process and type of penalties that may be enforced by the PEPPOL Authority on PEPPOL Service Providers (§15.3)
  - Blacklisting on the OpenPEPPOL member site
  - Public blacklisting
  - Suspension of certificate
  - Revocation of certificates

- If the situation of non-compliance continues over time, the PEPPOL Authority may initiate the next step in the escalation process (§15.4)

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Subcontracting and service contract with end-user
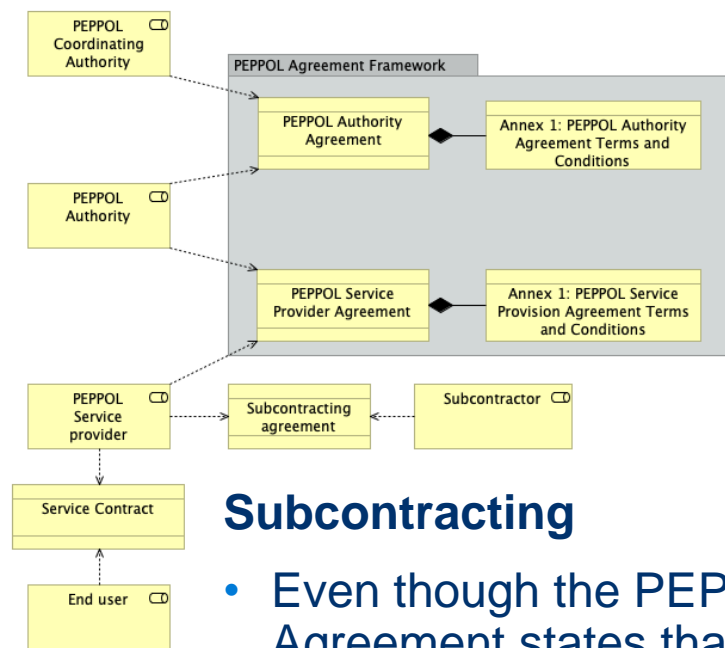
Subcontracting

- Even though the PEPPOL Service Provider Agreement states that the SP is <u>responsible</u> for providing all relevant PEPPOL Services towards the end-user (§2.1.1), it does not imply that the SP must produce all services provided itself. Services may be subcontracted to a third-party provider (§11) or even to the end-user.

- Subcontracting to third-party providers requires that a subcontracting agreement are established corresponding to the responsibilities stated in the PEPPOL Service Provider Agreement.

Service contract with end-user

- The PEPPOL Service Provider must have a Service Contract with the end-users that it services (§4.2).
  - Give SP permission to perform the relevant PEPPOL Services on behalf of the end-user, including receive and transfer of business documents.
  - Contain a reference to the signed PEPPOL Service Provider Agreement and the PEPPOL Authority Subcontracting to end-users could be made part of the Service Contract that the SP has with the end-user.

Selected highlights/changes
Use of PEPPOL BIS

- Only PEPPOL Business Documents can be used on the PEPPOL eDelivery Network (§7.1)
  - PEPPOL Business Document = PEPPOL BIS + other interoperability specifications approved by the PEPPOL Coordinating Authority for which a PEPPOL Document Identifier has been assigned

- Mandatory support for PEPPOL BIS (§7.2)
  - The PEPPOL Coordinating Authority may grant deviation (§7.3)

- PA may request request business documents other than PEPPOL BIS for use in PEPPOL (§7.4)
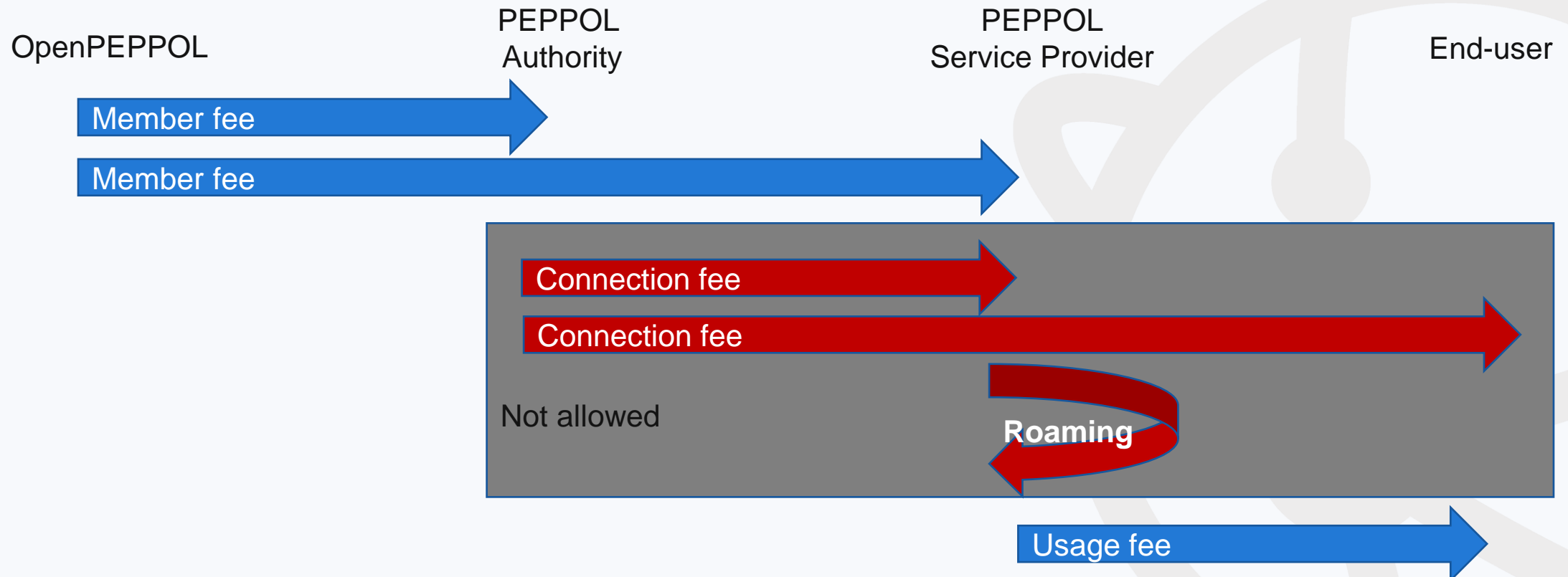
Selected highlights/changes (2)

Change management

- All components of the PEPPOL Interoperability Framework are subject to agreed change management procedures defined as part of Internal regulations (§8.1)

- New version of a component shall be explicitly announced (§8.2)

- New version shall be implemented according to defined migration plan (§8.3)

- If the changed version is not acceptable the Agreement must be terminated (§8.4 & §16.5)

Selected highlights/changes (3)

Charges (§9)

- No charges can be applied for responsibilities described in the agreement (other than membership fee)

OpenPEPPOL   PEPPOL Authority   PEPPOL Service Provider   End-user

Member fee

Member fee

Connection fee

Connection fee

Not allowed

Roaming

Usage fee

Other highlights/changes

- Changes to the scope of services offered by the SP requires a new agreement to be signed (18.2)
- Protect PEPPOL Services against illicit use, malicious code, etc. using state of the art measures and procedures, including to maintain documentation on how systems are protected and to make this available on request (§5.3)
- PA may instruct SP to block an end-user (§4.8)
- No explicit reference to GDPR due to the global scope of PEPPOL (§14)
- No liability except for "… damage caused by a wilful act or gross negligence" (§16)
- Agreement is automatically terminated if no valid membership in OpenPEPPOL (19.4)
- Law of the country and or region/territory in which the PA has its head office (20.1)

Expectations on the PEPPOL Service Providers

Peppol

- Engage with PEPPOL Authorities in the review of the draft agreement documents

- Pay attention to deadlines related to the review process announced by the PEPPOL Authority with whom you have a signed agreement

- Contribute to the definition of "relevant building blocks" and SLA requirements within the respective PEPPOL Domain Communities

Discussion

www.peppol.eu

MORE INFORMATION

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