PEPPOL Governance - TIA Structure, Processes Roles and Responsibilities
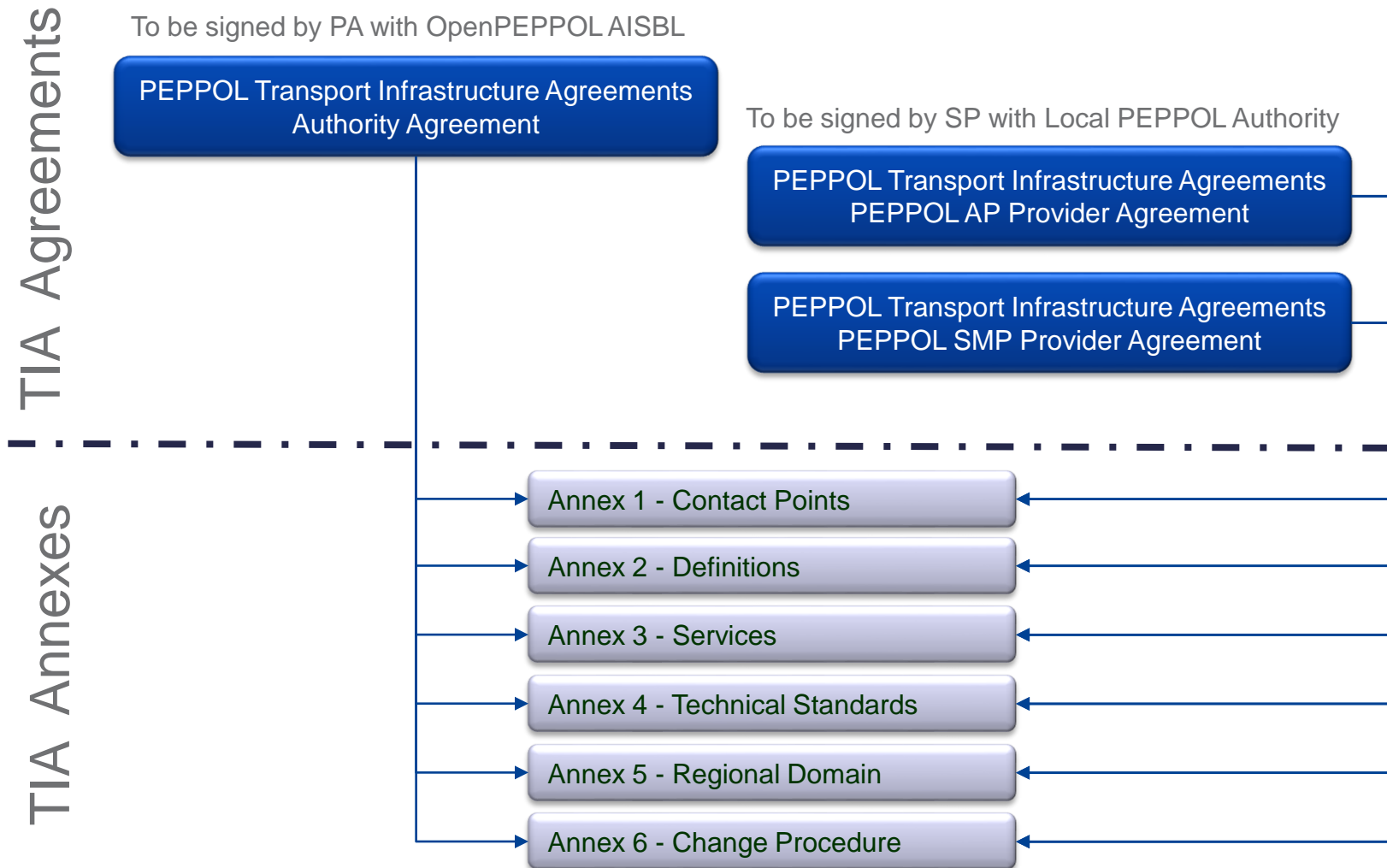
PA Introduction Session 4

Agenda

▶▶ TIA agreement structure

▶▶ TIA signing guideline to AP/SMP's - How to become an AP/SMP

▶▶ TIA signing process for AP/SMP's - Roles and responsibilities for on-boarding

▶▶ TIA signing process for AP/SMP's - Activity overview for on-boarding

▶▶ Main principles of the TIA Change Management

▶▶ TIA Change Management 1 - Changes to the TIA Main Body

▶▶ TIA Change Management 2 - Changes to the TIA Annexes

▶▶ TIA Change Management 3 - Overview of the Change process Support documents

▶▶ On-going TIA Revision Activities 2016

▶▶ Support Documents

TIA Agreement structure

TIA Agreements

To be signed by PA with OpenPEPPOL AISBL

**PEPPOL Transport Infrastructure Agreements
Authority Agreement**

To be signed by SP with Local PEPPOL Authority

**PEPPOL Transport Infrastructure Agreements
PEPPOL AP Provider Agreement**

**PEPPOL Transport Infrastructure Agreements
PEPPOL SMP Provider Agreement**

TIA Annexes

Annex 1 - Contact Points

Annex 2 - Definitions

Annex 3 - Services

Annex 4 - Technical Standards

Annex 5 - Regional Domain

Annex 6 - Change Procedure

Annexes are reused in all three types of agreements

TIA Signing guideline to APs/SMPs
How to become an AP at a glance

There are two main activities in connecting to the PEPPOL eDelivery network:

1. Connecting to the PEPPOL eDelivery network by establishing an Access Point

2. Ensuring that you are able to send and receive electronic documents following the PEPPOL Business Interoperability Specifications (BIS)

The next step in the process is to familiarize your organisation with the guidance notes located at: http://www.peppol.eu/peppol_elements/-transport-infrastructure/peppol-access-points and then the following steps apply:

1. Sign the PEPPOL Transport Infrastructure Agreement (PEPPOL TIA) with the PEPPOL Authority of your choice (or if no national authority exists you may choose to sign with OpenPEPPOL AISBL as the PEPPOL Authority).

2. Fill out and sign Annex 1 of the PEPPOL TIA. Scan the agreement and all annexes into one single pdf document and send it to localpa@localpa.xx along with a scanned copy of your company registration document, requesting a certificate.

3. As a result, you will receive a test certificate along with further information from the Certification Authority.

4. Establish your Access Point capability (http://www.peppol.eu/peppol_elements/-transport-infrastructure/peppol-access-points/how-to-establish-an-access-point)

5. Execute the testing process and send the documentation of a successful test to your PEPPOL Authority to obtain a Production certificate.

6. Download your certificate and enter into production mode.

In order to ensure your capability to send and receive electronic documents following the PEPPOL Business Interoperability Specifications (BIS) please familiarize yourself with the OpenPEPPOL BIS on our web site.

TIA Signing Process for AP/SMP's
Roles and responsibilities for on-boarding

PEPPOL Coordinating Authority / OPEN PEPPOL Managing Committee (Strategic owner of the process)

- Approval of new AP/SMP membership

- Revision and maintenance of the TIA agreement

PEPPOL Authority (Process owner)

- Implementation of TIA AP/SMP agreements in accordance with OpenPEPPOL Template TIA Agreements

- Revision and maintenance of TIA Annex 5

- Responsible for signing the TIA

- Storage of legal documentation (providing copies upon request to OpenPEPPOL OO)

- Responsible for establishing support to AP's and SMP's during test and operations

  ▸▸ **Process Coordinator**

  - Detailed planning, coordination, execution and documentation of the process

  - Responsible for structured gathering, consolidation, QA and archiving of information and documents

  ▸▸ **Local PA Support**

  - First and second line support to AP's/SMP's during testing

New AP / SMP (Receiver of the process)

- Responsible for delivering the required documentation and signing the TIA (Incl. submission of company registration form)

- Responsible for performing the test of AP set-up (internal test as well as final acceptance test) and delivering the Test Report

PEPPOL Certification Authority (DIGST) (Responsible for issuing certificates)

- Provision of PKI pilot and PKI production certificates (Test and production certificates)

PEPPOL Test Facility

- Responsible for providing test facilities for final acceptance test (In-House, Outsourced or PA collaborative)

TIA Signing Process for APs/SMPs
Activity overview for on-boarding

Application	Testing	Certificate

Application

1. Membership approval by MC

2. Sign TIA (Transport Infrastructure Agreements) with a PEPPOL Authority

3. Gather and archive legal documentation

Step 1 is described in Membership Approval Guidelines.

Step 2 is described in Guideline for TIA Signing and Issuing of Certificates

Testing

1. The PEPPOL Authority sends a request for the TEST certificate, including TIA Annex 1 and copy of company registration documentation, to the PEPPOL Certification Authority (DIGST).

2. The PEPPOL Certification Authority prepares the test certificate and sends guidance to the Service Provider.

3. The Service Provider downloads the test certificate and executes test procedures.

4. The Service Provider sends documentation for test procedures to the PEPPOL Authority.

Certificate

1. The PEPPOL Authority sends the request for Production certificate to the PEPPOL Certification Authority

2. The PEPPOL Certification Authority prepares the production certificate and sends guidance to the Service Provider

3. The Service Provider downloads the Production certificate and enters into production.

4. The AP/ SMP receives the OpenPEPPOL Certified Logo

5. The AP/SMP can request an OpenPEPPOL Certification letter

Step 4 is described in the TIA & Certification Issuing Guidelines

Step 5 is described in the Certification Letter Guideline

Main Principles of the TIA Change Management

- Each party of the OpenPEPPOL TIA has the right to propose amendments to the TIA and its annexes.

- All amendments to the TIA and it's annexes must be approved according to the internal procedures of OpenPEPPOL before implementation.

- The amendment process is owned, managed and run by an Agreement Coordinator, appointed by the Management Committee.

- The impact and result of the proposed amendments will be evaluated in cooperation with the party proposing the amendment, and a draft revision will be provided based on the outcome of this evaluation.

- The draft revision will be sent for review to the PEPPOL Authorities and the Service Providers under their jurisdiction. (The PEPPOL Authorities are obliged to involve the Service Providers with whom they have signed Annex 1 in the review process).

- The review feedback will be taken into account in the final revision of the TIA, and a final decision for adoption will be based on a qualified majority comprising at least ¾ of the votes casted by the PEPPOL Authorities.

- In a scenario where the suggested amendments will have a significant economic, legal or statutory impact on OpenPEPPOL Members, the principles behind the amendments will be sent to the OpenPEPPOL General Assembly for approval.

- After revision, a 6-12 month implementation period is established in order to renew all TIA's signed with Open PEPPOL and the PEPPOL Authorities.

TIA Change Management 1
Changes to the TIA Main Body

- Change requests to the main body of the TIA are to be sent to OpenPEPPOL AISBL in order for the Management Committee to initiate a change management process:

  - A representative will be nominated by the Managing Committee of OpenPEPPOL as the Agreement Coordinator.

  - The Agreement Coordinator shall supervise the accurate implementation of all changes to the TIA

  - The Agreement Coordinator will evaluate proposed amendments and their consequences in cooperation with the party proposing the amendment.

  - The Agreement Coordinator can establish one or more Work Groups to support the evaluation and revision of the TIA

- The Change Management process covers:

  - Impact Evaluation

  - TIA Revision Draft Provision

  - TIA Revision Draft Evaluation

  - TIA Revision Approval

  - TIA Revision Implementation

TIA Change Management 2
Changes to the TIA Annexes

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Annex1-ContactPoints:
Contains contact information only – updated by PA and or AP/SMP

Annex 2: - Definitions –
Updated by OpenPEPPOL AISBL to reflect changes in the PEPPOL agreement structure, infrastructure or BIS specifications.

Changes are to be approved by the members of OpenPEPPOL in the GA or in the Coordinating Communities, and are not the result of bilateral agreements.

Annex3-Services:
The technical specifications and SLA's will have no impact on the local PA, as they are targeting the Service Providers only.

Technical specifications and service requirements are developed, maintained and approved by the OpenPEPPOL members, and as such are not part of bilateral agreements.

Annex4-TechnicalStandards:
Updated by OpenPEPPOL AISBL to reflect the current setup of the PEPPOL architecture, infrastructure and specifications.

Changes are to be approved by the members of OpenPEPPOL in the GA or in the Coordinating Communities, and are not the result of bilateral agreements.

Annex5-RegionalDomain
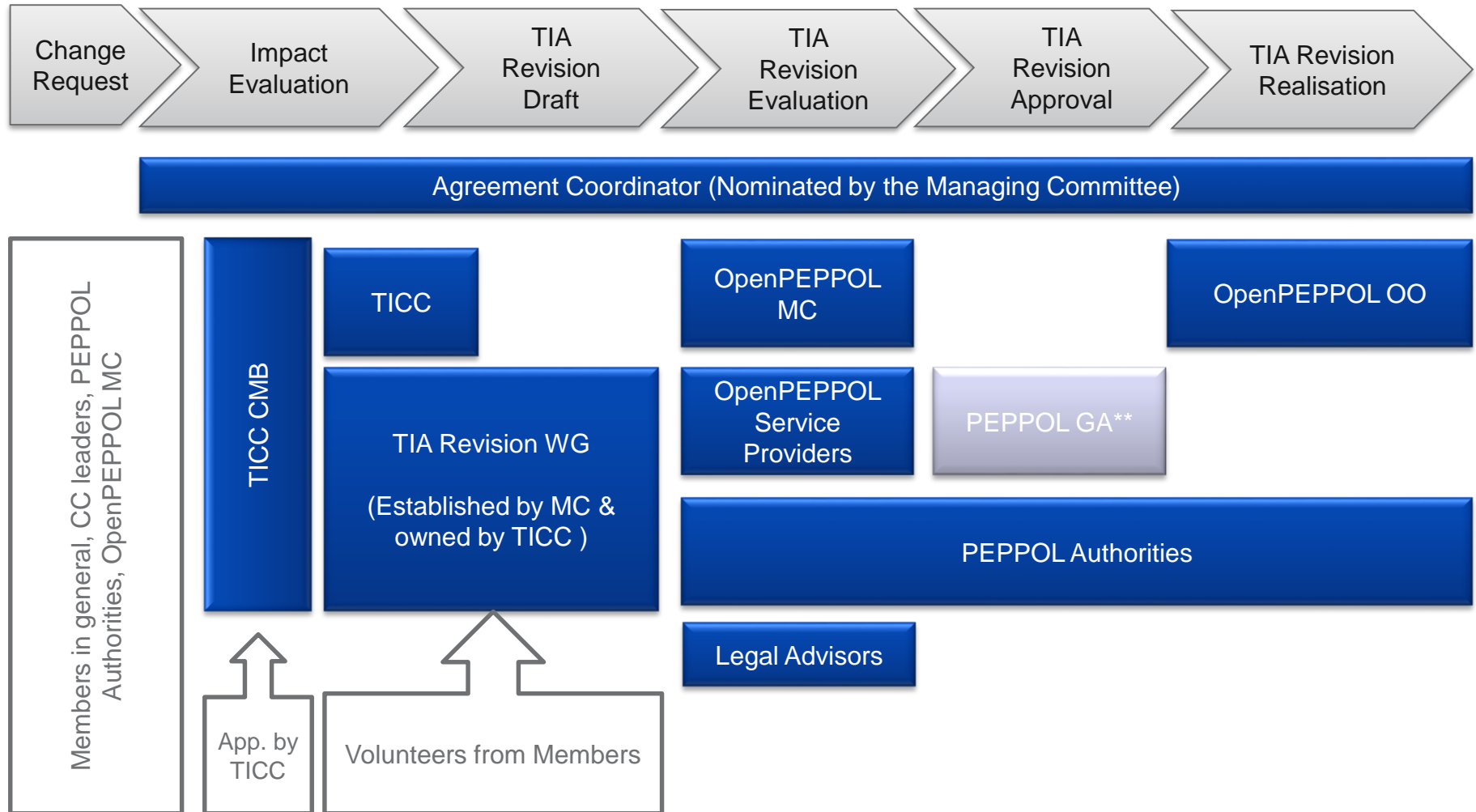Updated by the local PA to reflect local variations, terms and conditions.

Changes are to be reviewed by OpenPEPPOL in order to ensure that they are not in breach of the overall principles of OpenPEPPOL or the overall legal framework.

Annex 6 Change procedure
Updated by OpenPEPPOL AISBL - only if the Agreement related change procedures are altered.

TIA Change Management 3
Overview of the Change process

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| Change Request | Impact Evaluation | TIA Revision Draft | TIA Revision Evaluation | TIA Revision Approval | TIA Revision Realisation |

Agreement Coordinator (Nominated by the Managing Committee)

Members in general, CC leaders, PEPPOL Authorities, OpenPEPPOL MC

TICC CMB

TICC

TIA Revision WG

(Established by MC & owned by TICC)

OpenPEPPOL MC

OpenPEPPOL Service Providers

PEPPOL GA**

PEPPOL Authorities

Legal Advisors

OpenPEPPOL OO

App. by TICC

Volunteers from Members

In a scenario where the suggested amendments will have a significant economic, legal or statutory impact on OpenPEPPOL Members, the principles behind the amendments will be sent to the OpenPEPPOL General Assembly for approval.

On-going TIA Revision Activities 2016

- ✓ Revision of PEPPOL TIA Agreed in Brussels GA 2014

- ✓ Objective to resolve issues identified such as:
    - ✓ Legal concerns related to liability
    - ✓ Specification of penalties
    - ✓ Revision and operationalization of *"Mandatory BIS Requirement"*
    - ✓ ~~Two-Layer eDelivery (Network) and Payload (Domain) governance~~
    - ✓ Formalization of validation requirement
    - ✓ Improved service level requirements
    - ✓ Update of Annexes
    - ✓ Pre-Award requirements (Extended Participation)
    - ✓ EU eIDAS Regulation impact (to be evaluated)

- ✓ Project established 2014 and progressing work with delays

- ✓ Lack of consensus regarding 'Mandatory BIS'

- ✓ Two-layer approach requires policy and trust services clarification

- ✓ Scope: OpenPEPPOL e-procurement single domain

Support Documents

▶▶ Guideline for TIA signing and issuing of certificates

▶▶ TIA validity and change management overview

▶▶ AP & SMP on-boarding by a PEPPOL Authority

▶▶ Guideline for PEPPOL AP and SMP Accreditation

▶▶ How to set up an Access Point (Handout)

▶▶ Guideline for OpenPEPPOL PKI certificate renewal

▶▶ Enrolment for OpenPEPPOL certificates (Guideline provided by PEPPOL Certification Authority)

▶▶ Test template provided by test facility

OpenPEPPOL Statutes can be downloaded from the OpenPEPPOL Website
TIA package for sample use can be downloaded from Join-up