A-NZ Peppol FRAMEWORK GUIDANCE NOTE

Peppol Participant, Party, Process and Document Identifiers

**Guidance note 08**

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| --- | --- | --- |
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# Introduction

The purpose of this guidance note is to provide clarification on how Service Providers should use identifiers when implementing the specifications. This guidance note must be read in conjunction with other relevant [Peppol documentation](https://docs.peppol.eu/edelivery/) that provides specific requirements and instructions.

This document is intended to draw together concepts that are described and specified in various specifications, and illustrate the practical application thereof; however, it is important to note that this document is not a specification and that the Peppol documentation takes precedence over this guidance. Examples within this document are non-normative.

## Background

Participant and party identifiers serve various functions in the Peppol network and Australian and New Zealand (A-NZ) Peppol implementation. These include, but are not limited to:

* routing a message without opening the document (payload),
* internally routing a document within an entity,
* identifying parties of a transaction, and
* providing identifier data to assist trading partners to ascertain an entity’s legal and/or tax status and meeting any legislative requirements by doing so.

Peppol documentation also specifies the construct of identifiers for defined business processes and exchangeable business documents. This guidance note aims to provide clarification on the use of identifiers within the Peppol network in the A-NZ context and does not replace or supersede the [Peppol documentation](https://docs.peppol.eu/edelivery/).

## Terminology

**Participant and Party**

In accordance with the [Peppol policy for use of identifiers](https://docs.peppol.eu/edelivery/), this guidance note uses the term ‘Participant‘ to refer to an entity that participates in the eDelivery network, and use the term ‘Party‘ to refer to a business entity referred to in business documents.

**Document**

In the context of this guidance note, a ‘Document‘ refers to a business document, for example an invoice, which is specified by a relevant Peppol [Business Interoperability Specification (BIS)](https://peppol.eu/downloads/post-award/) based on UBL and is sometimes referred to as the ‘message payload’. A BIS specifies the value for the document type in *cbc:CustomizationID*.

For example, the [A-NZ invoice specification](https://github.com/A-NZ-PEPPOL/A-NZ-PEPPOL-BIS-3.0) has:

|  |  |
| --- | --- |
| cbc:CustomizationID | urn:cen.eu:en16931:2017#conformant#urn:fdc:peppol.eu:2017:poacc:billing:international:aunz:3.0 |

**Process**

In the context of this guidance note, a ‘Process’ refers to a broader business process context, in which transactions occur (e.g. transmitting of business documents) and indicates how the document is to be processed through the receiving participant’s systems.

Each BIS defines a business process where the business document applies. For example, The *Ordering* business process includes the *Order* and *Order Response* transactions, while the *Order Only* process includes *Order* transaction only.

A BIS specifies the value for the Process type in *cbc:ProfileID*.

For example, the [A-NZ invoice specification](https://github.com/A-NZ-PEPPOL/A-NZ-PEPPOL-BIS-3.0) has:

|  |  |
| --- | --- |
| cbc:ProfileID | urn:fdc:peppol.eu:2017:poacc:billing:01:1.0 |

# Guidance

## eDelivery Identifier Relationships

There are three ‘layers’ of a Peppol message:

* The AS4 messaging protocol described in the [Peppol AS4 Profile](https://docs.peppol.eu/edelivery/)
* The Standard Business Document Header (SBDH) described in the [Peppol EDN Business Message Envelope (SBDH)](https://docs.peppol.eu/edelivery/)
* The enclosed Document (message payload) described in [Business Interoperability Specifications](https://peppol.eu/downloads/post-award/).

Identifiers used in each layer are discussed in the following sections.

Importantly, there is a relationship between AS4, SBDH and UBL (document/payload). These are shown in the two tables below, followed by descriptions of the terms. Note that the SBDH scope is repeated at least twice - once for Document type and once for Process, and these are each described in the tables below.

**Document type**: The AS4 Action, SBDH Scope (document type identifier) and UBL CustomizationID are aligned as follows:

|  |  |  |
| --- | --- | --- |
| Area | Identifier | General form |
| AS4 | Action | {scheme}::{namespace}::{doc-type}##{CustomizationID}::{version} |
| SBDH (Document type scope block) | Type  InstanceIdentifier  Identifier | DOCUMENTID  {namespace}::{doc-type}##{CustomizationID}::{version}  {scheme} |
| Document (UBL) | CustomizationID | {CustomizationID} |

**Process**: The AS4 Service, SBDH Scope (process identifier) and UBL ProfileID are aligned as follows:

|  |  |  |
| --- | --- | --- |
| Area | Identifier | General form |
| AS4 | Service  Service@type | {ProfileID}  {scheme} |
| SBDH (Process scope block) | Type  InstanceIdentifier  Identifier | PROCESSID  {ProfileID}  {scheme} |
| Document (UBL) | ProfileID | {ProfileID} |

Where:

scheme (Document type): document type identifier scheme e.g. busdox-actorid-qns as defined by Policy 16 (more details in the following sections in this document).

namespace: document element namespace URI e.g. for Peppol UBL invoices the value is urn:oasis:names:specification:ubl:schema:xsd:Invoice-2

doc-type: document element local name e.g. Invoice

CustomizationID: identifies the BIS e.g. urn:cen.eu:en16931:2017#conformant#urn:fdc:peppol.eu:2017:poacc:billing:international:aunz:3.0

version: document type version e.g. 2.1

DOCUMENTID: code used to indicate the envelope scope elements that specify the document type identifier, reserved SBDH attribute DOCUMENTID

ProfileID: process identifiers defining the orchestrations in which business documents are exchanged e.g. for Peppol invoicing, the value is urn:fdc:peppol.eu:2017:poacc:billing:01:1.0

scheme (Process): process identifier scheme e.g. cenbii-procid-ubl as defined by Policy 24 (more details in the following sections in this document).

PROCESSID: code used to indicate the envelope scope elements that specify the process identifier, reserved SBDH attribute PROCESSID

Note that the UBL does NOT convey the document/process schemes.

Please refer to the Peppol eDelivery network [guidance and specification documents](https://peppol.eu/downloads/the-peppol-edelivery-network-specifications/), including [code lists](https://docs.peppol.eu/edelivery/codelists/) for further details.

## Identifiers within eDelivery

### Peppol identifier Schemes

The identifier schemes are defined in the [Peppol policy for use of identifiers](https://docs.peppol.eu/edelivery/):

* Policy 5 – Participant identifiers meta scheme is iso6523-actorid-upi
* Policy 16 – Document type identifier scheme is busdox-actorid-qns
* Policy 24 – Process identifier scheme is cenbii-procid-ubl

### AS4 and SBDH

Both the AS4 and the SBDH components need to identify relevant participants/parties and the business process and document type.

|  |  | **AS4** | **SBDH** |
| --- | --- | --- | --- |
| **Participant Access Points** (Corners 2 and 3 in a 4-corner topology) | Field | eb:To and eb:From | NA |
| Identifier | AP certificate |  |
| Party.type | urn:fdc:peppol.eu:2017:identifiers:ap |  |
| Reference | Section 4.5, [Peppol AS4 Profile](https://docs.peppol.eu/edelivery/) |  |
| **Participant**  Business entities accessing (corners 1 and 4 in a 4-corner topology) | Field | *…/eb:Property @name = "originalSender"* and *"finalRecipient"* | Sender/Identifier  Receiver/Identifier |
| Identifier | XXXX:AAAAAAAA  Where ‘XXXX’ is the type of participant identifier (e.g. 0088 for GLN, or 0151 for ABN), and ‘AAAAAAAA’ is the actual identifier. | Same as AS4 (XXXX:AAAAAAAA) |
| Scheme | @type="iso6523-actorid-upis" | @Authority="iso6523-actorid-upis" |
| Reference | [Peppol policy for use of identifiers](https://docs.peppol.eu/edelivery/) Section 4.9, [Peppol AS4 Profile](https://docs.peppol.eu/edelivery/) | [Peppol EDN Business Message Envelope (SBDH)](https://docs.peppol.eu/edelivery/) |
| **Process**  (BIS) | Field | eb:CollaborationInfo/eb:Service | BusinessScope/Scope/InstanceIdentifier |
| Identifier | ProfileID defined in BIS | ProfileID defined in BIS |
| Type | cenbii-procid-ubl | Same as AS4 (cenbii-procid-ubl) |
| Reference | Section 4.6, [Peppol AS4 Profile](https://docs.peppol.eu/edelivery/) | [Peppol EDN Business Message Envelope (SBDH)](https://docs.peppol.eu/edelivery/) |
| **Document** (BIS) | Field | eb:CollaborationInfo/eb:Action | BusinessScope/Scope/InstanceIdentifier |
| Identifier | «scheme»::«document type id value»  i.e. {scheme}::{namespace}::{doc-type}##{CustomizationID}::{version} | document type id value  i.e. {namespace}::{doc-type}##{CustomizationID}::{version} |
| Scheme | busdox-actorid-qns | Same as AS4 |
| Reference | Section 4.6, [Peppol AS4 Profile](https://docs.peppol.eu/edelivery/) Section 5, [Peppol policy for use of identifiers](https://docs.peppol.eu/edelivery/) | [Peppol EDN Business Message Envelope (SBDH)](https://docs.peppol.eu/edelivery/)  Section 5, [Peppol policy for use of identifiers](https://docs.peppol.eu/edelivery/) |

**Refer to Section 3 for non-normative examples.**

## Business identifiers within Peppol documents

Integrity of end-user identity is crucial to maintain confidence and trust in the Peppol network, and there are generally three groups of party identifiers in a Peppol BIS document for an entity: a legal identifier, a tax registration / status identifier, and an end point ID.

EndpointID (cbc:EndpointID) refers to a party’s electronic address for delivering a business document. In the A-NZ context, this may be the Australian Business (ABN) or New Zealand Business Number (NZBN) or another global or commercial identifier, and should only be used for the purpose of transmitting a message/document.

Legal identifiers and tax identifiers can both uniquely identify a business entity, however, may be issued by separate authorities and/or may be required for different legal, regulatory and reporting purposes.

#### Legal identifiers

For Australian and New Zealand entities, ABN and NZBN must be used as the primary identifier for identifying the seller or buyer’s legal presence.

According to the [Peppol policy on use of identifiers](https://docs.peppol.eu/edelivery/), all identifier schemes should use [the ISO 6523 ICD list](https://docs.peppol.eu/poacc/billing/3.0/codelist/ICD/) (Policy 13).

Although the *schemeID* attribute is optional according to the syntax, they are mandated by the A-NZ invoice specification, that being ABN (0151) and NZBN (0088) and must be used in the *cac:PartyLegalEntity group* for both the supplier and the buyer.

#### Tax identifiers

When issuing a tax invoice, Australian entities should use their ABN as their tax identifier unless making a taxable sale from a branch that is separately registered for GST, in which case the tax invoice must show the registration number of the GST branch (which incorporates the ABN of the parent entity followed by the 3 digit branch number).

In New Zealand, when a GST registered organisation makes a taxable sale and issues a Tax Invoice, the New Zealand GST number must be entered as the value.

#### Party and participant identifiers within Peppol documents

The Peppol BIS and A-NZ invoice extension syntax provides multiple elements for party identification purposes. To maximise automation, the following recommendations should be followed:

1. ***cbc:EndPointID***

An EndpointID (cbc:EndpointID)must be provided for certain parties within the Peppol BIS and A-NZ extensions. Where provided, the EndpointID must have a schemeID attribute coded according to the [Electronic Address Scheme (EAS) code list](https://docs.peppol.eu/poacc/billing/3.0/codelist/eas/).

In the A-NZ context, ABN and NZBN are expected to be commonly used however businesses may have different arrangements, and the value should NOT be used for the purpose of legal/tax/sub-entity identification of a business entity.

1. ***cac:PartyIdentification/cbc:ID***

Some Peppol BIS and the A-NZ extensions allow one or more business identifiers to optionally be provided for a ‘party’ in addition to an ABN or NZBN.

Recommendation:

* + Unless otherwise agreed between the supplier and buyer, the schemeID should be populated (using the ISO 6523 code list) to maximise automation. This also aligns with the [Peppol policy for use of identifiers](https://docs.peppol.eu/edelivery/).
  + When using an identifier that is not recognised by the code list 6523, the buyer and seller should reach agreement on the type and format of identifiers that should be used. and the schemeID attribute should not be populated. When there is no such agreement, the receiving participant may choose to effectively ignore the value, however, should not reject the document purely because the value cannot be recognised.

1. ***cbc:BuyerReference and cbc:OrderReference/cbc:ID***

Although both *cbc:BuyerReference* and *cac:OrderReference* are optional in BIS Billing and the A-NZ extensions, the business rule Peppol-EN16931-R003 requires that either a purchase order reference or a buyer reference must be populated.

The two elements are semantically different however both are used to drive automatic matching and straight through processing.

Recommendation:

* *cbc:BuyerReference* is buyer-assigned and advised to the supplier to support automation of internal routing and/or processing by the buyer.
* *cbc:OrderReference/cbc:ID is to reference a corresponding purchase order.* When neither a purchase order nor a buyer reference is available, it is recommended that *cbc:OrderReference/cbc/:ID be populated with ‘NA’.*

1. ***cac:PartyTaxScheme/cbc:CompanyID***

This element group is used in the following parties to provide the entity’s tax (GST) registration identifier.

* supplier (cac:AccountingSupplierParty)
* customer (cac:AccountingCustomerParty)
* tax representative (cac:TaxRepresentativeParty)

This element section is optional. However, both Australia and New Zealand may require the GST identifier in certain circumstances.

For example, in Australia when an entity’s branch that is separately registered for GST makes a taxable sale and issues a tax invoice, the registration number of the GST branch must be displayed, which incorporates the ABN of the parent entity (by attaching the 3 digit branch number at the end of the ABN, e.g. 51824753556001).

In New Zealand, when a GST registered organisation makes a taxable sale and issues a Tax Invoice, the New Zealand GST number must be provided.

The presentation of the NZ GST number may include hyphens and the NZ GST number may have a leading zero to fulfil the 8-digit format as the hyphens and leading zero are optional.

## Open Issues

**Identifying sub-entities or branches within a legal business entity in SMP**

The current Peppol framework allows only one SMP record per business identifier/document relationship (e.g. each unique business identifier can have only one Access Point (AP) address recorded for the A-NZ invoice document).

There may be situations where a business entity needs to record multiple endpoints to receive the same document type (e.g. invoice) such as:

* Decentralised processing where different branches within a business entity use different software service providers
* A business uses a number of software ‘add-ons’ provided by different service providers to process different ‘types’ of invoices and connect to different receiving APs.

The system architecture for businesses in such situations may preclude the option of having a single AP receive all documents for the business entity and route accordingly e.g. using data from within the message payload, or by sending to a centralised system that will then route the information.

Given that the entity’s ABN or NZBN can only be used to record a single end-point, these situations can be accommodated by businesses registering and maintaining multiple identifiers for the same legal entity, e.g. through the use of commercial identifiers such as Global location numbers (GLNs) or Data Universal Numbering System (DUNS).

The Australian Peppol Authority is working with local service providers and OpenPeppol to explore alternative identifier schemes that can be used across jurisdictions and that will allow multiple identifiers for a single legal business entity.

The New Zealand Peppol Authority recognises that there is a need for unique identifiers for different parts of an organisation and are actively working to develop a standardised solution. A-NZ accredited service providers will be kept informed as this work progresses. Service providers are encouraged to share with the NZ Peppol Authority any use cases that illustrate the need for additional NZ identifiers, in order to inform the design of the solution.

## Forthcoming changes

**Dynamic document type schema (DDTS)**

Currently Peppol eDelivery allows for a 1:1 relationship between advertised receiver capabilities and document specifications. The introduction of the Peppol INTernational Invoice (PINT) will require a 1:n relationship between advertised receiver capabilities and supported document specialisations.

The design of the DDTS will allow recipients to use a single receiver capability (e.g. pint\*) to advertise they can receive any specialisations of the PINT (e.g. pint#aunz, pint#sg etc.).

These changes will include the introduction of a new Document Type Identifier Scheme, currently proposed to be ‘peppol-doctype-wildcard’.

The high-level design and migration plan are currently under development through the OpenPeppol DDTS work group, and on conclusion of that work this document will be updated to reflect pertinent changes.

# Examples

The following are non-normative examples illustrating the use of various fields.

## ebMS/AS4 - Participant related fields

|  |
| --- |
| <eb:PartyInfo>    <eb:From>       <eb:PartyId type="urn:fdc:peppol.eu:2017:identifiers:ap">POP000123</eb:PartyId>       <eb:Role>[http://docs.oasis-open.org/ebxml-msg/ebms/v3.0/ns/core/200704/initiator</eb:Role](http://docs.oasis-open.org/ebxml-msg/ebms/v3.0/ns/core/200704/initiator%3c/eb:Role)>    </eb:From>    <eb:To>       <eb:PartyId type="urn:fdc:peppol.eu:2017:identifiers:ap">POP000987</eb:PartyId>       <eb:Role>[http://docs.oasis-open.org/ebxml-msg/ebms/v3.0/ns/core/200704/responder</eb:Role](http://docs.oasis-open.org/ebxml-msg/ebms/v3.0/ns/core/200704/responder%3c/eb:Role)>    </eb:To> </eb:PartyInfo>  <eb:MessageProperties>    <eb:Property name="originalSender" type="iso6523-actorid-upis">0151:36342015855</eb:Property>    <eb:Property name="finalRecipient" type="iso6523-actorid-upis">0151:61970632495</eb:Property> </eb:MessageProperties> <eb:PayloadInfo> |

## ebMS/AS4 – Document related fields

**A-NZ invoice**

|  |
| --- |
| <eb:CollaborationInfo>    <eb:AgreementRef>urn:fdc:peppol.eu:2017:agreements:tia:ap\_provider</eb:AgreementRef>    <eb:Service type="cenbii-procid-ubl">urn:fdc:peppol.eu:2017:poacc:billing:01:1.0</eb:Service>    <eb:Action>busdox-docid-qns::urn:oasis:names:specification:ubl:schema:xsd:Invoice-2::Invoice##urn:cen.eu:en16931:2017#conformant#urn:fdc:peppol.eu:2017:poacc:billing:international:aunz:3.0::2.1    </eb:Action>    <eb:ConversationId>...</eb:ConversationId>  </eb:CollaborationInfo> |

**A-NZ self-billed invoice**

|  |
| --- |
| <eb:CollaborationInfo>    <eb:AgreementRef>urn:fdc:peppol.eu:2017:agreements:tia:ap\_provider</eb:AgreementRef>    <eb:Service type="cenbii-procid-ubl">urn:fdc:peppol.eu:2017:poacc:selfbilling:01:1.0</eb:Service>    <eb:Action>busdox-docid-qns::urn:oasis:names:specification:ubl:schema:xsd:Invoice-2::Invoice##urn:cen.eu:en16931:2017#conformant#urn:fdc:peppol.eu:2017:poacc:selfbilling:international:aunz:3.0::2.1    </eb:Action>    <eb:ConversationId>...</eb:ConversationId>  </eb:CollaborationInfo> |

**ebMS/AS4 message header for MessageLevelResponse**

|  |
| --- |
| <eb:CollaborationInfo>    <eb:AgreementRef>urn:fdc:peppol.eu:2017:agreements:tia:ap\_provider</eb:AgreementRef>    <eb:Service type="cenbii-procid-ubl"> urn:fdc:peppol.eu:poacc:bis:mlr:3</eb:Service>    <eb:Action>busdox-docid-qns::urn:oasis:names:specification:ubl:schema:xsd:ApplicationResponse-2::ApplicationResponse##urn:fdc:peppol.eu:poacc:trns:mlr:3::2.1    </eb:Action>    <eb:ConversationId>...</eb:ConversationId>  </eb:CollaborationInfo> |

## Standard Business Document Header (SBDH)

Note that for consistency with the [Peppol EDN Business Message Envelope (SBDH)](https://docs.peppol.eu/edelivery/), this non-normative example does not explicitly specify the namespace prefix.

|  |
| --- |
| <StandardBusinessDocumentHeader>  <HeaderVersion>1.0</HeaderVersion>  <Sender>  <Identifier Authority="iso6523-actorid-upis">0151:36342015855</Identifier>  </Sender>  <Receiver>  <Identifier Authority="iso6523-actorid-upis">0151:61970632495</Identifier>  </Receiver>  <DocumentIdentification>  <Standard>urn:oasis:names:specification:ubl:schema:xsd:Invoice-2</Standard>  <TypeVersion>2.1</TypeVersion>  <InstanceIdentifier>e5e2ca2a-9331-4189-accc-8c9ebba47180</InstanceIdentifier>  <Type>Invoice</Type>  <CreationDateAndTime>2020-04-20T11:07:33</CreationDateAndTime>  </DocumentIdentification>  <BusinessScope>  <Scope>  <Type>DOCUMENTID</Type>  <InstanceIdentifier>urn:oasis:names:specification:ubl:schema:xsd:Invoice-2::Invoice##urn:cen.eu:en16931:2017#conformant#urn:fdc:peppol.eu:2017:poacc:billing:international:aunz:3.0::2.1</InstanceIdentifier>  <Identifier>busdox-docid-qns</Identifier>  </Scope>  <Scope>  <Type>PROCESSID</Type>  <InstanceIdentifier>urn:fdc:peppol.eu:2017:poacc:billing:01:1.0</InstanceIdentifier>  <Identifier>cenbii-procid-ubl</Identifier>  </Scope>  </BusinessScope>  </StandardBusinessDocumentHeader> |

# Glossary

|  |  |
| --- | --- |
| Term | Definition |
| Access Point (AP) | Service provider within the Peppol eDelivery network that sends and/or receives Peppol BIS documents |
| Business document | Message payload exchanged between Access Points |
| Business interoperability specification (BIS) | Describes the schema, business rules, codes tables etc. of a business document  In the context of this guidance note, BIS refers both to Peppol BIS and to ‘extensions’ of those BIS such as the A-NZ Invoice Specification |
| Document header/envelope | SBDH – Standard Business Document Header |
| Document payload | The part of transmitted data that is the actual intended message. |
| Participant | Entity that participates in the eDelivery network such as a business entity or a branch of a business |
| Participant identifier | Identification of a technical entity in the Peppol eDelivery network which can be used in transport documents and (where needed) in business documents. |
| Party | Business entity referred to in business documents |
| Party identifier | Identification of a business entity which is usually only used in business documents. |
| Service Metadata Locator (SML) | Defines which Service Metadata Publisher (SMP) to use for finding out the capabilities and delivery details of any Peppol participant |
| Service Metadata Publisher (SMP) | Publishes the receiving capabilities (delivery addresses, business processes and document types supported, etc.) for participants |
| Universal Business Language (UBL) | A common XML library of business documents governed by [*OASIS*](https://www.oasis-open.org/committees/tc_home.php?wg_abbrev=ubl) |

# References

|  |  |
| --- | --- |
| Documentation | Link |
| Current published Peppol eDelivery (network) specifications | <https://docs.peppol.eu/edelivery/> |
| Working area for Peppol eDelivery (network) specifications | <https://github.com/OpenPEPPOL/edec-specifications> |
| Peppol eDelivery ‘home page’ | <https://peppol.eu/downloads/the-peppol-edelivery-network-specifications/> |

#### Version history

|  |  |  |
| --- | --- | --- |
| **Version** | **Date** | **Change** |
| 1.0 | 15 May 2020 | Initial published version |
| 1.1 | 9 September 2020 | Correction of AS4 example to reflect Section 4.9, [Peppol AS4 Profile](https://docs.peppol.eu/edelivery/as4/specification/#_service_action_and_role) and Section 4.2.6, [CEF eDelivery AS4 Specification](https://ec.europa.eu/cefdigital/wiki/display/CEFDIGITAL/eDelivery+AS4+-+1.14), supported by the xsd referenced in [Peppol AS4 Profile footnote 1](https://docs.peppol.eu/edelivery/as4/specification/#_footnotedef_1)  Editorial improvements, correction of links |
| 1.1.1 | 10 September 2020 | Corrected case for AS4 element ‘From’ in 2.2.2 |