OpenPEPPOL Pre-award Coordinating Community F2F Meeting

Inviting e-SENS 5.1 participants

Rome, May 31ˢᵗ, 2016

Agenda PRACC Parallel session
4th floor- room 2

1. Pre-award interoperability and the need for governance Framework

- The OpenPEPPOL value proposition for pre-award procurement

- The BIS approach in pre-award and interdependencies with other CCs

- The PEPPOL BIS change management cycle

- BIS ownership and handover

- Legal and business requirements

- TIA update/extension process

2. Pre-award BIS update

- E-Tendering BIS

- ESPD/VCD BIS

- eCatalogue BIS

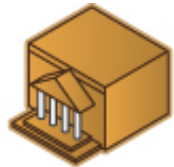**3. Member issues Membership categories relevant to pre-award**

- Changes in Statutes and CC routines

4. AOB

1. Pre-award interoperability and the need for a Governance Framework

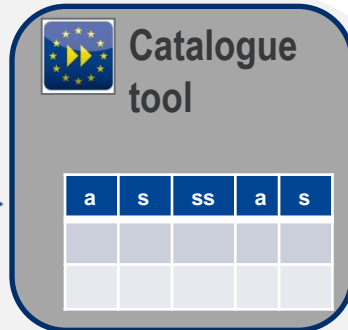# Pre-award procurement process through PEPPOL: buyer to suppler

PEPPOL PAN-EUROPEAN PUBLIC PROCUREMENT ONLINE / *making procurement better.eu*

Contracting Authority

Economic Operator

Catalogue tool

a	s	ss	a	s

Specifies goods and services required

Retrieves/receives structure eCatalogue template

ESPD and VCD tool
Access to eCertis

Lists qualification criteria and requested evidence

Retrieves/receives ESPD/VCD template for a given tender`

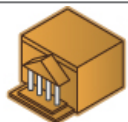Publishes tender notice in OJEU (+ National level)

Retrieves tender notice from OJEU (or Nat'l)

Publishes/sends tender documentation

Retrieves/receives tender documentation

Pre-award procurement process with PEPPOL tools: supplier to buyer

PEPPOL
PAN-EUROPEAN PUBLIC PROCUREMENT ONLINE

making procurement better.eu

Contracting Authority

Economic Operator

Evaluates tender & selects supplier
- Qualification
- Goods and services
- Other documentation

ESPD and VCD tool

Prepares evidences for qualification

Access to eCertis

eCatalogue tool

a	s	ss	a	s
1	3	d	3	4
2	2	as	D	E

Specifies goods and services

Tender Submission (tendering system)

Tender Preparation (bidding system)

eSignature validation

PEPPOL eDelivery Network`

Signs tender and submits it over eDelivery

PEPPOL is owned by OpenPEPPOL AISBL

The PEPPOL Interoperability framework
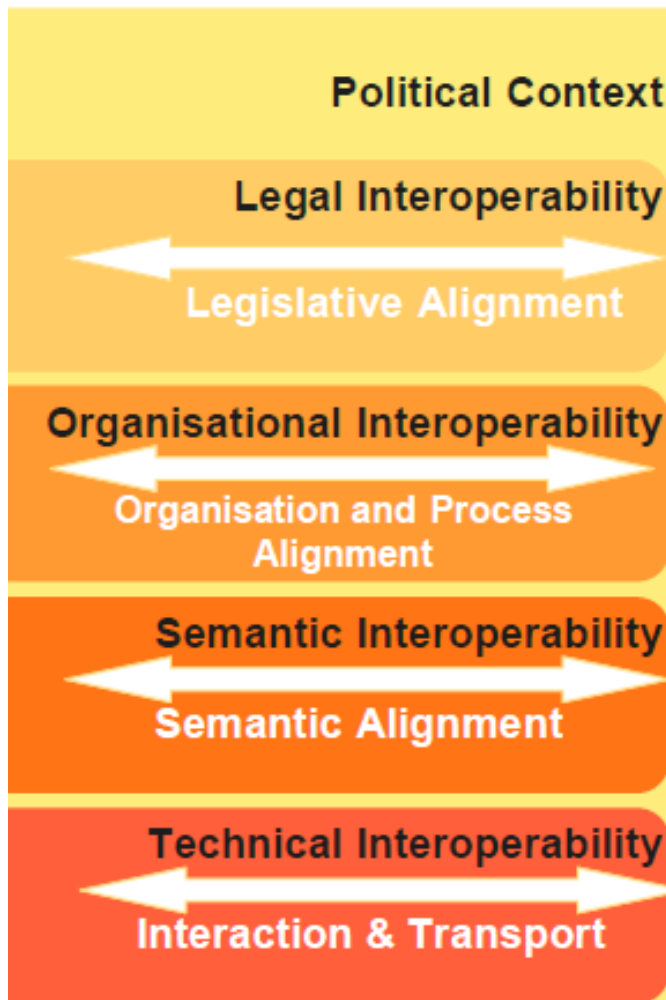
- Single Market II, Digital Agenda, BCSS
- EC Strategy for e-Procurement, Roadmap for e-Invoicing in public procurement

- EU Directives
- Member state legal requirements
- PEPPOL Transport Infrastructure Agreements

- CEN WS Business Interoperability Interfaces On Public Procurement in Europe
- CEN BII Profiles + PEPPOL business rules

- CEN BII Transactions Data Models
- PEPPOL business rules

- CEN BII syntax binding towards OASIS UBL (UN/CEFACT is an option, not implemented)
- PEPPOL Transport infrastructure (OASIS BDXR TC)

European Interoperability Framework 2.0

Which are the interoperability aspects?

▶▶ Semantic level: What is communicated between systems

    ▶▶ Common Payload specifications (CEN BII.TC440, PEPPOL BIS). Specifications are **sustained over time** based on evolving legal frameworks, stakeholder interests and requirements

▶▶ Transport level: How communication happens between systems

    ▶▶ Common eDelivery specifications (architecture, eDelivery

▶▶ Legal level: How system owners agree to cooperate

    ▶▶ Agreements between eDelivery providers but also between eTendering/preaward providers (sign once, communicate with everyone)

▶▶ Organizational level: How to run an operational network

    ▶▶ Operational and legal procedures to enrol participants

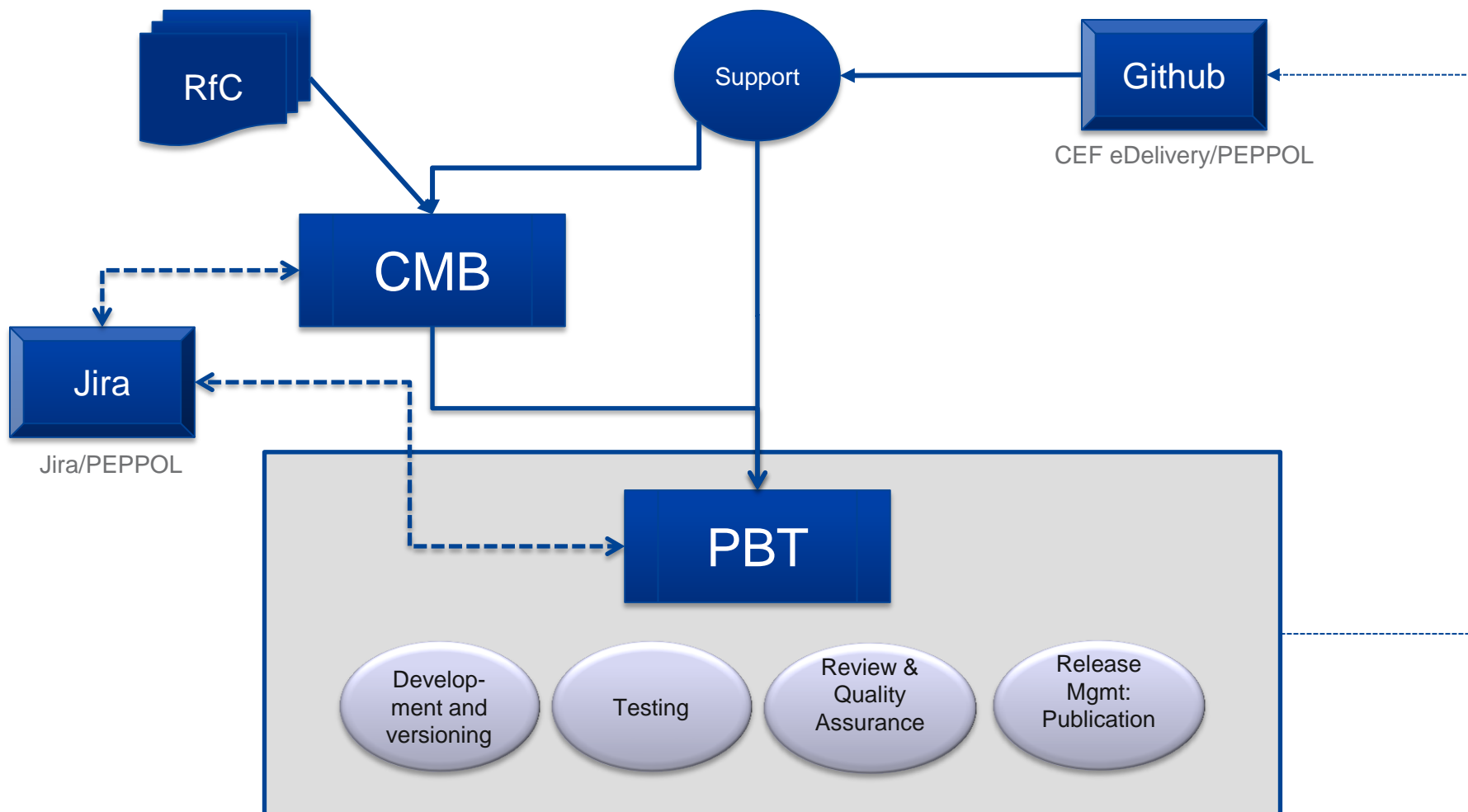   ▶▶ Checking for compliance to interoperability specs and other agreement clauses

BIS Approach and Ownership in pre-award

▶▶ In pre-award BIS is not only the payload specification

▶▶ Pre-award BIS covers all ABBs of an integrated pilot solution
- ▶▶ Payload (CEN/BII-TC440, with additional business rues when needed)
- ▶▶ Use of ASIC container and SBDH routing envelope
- ▶▶ Use of eDelivery (Message Exchange, Location/Capability Lookup)
- ▶▶ Generation of Evidences for timely delivery (eSubmission use case)

▶▶ BIS ownership issues remain to be clarified
- ▶▶ Background IPR from CEN, OASIS, ETSI etc for specific ABBs
- ▶▶ E-SENS transfer needed
- ▶▶ Final owner either EC (first refusal) or OpenPEPPOL

Governance & Life Cycle Management take on different meaning at different levels

Strategic & Political

- Stakeholder alignment
- Long term planning & development
- Funding & financing schemes
- Organizational set up
- Cross organizational coordination

Tactical

- Development processes (specifications , standards, elements)
- Change Management (handling RfC's)
  - Minor and major releases
- Second and third level support
- Release management - publication

Operational

- Release management – transition to operations
- Monitoring operations
- Fault mitigation & contingency
- First line support
- Change management - hot fixes

PEPPOL Development Process (PDP) – blow up

RfC

Support

Github

CEF eDelivery/PEPPOL

CMB

Jira

Jira/PEPPOL

PBT

Develop-
ment and
versioning

Testing

Review &
Quality
Assurance

Release
Mgmt:
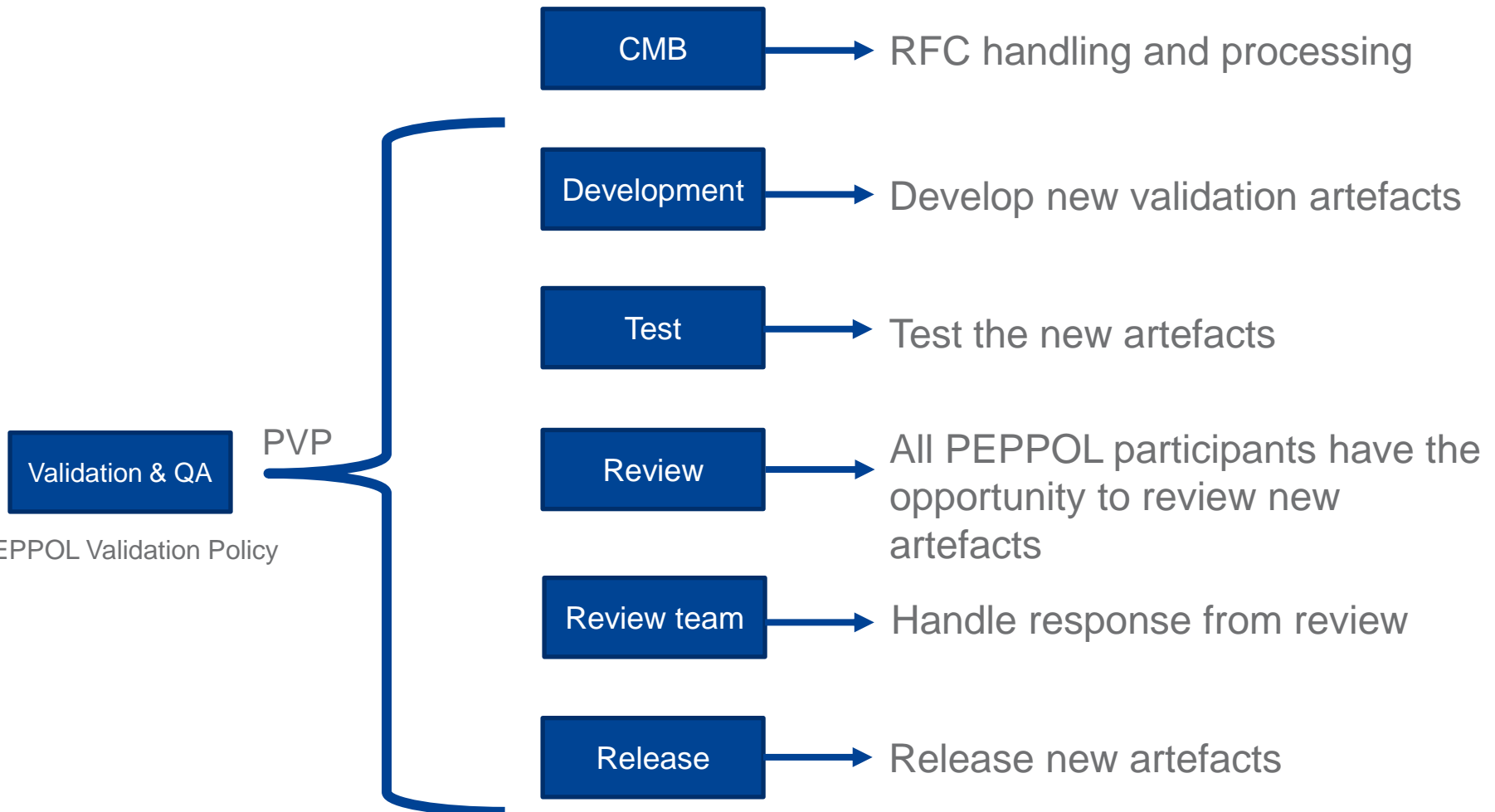Publication

The role of the CMB

Tasks:
- Handle all RfC – Register and enumerate them (create an audit trail for all received issues – support and RfC).
- Process the RfC and decide whether calls for:
  - Validation Artefact effort:
    - Hot Fix
    - Minor revision
    - Major revision (project)
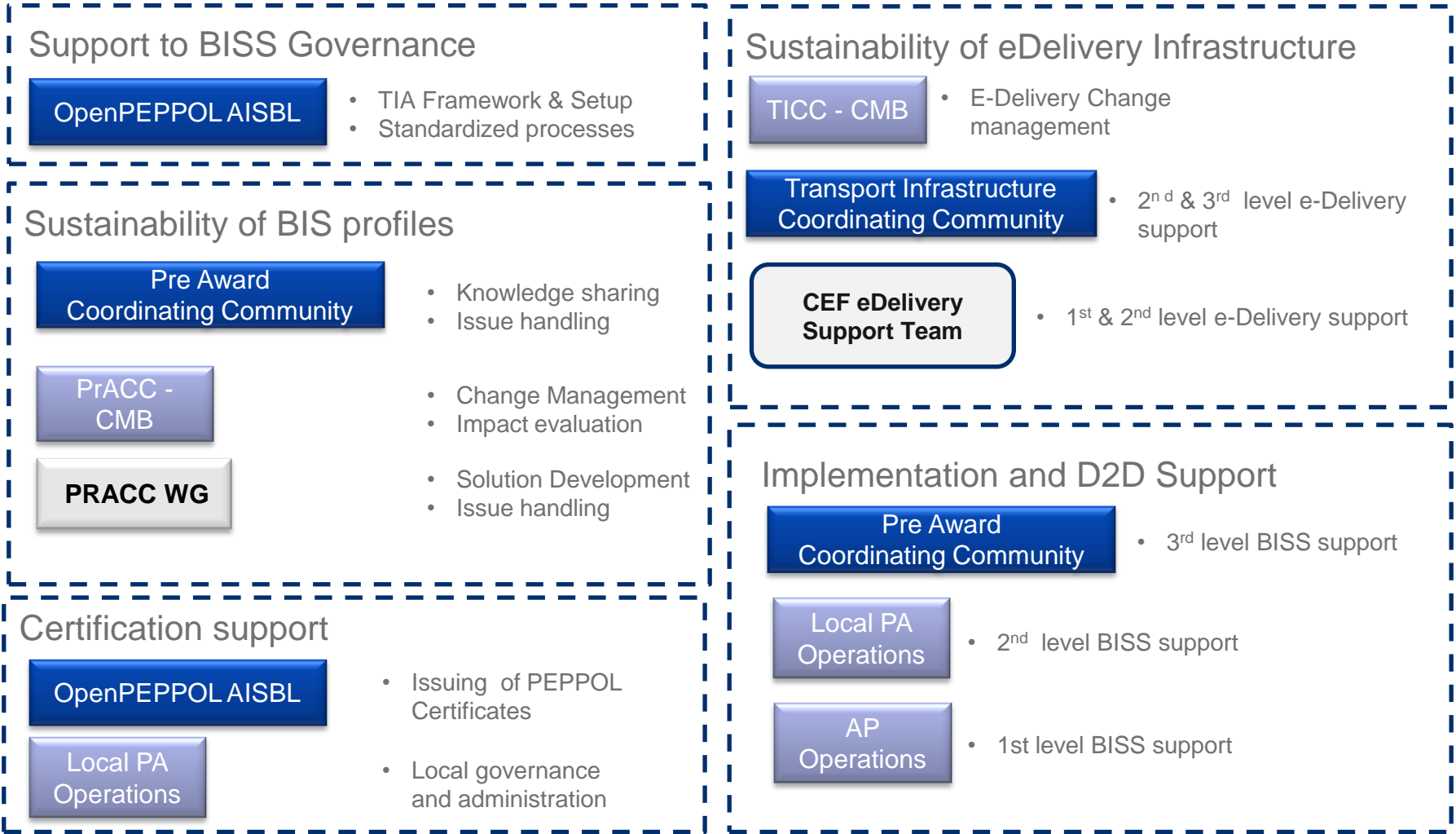 - PEPPOL BIS or other artefacts.
  - No action (rejection)

Responsibilities:
- Communication with PEPPOL participants (before, during and after any measures conducted)
- Follow up on efforts made
- Release resulting updates / additions for publication

Release process step by step

Validation & QA

PEPPOL Validation Policy

PVP

CMB → RFC handling and processing

Development → Develop new validation artefacts

Test → Test the new artefacts

Review → All PEPPOL participants have the opportunity to review new artefacts

Review team → Handle response from review

Release → Release new artefacts

Support landscape for the PrACC BIS community

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Support to BISS Governance

OpenPEPPOL AISBL
- TIA Framework & Setup
- Standardized processes

Sustainability of BIS profiles

Pre Award Coordinating Community
- Knowledge sharing
- Issue handling

PrACC - CMB
- Change Management
- Impact evaluation

PRACC WG
- Solution Development
- Issue handling

Certification support

OpenPEPPOL AISBL
- Issuing of PEPPOL Certificates

Local PA Operations
- Local governance and administration

Sustainability of eDelivery Infrastructure

TICC - CMB
- E-Delivery Change management

Transport Infrastructure Coordinating Community
- 2nd & 3rd level e-Delivery support

CEF eDelivery Support Team
- 1st & 2nd level e-Delivery support

Implementation and D2D Support

Pre Award Coordinating Community
- 3rd level BISS support

Local PA Operations
- 2nd level BISS support

AP Operations
- 1st level BISS support

Main Principles for the PEPPOL support

- Support based on extended use of 1st level support provided by the PEPPOL Authorities (national/regional/domain specific)

- Support based on establishing a steady state D2D operations environment by proactive use of root cause analysis and identification of need for corrective maintenance

- E2E support activities from engagement through on-boarding and D2D operation not ending until and eventual off-boarding.

- Proactive support focus (preventing, preparing, implementing and educating)

- Knowledge sharing through documentation and collaborative software tools

- Extended collaboration with the PEPPOL eDelivery network development and sustainability team (OpenPEPPOL AISBL)

- Education focusing on enabling PEPPOL Authorities to handle PEPPOL eDelivery Governance, End-user Support and D2D Operations.

- Education based on the principle of Train the Trainer

Potential roles and responsibilities for PEPPOL BIS Support

OpenPEPPOL AISBL (GA & D2D management) (Key stakeholders/ Primary Client)

- Responsible for governance of the PEPPOL eDelivery network

- Management of memberships/OpenPEPPOL user community

- Responsible for dispute handling between PA's

OpenPEPPOL PoACC & PraCC

- Responsible for overall coordination and documentation of the support process

- Responsible for 2nd/ 3rd level support during enrolment, on-boarding and D2D operations phases

- Responsible for 'mass'- communication to OpenPEPPOL members / PEPPOL BIS implementers

- Change management of the PEPPOL BIS & PEPPOL eDelivery specifications

Potential and New End Users /PA / AP / SMP (Potential users and implementers)

- End users of support during enrolment and on-boarding

PEPPOL Authorities *(Local and Global PA's)* – (Operational leader of enrolment and on-boarding)

- Responsible for 1st / 2nd level support to implementers during on-boarding and D2D operations phases

- Responsible for local user community setup/knowledge sharing during enrolment, on-boarding and D2D operations

- Responsible for dispute handling between AP's national and cross boarder

OpenPEPPOL PA

- Responsible for 2st level support to end-users during enrolment on-boarding and D2D operations

- End-users of support during dispute handling

PEPPOL is owned by OpenPEPPOL AISBL

Legal and Business Requirements

| Nr	Description	Implementation
BR01	reliable identification of the senders	The sending system is C1 and can be identified with a trusted certificate from the PEPPOL Trust Network. The C1 is responsible for reliable registration of the business party.
BR02	integrity of its content	A message (=asicmanifest) should be sealed with the C1 certificate from the PEPPOL Trust Network. The message cannot be changed during transmission to receiver C4.
BR03	reliable identification of the tenderer (constitutes a binding offer)	Same as BR01. Signing of tenders or individual documents by persons with mandate of the EO is out of scope. Singed documents however may be included in the tender bundle and verified by the receiving party.
BR04	not disclose confidential information but protecting	The CA provided certificates/public keys in the Call-For-Tender, either from a trusted PKI, e.g. when local rules and regulations describe as such or, self-issued / self-signed when no trusted PKI is available and local rules and regulations allow as such. The EO uses these keys to encrypt the tender documents. The UBL document must not be encrypted.

OpenPEPPOL Agreement Framework
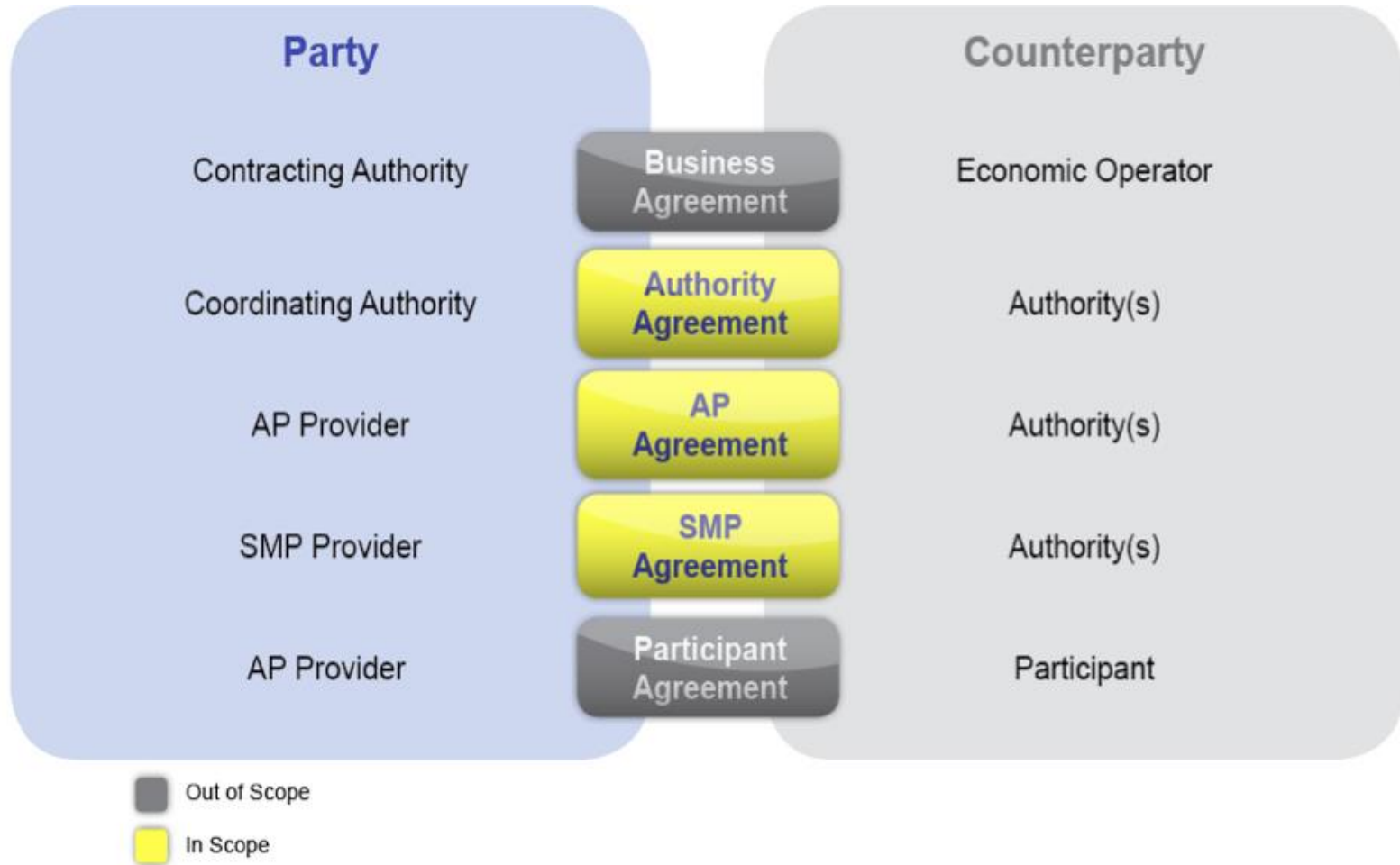
Legal agreements in Pre-award

▶▶ Pre-award has legal differences with post-award

   ▶▶ Much more direct anchor to legislation (Directive for public procurement, eIDAS)

   ▶▶ There is an additional Circle of Trust between Tendering Systems

▶▶ Main questions: Which obligations for which members?

▶▶ Two areas of legal agreement work:

   ▶▶ Requirements directly affecting the TIA

      ▶ Now assessed by TICC, more legal text to be provided by e-SENS

      ▶ May affect TIA body, but aim is to work through Annexes

   ▶▶ Possibility for a new agreement framework for tendering system providers

      ▶ Will affect operational procedures for onboarding members and monitoring compliance on a regular basis – effects on cost basis

Open Issues remaining

▶▶ Circle of Trust

    ▶▶ Pre-award need for an outer circle of trust between the eTendering (or other pre-award) system providers

    ▶▶ Current solution: Use PEPPOL PKI for this purpose. CR approval pending, as liability concerns have been expressed

    ▶▶ The EC ill have to voice an opinion on the model chosen, particularly if pre-award goes into CEF

    ▶▶ Alternative model of mutual key exchange through SMP is being proposed within e-SENS and supported by some EC stakeholders.

▶▶ TIA/pre-award agreement structure pending

    ▶▶ Legal assistance needed

    ▶▶ Dependency on Circle of Trust finalization

    ▶▶ Operational and costing aspects still work in progress

What could the future look like?
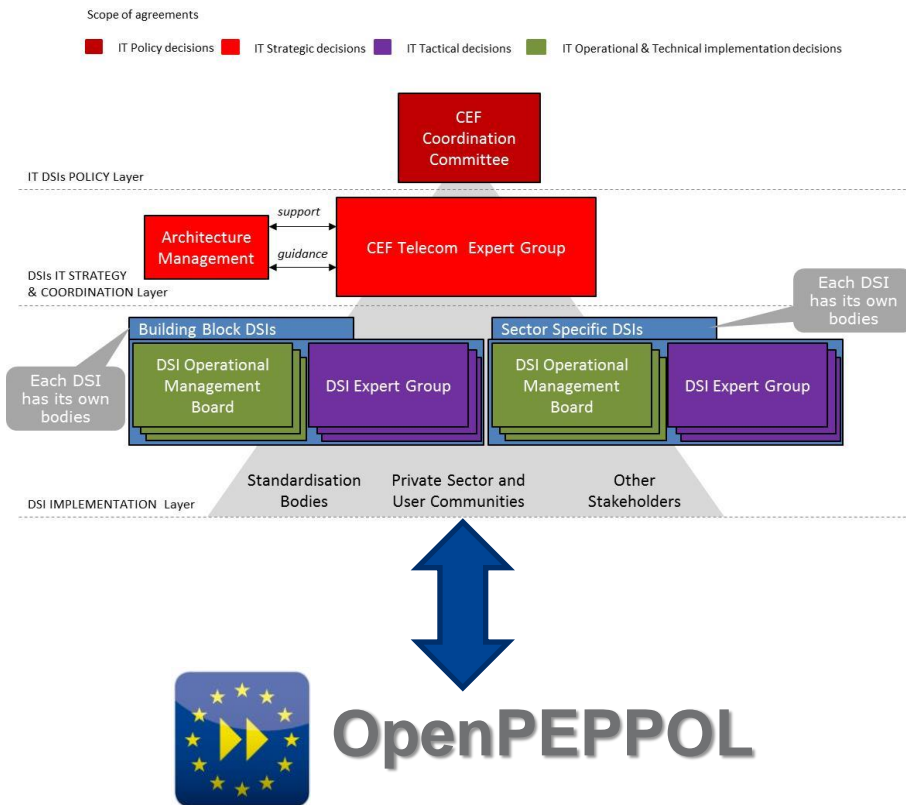
- In CEF governance, stakeholders play a consultative role

- Need a domain-specific body that can provide the domain governance framework for interoperability

- Cooperation and complementarity with CEF DSI governance
  - eProcurement DSI
  - eDelivery DSI
  - ,,,others

- Long-term sustainability for the post-CEF period

2. BIS update for pre-award areas

eTendering BIS Update

Content eTendering BIS:
- CEN/BII profile
- Syntax Implementation guidelines (UBL)
- Schematrons
- Error scenario codes for MLR
- Legal agreements

▶▶BIS 46 Subscribe interest

▶▶BIS 47 Call For Tenders

▶▶BIS 54 Submit Tender

ESPD/VCD BIS Update

The ESPD and VCD Business Interoperability Specification (BIS) –available as draft spec, work in progress http://wiki.ds.unipi.gr/display/VCD/VCD+BIS

Chapter	Status and to-dos
1. Introduction	Finalised, for public review
2. Overall scope, stakeholders and architect-ture principles for the ESPD and VCD service	Finalised, for public review
3. Legal Interoperability	Mostly finalised (legal mapping to be described by UKL + specific national requirements to be added if existing all)
4. Organisational Interoperability	Finalised, for public review
5. Semantic Interoperability	Mostly finalised (5.3.4 Criteria Data Flows still to be done by UPRC), updates may be needed based on recent evolutions in the interaction with DG Grow
6. Technical Interoperability	Work to be done (Ulf, Anton, Jerry), some content available as software documentation in http://wiki.ds.unipi.gr/display/VCD/Software+Documentation
7. Reference Implementations and Confor-mance Testing of ESPD and VCD Services	Work to be done (Reference implementations @ ALL + UKL hired two student staff for the Conformance Testing)

Membership Issues

Pre-award Membership Categories

▶▶ AP providers

    ▶▶ Will need to implement additional requirements for pre-award (e.g. evidences)

    ▶▶ Onboarding will be more resource consuming

    ▶▶ Will a separate membership category be needed?

▶▶ SMP Providers

    ▶▶ No change foreseen at the moment, unless SMP updates are decided as part of a new Circle of Trust

▶▶ Pre-award Service Providers

    ▶▶ New focus on eTendering or other pre-award system providers, will form a second Circle of Trust particular to pre-award

▶▶ PEPPOL Authorities

    ▶▶ Is there a need for pre-award PAs as a separate category?

Thank for your attention

For more information:

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