

# Digital Capability Publisher Service Provider Deed Poll

By

**[Insert full legal name of Digital Capability Publisher Service Provider]**

(Digital Capability Publisher Service Provider)

In favour of

**Accreditation Body**

**AND**

**Digital Business Council**

**AND**

**Commonwealth of Australia** as represented by the **Australian Taxation  
Office's Australian Business Register**

(Individually and jointly the **Accreditation Body**)

~~Version 4.0~~

5

Final

26 May 2017

Formatted: Footer distance from  
edge: 0.12 cm

Formatted: Font: Bold

Formatted: Font: 7 pt

Formatted: Font: 7 pt

## Contents

<b>1</b>	<b>Definitions and Interpretation .....</b>	<b>3</b>
1.1	Definitions.....	3
1.2	Interpretation .....	8
1.3	Relationship with the Framework .....	9
	<a href="http://digitalbusinesscouncil.com.au/interoperability-framework/">http://digitalbusinesscouncil.com.au/interoperability-framework/</a> .....	9
1.4	Precedence of documents .....	9
<b>2</b>	<b>Declarations .....</b>	<b>9</b>
<b>3</b>	<b>Term of this Deed Poll.....</b>	<b>10</b>
3.1	When Deed Poll Commences .....	10
3.2	When Deed Poll Ends.....	10
<b>4</b>	<b>Eligibility .....</b>	<b>10</b>
4.1	Eligibility to be Accredited as a Digital Capability Publisher Service Provider under the Framework.....	10
4.2	Eligibility to Remain Accredited as an Digital Capability Publisher Service Provider under the Framework.....	12
4.3	Accreditation Process .....	12
4.4	Evidence.....	13
<b>5</b>	<b>Assessment and Appeals .....</b>	<b>13</b>
5.1	Accreditation Body Assessment.....	13
5.2	Appeals .....	13
<b>6</b>	<b>Testing .....</b>	<b>13</b>
6.1	Provision of Current Test Results .....	13
6.2	Testing requirements .....	13
6.3	Logical Separation of environments.....	14

Formatted: Font: 7 pt

Formatted: Font: 7 pt

<b>7</b>	<b>Digital Capability Publisher Service Provider's Obligations.....</b>	<b>14</b>
7.1	General Obligations .....	14
7.2	Disputes between Accredited Digital Capability Publisher Service Providers and between Accredited Access Point Service Providers.....	15
<b>8</b>	<b>Digital Capability Publisher Interoperability .....</b>	<b>15</b>
8.1	Digital Capability Publisher Connectivity .....	15
8.2	Digital Capability Publisher Availability.....	16
8.3	Digital Capability Publisher Processing.....	16
8.4	Messaging Service Infrastructure and Security Protocols .....	16
8.5	Problem and Error Management.....	16
8.6	Service Support .....	17
8.7	Contingency and Cooperation.....	17
<b>9</b>	<b>Disconnections and Portability.....</b>	<b>17</b>
9.1	Notice of Disconnection required .....	17
9.2	Revocation of Accreditation if Notice of Disconnection not provided.....	17
9.3	Portability.....	18
<b>10</b>	<b>Costs and Charges.....</b>	<b>18</b>
<b>11</b>	<b>Goods and Services Tax (GST).....</b>	<b>19</b>
11.1	Recovery of GST .....	19
11.2	Time for payment of GST amount.....	19
11.3	Indemnity and reimbursement payments .....	19
11.4	Adjustment events .....	19
11.5	Time limit on payment of the GST amount.....	19
<b>12</b>	<b>Subcontracting .....</b>	<b>20</b>
<b>13</b>	<b>Data Ownership and Management .....</b>	<b>20</b>

Formatted: Font: 7 pt

Formatted: Font: 7 pt

13.1	Data owned by Client.....	20
13.2	Client's permission to publish data for Framework infrastructure operation only .....	20
13.3	Data Retention.....	21
<b>14</b>	<b>Confidentiality and Privacy .....</b>	<b>21</b>
14.1	Confidentiality Obligations .....	21
14.2	Disclosure of Confidential Information.....	21
14.3	A Party may Disclose the existence of service contracts.....	22
14.4	Injunctive relief.....	22
14.5	Privacy.....	22
14.6	Survival.....	22
<b>15</b>	<b>Logging.....</b>	<b>22</b>
15.1	Requirement to keep logs .....	22
15.2	Requirement to give Accreditation Body access to logs .....	22
<b>16</b>	<b>Suspension and Revocation of Services.....</b>	<b>23</b>
16.1	Accreditation Body may issue Warning Note .....	23
16.2	Suspension.....	23
16.3	Revocation.....	23
16.4	Data to be Available for Migration to other Digital Capability Publisher Service Providers .....	23
16.5	Publishing Information about Suspension or Revocation .....	24
<b>17</b>	<b>Liability .....</b>	<b>24</b>
17.1	Indemnities .....	24
17.2	Limitation of Liability .....	24
17.3	Exclusion of Consequential Loss .....	24
17.4	Exceptions .....	25

Formatted: Font: 7 pt

Formatted: Font: 7 pt

17.5	Survival.....	25
<b>18</b>	<b>Insurance.....</b>	<b>25</b>
18.1	Requirement to take out insurance .....	25
18.2	Claims made policy requirements .....	26
18.3	Occurrence policy requirements .....	26
18.4	Provision of copies or certificates of currency .....	26
18.5	Survival.....	26
<b>19</b>	<b>Audit .....</b>	<b>26</b>
<b>20</b>	<b>Force Majeure .....</b>	<b>27</b>
<b>21</b>	<b>Dispute Resolution.....</b>	<b>28</b>
21.1	Dispute Notice required .....	28
21.2	Good Faith First Level Discussions.....	28
21.3	Good Faith Second Level Discussions.....	28
21.4	Mediation .....	29
21.5	Failure to agree Mediator or Mediator's remuneration.....	29
21.6	Costs of Mediation .....	29
21.7	Requirement to continue to fulfil obligations.....	29
21.8	Legal Proceedings not to be commenced .....	29
<b>22</b>	<b>Termination .....</b>	<b>29</b>
22.1	Termination by three month notice.....	29
22.2	Termination for Cause .....	30
22.3	Consequences of Termination .....	30
<b>23</b>	<b>Notices .....</b>	<b>31</b>
23.1	Form of Notice .....	31
23.2	Address for service.....	31
<b>24</b>	<b>Amendment .....</b>	<b>32</b>

Formatted: Font: 7 pt

Formatted: Font: 7 pt

<b>25</b>	<b>Relationship of the Parties .....</b>	<b>32</b>
<b>26</b>	<b>Governing Law and Jurisdiction .....</b>	<b>32</b>
26.1	Governing Law .....	32
26.2	Jurisdiction.....	32
<b>27</b>	<b>When Deed Poll binds.....</b>	<b>32</b>
<b>28</b>	<b>Consideration.....</b>	<b>32</b>
<b>Schedule 2</b>	<b>Service Level Agreements .....</b>	<b>4</b>
<b>Schedule 3</b>	<b>: Digital Capability Publisher Testing Requirements .....</b>	<b>15</b>
<b>Schedule 4</b>	<b>: Logo Use Rules .....</b>	<b>34</b>

**THIS DEED POLL** is made on **[insert date]**

**BY**

**[INSERT FULL LEGAL NAME OF DIGITAL CAPABILITY PUBLISHER SERVICE PROVIDER]**

**ABN [INSERT]**

of **[Address]**

**[email]**

**(‘Digital Capability Publisher Service Provider’)**

**IN FAVOUR OF**

**Accreditation Body**

of **[Address]**

**[email]**

**AND**

**Digital Business Council**

of **[Address]**

**[email]**

**(‘Council’)**

**AND**

**COMMONWEALTH OF AUSTRALIA** represented by the Australian Taxation  
Office’s **Register of Small Business**

**ABN 51 824 753 556**

of **[Address]**

**[email]**

(‘ATO’)

(Individually and together the ‘**Accreditation Body**’)

## Background

- A. The Digital Capability Publisher Service Provider wishes to provide Digital Capability Publisher Service Provider services to Clients under the Accrediting Body’s eInvoicing Interoperability Framework (**Framework**).
- B. The Framework details the procedures, standards and guidelines for the electronic exchange of Business Documents between Participants under the Framework.
- C. The intent of the Framework is to provide a national framework to allow the entire business community to have access to a range of competitive solutions that are able to exchange information digitally. To do this the Digital Capability Publisher Service Provider must conform to the minimum operating and technical standards required by this Deed Poll. While commencing with eInvoicing it is intended that the types of transactions implemented will expand over time to include other aspects of the procurement to pay life cycle.
- D. The Accreditation Body oversees and may audit the services provided by the Digital Capability Publisher Service Provider, to ensure that they are provided and maintained in accordance with the Framework.
- E. The Digital Capability Publisher Service Provider is Accredited to access and adopt the Framework on the terms and conditions set out in this Deed Poll.
- F. The Digital Capability Publisher Service Provider declares that this Deed Poll is entered into for the purposes of protecting the integrity of the Digital Capability Locator and the Framework. Once Accredited, the Digital Capability Publisher Service Provider may access the Accreditation Body’s Digital Capability Locator and use the Accreditation Body’s logo in accordance with the Rules set out in Schedule 4 to this Deed Poll.



## This Deed Poll witnesses as follows

### 1 Definitions and Interpretation

#### 1.1 Definitions

For the purposes of this Deed Poll unless otherwise specified:

**Access Point or AP** means a software messaging service which sends and receives electronic Messages and which can be implemented internally by an organisation or business or provided by an external provider to a Client.

**Accreditation** or **Accredited** means the approval to operate a Digital Capability Publisher Service Provider service, granted by the Accreditation Body to a Digital Capability Publisher Service Provider, upon committing to adhere to the standards specified under the Framework and to the requirements in this Deed Poll.

**Accreditation Body** means the Council, the ATO, or both and includes their successors.

**Accreditation Body's Website** means the Accreditation Body's Website accessible at: <http://digitalbusinesscouncil.com.au>

**Accreditation Fee** means the fee payable by the Digital Capability Publisher Service Provider to the Accreditation Body as set by the Accreditation Body and notified on the Accreditation Body's Website to be considered for Accreditation under the Framework by the Accreditation Body.

**Available** means with respect to a Digital Capability Publisher, being capable of receiving and sending electronic Messages in accordance with the Framework.

**Binding Implementation Practice Note** means a notification issued by the Accreditation Body that outlines operational guidance on methods or practices for implementing the Framework.

**Business Day** means any day other than a Saturday, Sunday or public holiday in Canberra, Australian Capital Territory.

**Business Hours** means anytime between 9am and 5pm (local time) on a Business Day.

**Business Documents** means Accreditation Body endorsed documents used by the business in its day-to-day activities such as invoicing.

**Client** means a business, organisation or any other entity, for which the Digital Capability Publisher Service Provider provides its Digital Capability Publisher Service Provider services.

**Confidential Information** of a Party means:

- (a) information, know-how, ideas, concepts and technology of a confidential nature relating to or developed in connection with the business or affairs of the Party which is disclosed to, learnt by, or which otherwise comes to the knowledge of or into the possession of the other Party;
- (b) information designated by that Party as confidential; or
- (c) information regarding clients, customers, employees, contractors of or other persons doing business with that Party,

but it does not include information:

- (d) which is or becomes generally available in the public domain, other than through any breach of confidence;
- (e) rightfully received by the other Party from a third person who is under no obligation of confidentiality in relation to the information and who has not obtained that information either directly or indirectly as a result of a breach of any duty of confidence owed to the first Party; or
- (f) that has been independently developed by the other Party.

**Contingency** means any Disabling Event.

**Corporations Act** means the *Corporations Act 2001* (Cth).

**Council** means the Digital Business Council in ~~what ever~~whatever legal form it may be in and- which constitutes the industry representatives, representing business interests.

**Deed Poll** means this Deed Poll between the Digital Capability Publisher Service Provider and the Council comprising the following:

- (a) any Binding Implementation Practice Note issued by the Accreditation Body;
- (b) the clauses in the body of this Deed Poll;
- (c) the paragraphs in the body of the Schedules;
- ~~(d)~~ the Rules;
- ~~(e)~~~~(d)~~ (the Implementation Guide; and
- ~~(f)~~~~(e)~~ the Framework.

**Defect** means any characteristic that makes the whole or any part of Digital Capability Publisher Service Provider service inoperable or inconsistent with the requirements of this Deed Poll including any Binding Implementation Practice Note issued by the Accreditation Body, the clauses in the body of this Deed Poll, the Implementation Guide, the paragraphs in the body of the Schedules or the Framework.

**Digital Capability Locator** is a service for looking up the location of the Digital Capability Publisher for a Participant.

**Digital Capability Publisher Contact** means the person appointed by the Digital Capability Publisher Service Provider and notified in writing to the Accreditation Body to be the Digital Capability Publisher Service Provider's contact for the purposes of this Deed Poll and with responsibility to fulfil the Digital Capability Publisher Service Provider's obligations under clauses 8.5(b) and 8.6.

**Digital Capability Publisher or DCP** means a store of the details of the capabilities of Participants and includes the scenarios they can process, the data formats they support and the delivery address for their Business Documents..

**Digital Capability Publisher Service Provider** is a provider of a service for Participants to store their details of their capabilities, and includes what scenarios they can process, the data formats they support and the delivery address for their Business Documents.

**Disabling Event** means any:

- (a) processing, communications or other failure of a technical nature;
- (b) inaccessibility (total or partial) of facilities by means of which exchanges are conducted; or
- (c) manifestation of industrial action, which affects, or may affect, the ability of an Digital Capability Publisher Service Provider to participate to the normal and usual extent in the electronic exchange of Business Documents.

**Domain of Responsibility** means a Digital Capability Publisher Service Provider's function and maintenance of its services, required for interacting within the scope of the Framework.

**Effective Date** means the date from which this Deed Poll takes effect, which is the day on which the Digital Capability Publisher Service Provider signs it.

**Force Majeure Event** means any circumstance not within the reasonable control of the affected Party, to the extent that:

- (a) the circumstance cannot be avoided, prevented or remedied ~~despite the~~ exercise of reasonable diligence by the Party;
- (b) the circumstance materially affects the ability of the Party to perform its obligations under this Deed Poll; and
- (c) the Party has taken all reasonable precautions to avoid the effect of the circumstance on the Party's ability to perform its obligations under this Deed Poll and to mitigate the consequences thereof.

**Framework** means the Accreditation Body's eInvoicing Interoperability Framework which details the procedures and guidelines for the electronic exchange of Business Documents between its Participants as modified from time to time and which is accessible at: <http://digitalbusinesscouncil.com.au>

**GST** has the meaning given to that term in the GST law.

**GST Law** has the meaning given to that term in the *A New Tax System (Goods and Services Tax) Act 1999* (Cth).

**Harmful Code** means any computer program, trojan, virus or other code which is not intended to serve a legitimate purpose and which is harmful, destructive or disabling or which assists in or enables theft, alteration, denial of service, unauthorised access to or disclosure, destruction or corruption of information, data or software.

**Implementation Guide** means documents published by the Accreditation Body that outline and describe a set of rules and guidelines on the use of the in relation to the implementation of connectivity and interoperability standards.

**Insolvency Event** in relation to the Digital Capability Publisher Service Provider (**Insolvent Party**) means the happening of any one or more of the following events:

- (a) the Insolvent Party ceases or takes steps to cease to conduct its business in the normal manner;
- (b) the Insolvent Party enters into or resolves to enter into any arrangement, composition or compromise with or assignment for the benefit of its creditors or any class of them;
- (c) the Insolvent Party is unable to pay its debts when they are due or is deemed under the *Corporations Act 2001* (Cth) to be insolvent;
- (d) a liquidator or provisional liquidator is appointed to the Insolvent Party or a receiver, receiver and manager, official manager, trustee or similar official is appointed over any of the assets or undertakings of the Insolvent Party;
- (e) an application or order is made or a resolution is passed for the winding up of the Insolvent Party;
- (f) being an individual is declared bankrupt, seeks a composition of creditors, suspends payments or in any other way is deemed to be insolvent; or
- (g) any act or event analogous or having a substantially similar effect to any of the events specified in paragraphs (a) to (f) -of this definition.

**Key Operating Staff** means Personnel directly responsible for overseeing and maintaining the services provided by a Digital Capability Publisher under the Framework and includes all directors, the company secretary, the chief executive

officer, the chief operating officer, the chief financial officer, chief information officer, chief technology officer, and all equivalents in an organisation, partnership, trust or company.

**Law** means any applicable law, ~~including any common law~~, equity statute, legislation, regulation, proclamation, ordinance, by-law, mandatory code of conduct, writ, judgment and any binding award or other industrial instrument.

**Loss** means loss, damage, liability, charge, expense, outgoing, payment or cost of any nature or kind, including all legal and other professional costs on a full indemnity basis.

**Message** means an electronic message or signal sent or received by the Participants under the Framework.

**Participant** means Accredited Digital Capability Publisher Service Providers, Digital Capability Publisher and Digital Capability Locator services and the service businesses, organisations and other entities who have adopted the Framework.

**Party** means:

- (a) the Digital Capability Publisher Service Provider;
- (b) the Accreditation Body;
- (c) the Council;
- ~~(d) the Rules;~~
- ~~(e)~~(d) the ATO; or
- ~~(f)~~(e) any combination of them as may be relevant in the circumstances.

**Personal Information** means:

- (a) information or an opinion about an identified individual, or an individual who is reasonably identifiable, whether the information or opinion is true or not and whether the information or opinion is recorded in a material form or not; or
- (b) information or a document that relates to the affairs or personal particulars of another person (such as a company or a business),

which is received or learnt by the Digital Capability Publisher Service Provider from any source as a consequence of or in the performance of its rights and obligations under this Deed Poll.

**Personnel** means in respect of a Party, employees, secondees, directors, officers, contractors, professional advisers and agents of that Party, and in relation to the Digital Capability Publisher Service Provider includes such individuals of its subcontractors.

**Privacy Laws** means the *Privacy Act 1988* (Cth), the *Spam Act 2003* (Cth), the *Telecommunications Act 1997* (Cth), any registered Australian Privacy Principles Code that binds the Digital Capability Publisher Service Provider, the Privacy Policy issued by the Accreditation Body (available at:

[www.insert/privacy](http://www.insert/privacy)), <http://digitalbusinesscouncil.com.au/privacy/>), and any other Laws, industry codes and policies relating to the handling of Personal Information.

Comment [ML1]: Needs link here

**Related Body Corporate** has the meaning given to that term in section 9 of the *Corporations Act 2001* (Cth).

**Rules** means the logo use rules which form Schedule 4 of this Deed Poll.

**Service Provider** means an Access Point Service Provider, a Digital Capability Publisher Service Provider or Digital Capability Locator or any combination of them as appropriate to the circumstances.

**Term** means the period described in clause 3.

**Testing Requirement** means the requirements under clause 4.1 and 6.2 as set out in more detail in Schedule 1.

**Warning Note** means a written notice directed to the Digital Capability Publisher Service Provider describing an issue of concern or complaint and a timeframe to rectify the issue of concern or complaint.

## 1.2 Interpretation

In this document:

- (a) headings are for convenience only and do not affect interpretation;
- (b) the singular includes the plural and vice versa;
- (c) a gender includes every other gender;
- (d) where a word or phrase is defined, its other grammatical forms have a corresponding meaning;
- (e) a reference to a Party to this Deed Poll includes the Party's successors and permitted assignees;
- (f) a reference to a person includes a firm, a body corporate, an unincorporated association or an authority and vice versa;
- (g) a reference to this Deed Poll or another document includes any variation, novation, replacement or supplement to any of them from time to time;
- (h) a reference to a part, clause, annexure, exhibit, appendix or schedule is a reference to a part of, clause of, an annexure, exhibit, appendix or schedule to this Deed Poll and a reference to this Deed Poll includes any annexure, exhibit, appendix and schedule;

- (i) a reference to a right or obligation of two or more persons confers that right, or imposes that obligation, as the case may be, jointly and severally;
- (j) a reference to any legislation or to any provision of any legislation includes any modification or re-enactment of it, any legislative provision substituted for it and any regulations and statutory instruments issued under it;
- (k) a reference to conduct includes any omission, representation, statement or undertaking, whether or not in writing;
- (l) mentioning anything after 'includes' or 'including' does not limit what else might be included;
- (m) no rule of construction applies to the disadvantage of a Party because that Party was responsible for the preparation of this document;
- (n) a reference to dollars or \$ is to Australian currency;
- (o) all references to time are to Canberra time; and
- (p) all references to accounting and financial terms have the meaning commonly given to them in accordance with the accounting principles generally accepted in Australia.

### **1.3 Relationship with the Framework**

This Deed Poll refers to, and is to be read in conjunction with the Framework, published by the Accreditation Body on its website at:

<http://digitalbusinesscouncil.com.au>

<http://digitalbusinesscouncil.com.au/interoperability-framework/>

### **1.4 Precedence of documents**

The following documents comprising this Deed Poll must be read in the following order of precedence:

- (a) Binding Implementation Practice Note;
- (b) the paragraphs in the body of the Schedules;
- (c) the clauses in the body of this Deed Poll;
- (d) the Implementation Guide; and then
- (e) the Framework.

## **2 Declarations**

- (a) The Digital Capability Publisher Service Provider declares that this Deed Poll is for the benefit of:

- (i) the Commonwealth of Australia as represented by the Australian Taxation Office's ~~Australian Business Register~~ and any successors in title;
  - (ii) the Digital Business Council whether as an unincorporated body or as an incorporated body, whether called the Digital Business Council Limited or similar and any successors in title;
  - (iii) the Accreditation Body in whatever form it may be including as operated or directed or controlled by the Commonwealth of Australia or the Digital Business Council, or both.
- (b) To the extent applicable, each declaration, undertaking, acknowledgement, promise and agreement of the Digital Capability Publisher Service Provider described in this Deed Poll is restated by the Digital Capability Publisher Service Provider at the time of any further submission of material or any other thing to the Accreditation Body or to the Council or to the Commonwealth or to any of them by the Digital Capability Publisher Service Provider.

### **3 Term of this Deed Poll**

---

#### **3.1 When Deed Poll Commences**

This Deed Poll commences on the date it is executed by the Digital Capability Publisher Service Provider which is set out in the execution page.

#### **3.2 When Deed Poll Ends**

This Deed Poll will end according to clause 22.

### **4 Eligibility**

---

#### **4.1 Eligibility to be Accredited as a Digital Capability Publisher Service Provider under the Framework**

The Digital Capability Publisher Service Provider will be eligible to obtain the Accreditation Body's Accreditation to provide Digital Capability Publisher Service Provider services and participate under the Framework as an Accredited Digital Capability Publisher Service Provider when it completes all of the following:

- (a) it successfully satisfies the Testing Requirements set out in Schedule 3 and in accordance with the processes and requirements of this Deed Poll and the Framework and, submits to the Accreditation Body the signed declaration as required by clause 4.3(a);



- (b) it completes a Service Provider [Security Self-Assessment Template and Questionnaire](#) as contained in the Accreditation Body's Website and completes an annual review of this assessment;
- (c) it commits to cooperating as a Participant under the Framework by signing this Deed Poll [and at all times complying with all requirements of the Accreditation Body's Website](#);
- (d) its Key Operating Staff are all fit and proper persons as demonstrated by those persons:
  - (i) being competent to operate a Digital Capability Publisher business (as demonstrated by the person's knowledge, skills and experience);
  - (ii) having the attributes of good character;
  - (iii) not being disqualified by law from performing their role for the Digital Capability Publisher Service Provider or by way of:
    - (A) becoming convicted of the equivalent of a Serious Commonwealth Offence -as defined in section 15 GE of the *Crimes Act 1914* (Cth) against:
      - (1) a law of the Commonwealth of Australia or of a state or territory of Australia; or
      - (2) a law of a parliament of another country;
    - (B) determined not to be a fit and proper person as prescribed by any law of the Commonwealth of Australia or of a state or territory of Australia or another country;
    - (C) ever becoming bankrupt, applying to take the benefit of a law for the benefit of bankrupt or insolvent debtors, having compounded with creditors or assigned remuneration for the benefit of creditors; and
  - (iv) either having no conflict of interest in performing their role for the Digital Capability Publisher Service Provider, or if any conflict exists it will not create a material risk that the person will fail to properly perform their role for the Digital Capability Publisher Service Provider under the Framework;
- (e) it makes a declaration in accordance with clauses 4.3 and 4.3(a);
- (f) it provides the Digital Capability Publisher Service Provider services within eighteen (18) months of -signing of this Deed Poll; and

- (g) it pays the Accreditation Fee as set out by the Accreditation Body from time to time.

#### 4.2 Eligibility to Remain Accredited as an Digital Capability Publisher Service Provider under the Framework

- (a) The Digital Capability Publisher Service Provider will continue to remain Accredited to provide Digital Capability Publisher Service Provider services under the Framework and to participate under the Framework as a Participant provided it continues to satisfy the requirements of clause 4.1.
- (b) The Digital Capability Publisher Service Provider must immediately notify the Accreditation Body of any material change or expected material change to the matters contained in clause 4.1.

#### 4.3 Accreditation Process

Digital Capability Publisher Service Provider acknowledges that the process a Digital Capability Publisher Service Provider must follow to obtain accreditation and become a Participant under the Framework is as follows:

- (a) Step 1 Downloading the ~~Testing Requirements~~Accreditation Starter Kit from the Accreditation Body's Website ~~and submitting a request via the Accreditation Body's website to be allocated testing partners;~~
- (b) Step 2 Testing its software against the Testing Requirements described in clause 4.1 and recording the results;
- (c) Step 3 Uploading the ~~test results into~~testing declarations signed by each testing partner to the Accreditation Body's Website and ensure that the test results are stored in a form that can be audited by the Accreditation Body in accordance with clause ~~4.8~~19 for a period of not less than two (2) years;
- (d) Step 4 Uploading the declaration providing the information required by ~~clause~~clauses 4.1(a), 4.1(b) and 4.1(d) in the form required by clause ~~4.4~~4.1(a) and stating which, if any, of the ~~Digital Capability Publisher~~Access Point service levels (bronze, silver or gold) specified in Schedule 2 it will provide to its Clients;
- (e) Step 5 Signing this Deed Poll and ~~by doing so~~ undertaking to comply with the Rules and uploading the signed copy of this Deed Poll to the Accreditation Body's website;
- (f) Step 6 The Accreditation Body will notify the Digital Capability Publisher Service Provider with ~~confirmation~~the outcome of ~~the~~ Accreditation ~~Process~~ or ~~will~~ request more information; and
- (g) Step 7 The Digital Capability Publisher Service Provider is Accredited once it has received a written ~~notices~~notice of confirmation from the Accreditation Body in accordance with clause ~~5.4.5.1.~~

Formatted: Space After: 0 pt, Line spacing: single

Field Code Changed

#### **4.4 Evidence**

The Digital Capability Publisher Service Provider must, when applying to the Accreditation Body for Accreditation, provide the Accreditation Body with a declaration of self-assessment in the form required by the Accreditation Body's Website.

### **5 Assessment and Appeals**

---

#### **5.1 Accreditation Body Assessment**

The Accreditation Body will assess the Digital Capability Publisher Service Provider's information provided under clause 4 against the eligibility and testing requirements in clause 4 and Schedule 3 and determine in its sole discretion whether the Digital Capability Publisher Service Provider will be admitted as an Accredited Digital Capability Publisher Service Provider under the Framework.

#### **5.2 Appeals**

If the Digital Capability Publisher Service Provider is not satisfied with the outcome of its application to obtain Accreditation, it may appeal the Accreditation Body's decision in accordance with the appeal procedures issued by the Accreditation Body from time to time.

### **6 Testing**

---

#### **6.1 Provision of Current Test Results**

- (a) The Digital Capability Publisher Service Provider must, when requested by the Accreditation Body, submit the current test results for its Digital Capability Publisher Service to the Accreditation Body for review covering the most recent build or configuration of the Digital Capability Publisher Service Provider's system within five (5) Business Days of the request.
- (b) If unable to produce the required test results within the timeframe specified in (a) the Accreditation Body may request the Digital Capability Publisher Service Provider to retest its Digital Capability Publisher Services in accordance with the Testing Requirements and provide those results with a further five (5) Business Days to remain eligible as an Accredited Digital Capability Publisher Service Provider.

#### **6.2 Testing requirements**

The Testing Requirements with which the Digital Capability Publisher Service Provider must comply are contained in Schedule 3. These testing requirements may be updated at any time by the Accreditation Body. Following an update, the Accreditation Body will notify the Digital Capability Publisher Service Provider, if it

determines that the changes to the testing requirements are significant enough to undertake reassessment and retesting pursuant to clauses 5 and 6 respectively.

### 6.3 Logical Separation of environments

The Digital Capability Publisher Service Provider must ensure that an appropriate level of logical separation is enforced between its internal applications, particularly between its testing environment and its production environment. As a minimum, the Digital Capability Publisher Service Provider must ensure that an unauthorised business document (i.e. a test version) is not accidentally or otherwise accepted into the Digital Capability Publisher Service Provider's production system.

## 7 Digital Capability Publisher Service Provider's Obligations

### 7.1 General Obligations

The Digital Capability Publisher Service Provider must:

- (a) provide the Digital Capability Publisher services relevant to its role as an Digital Capability Publisher Service Provider as set out in this Deed Poll including, -in particular, the requirements of Schedule 2 and the Framework;
- (b) Commence the provisions of the services described in clause 6.1(a) within eighteen (18) months of the Effective Date.
- (c) ensure that its Digital Capability Publisher services are provided and maintained in a reliable manner including as set out in Schedule 2;
- (d) comply with the Rules;
- (e) as far as it is possible, without violating confidentiality commitments to third parties or Privacy Laws, the Digital Capability Publisher Service Provider must make available to other Participants relevant information held by it which is needed by those Participants for providing and maintaining their services;
- (f) protect its own data systems against illicit use, Harmful Code, malicious code, viruses, computer intrusions, infringements and illegal tampering of data and other comparable actions by third parties;
- (g) use reasonable endeavours to avoid the transmission of any Harmful Code, -viruses, time bombs, worms or similar items or any computer programming routines that may adversely affect any other Participant's computer systems;
- (h) notify all relevant Participants- within sixty (60) minutes if they observe disruption of service or an infrastructure failure as specified in Schedule 2

within its Domain of Responsibility which may endanger the fulfilling of agreed tasks under the Framework;

- (i) promptly inform the Accreditation Body in writing if there is any material change in the circumstances or requirements referred to in clause 4.1;
- (j) if unable to fulfil its obligations under this Deed Poll, promptly inform the Accreditation Body in writing; and
- (k) ensure that it has sufficient resources for the delivery of the Digital Capability Publisher services and for the maintenance of its own software systems.

## **7.2 Disputes between Accredited Digital Capability Publisher Service Providers and between Accredited Access Point Service Providers**

Any disputes between Digital Capability Publisher Service Providers or between an Accredited Digital Capability Publisher Service Provider and Accredited Access Point Service Providers must be:

- (a) resolved amicably by negotiations between the Digital Capability Publisher Service Providers or between the Digital Capability Publisher Service Provider and the Accredited Access Point Service Provider within fifteen (15) days following notice from one provider to the other regarding the dispute;
- (b) escalated to the Accreditation Body if not resolved within fifteen (15) days, in which case the providers must agree on whether the decision from the Accreditation Body, or from one or more technical experts appointed by the Accreditation Body, will be considered binding or only advisory (as a basis for further negotiations); or
- (c) when none of the other options provides a satisfactory solution within thirty (30) days following notice from one provider to the other the providers may pursue other alternatives for, including but not limited to mediation or court proceedings.

## **8 Digital Capability Publisher Interoperability**

### **8.1 Digital Capability Publisher Connectivity**

The Digital Capability Publisher Service Provider must ensure that:

- (a) its Digital Capability Publisher service is able to connect and respond to Participants in the Framework as required under this Deed Poll; and

- (b) that it notifies all its Clients and the Accreditation Body of any non-availability due to any issues for a planned period of time prior to the non-availability; and
- (c) its Digital Capability Publisher service supports and conforms to any connectivity standards set out in the Implementation Guide published and reviewed by the Accreditation Body.

## **8.2 Digital Capability Publisher Availability**

The Digital Capability Publisher Service Provider must ensure that in relation to its Digital Capability Publisher Service Provider service:

- (a) the Digital Capability Publisher Service Provider availability requirements set out in clause 7.1(a) and, if applicable, Schedule 2 are met;
- (b) that it notifies all accredited Service Providers and the Accreditation Body of any non-availability due to any issues for a planned period of time prior to the non-availability; and
- (c) if its Digital Capability Publisher Service Provider service does not receive an acknowledgment of receipt from any other Accredited Digital Capability Publisher Service Provider it must follow the retry protocol outlined in the Implementation Guide published by the Accreditation Body.

## **8.3 Digital Capability Publisher Processing**

The Digital Capability Publisher Service Provider must ensure that its Digital Capability Publisher service:

- (a) publishes Client registrations within two (2) Business Days of receipt of a request to register;
- (b) does not preclude an Accredited Access Point Provider acting on behalf of its Clients to create, delete or update the Client's record; and
- (c) adheres to the interoperability standards detailed in the Implementation Guide published by the Accreditation Body.

## **8.4 Messaging Service Infrastructure and Security Protocols**

The Digital Capability Publisher Service Provider must comply with the most recent Messaging services infrastructure and security protocols as set out in the Implementation Guide published by the Accreditation Body.

## **8.5 Problem and Error Management**

- (a) The Digital Capability Publisher Service Provider must comply with all applicable error management protocols and procedures set out in the Implementation Guide, including technical retry processes and procedures.

- (b) If, when the Digital Capability Publisher Service Provider has sent another Accredited Participant a Message and a success notification is not achieved within the timeframe set out in Schedule 2 after sending the original Message and all retry protocols have been exhausted, as set out in the Implementation Guide the Digital Capability Publisher Service Provider must notify this issue to the Client on whose behalf the original Message was sent.

## **8.6 Service Support**

- (a) The Digital Capability Publisher Service Provider's infrastructure and support arrangements for their Access Point must meet the availability requirements set out in clause 8.2 of this Deed Poll.
- (b) The Digital Capability Publisher Service Provider must ensure that it has a nominated Service Point Contact to maintain its Digital Capability Publisher Service Provider Contact with the Accreditation Body.

## **8.7 Contingency and Cooperation**

- (a) The Digital Capability Publisher Service Provider must cooperate with other Participants in resolving any processing difficulty including due to or during a Contingency.
- (b) To the extent that this cooperation does not adversely affect its own processing environment, a Digital Capability Publisher Service Provider receiving a request for assistance from another Participant may not unreasonably withhold that assistance.

# **9 Disconnections and Portability**

---

## **9.1 Notice of Disconnection required**

Before the Digital Capability Publisher Service Provider may be permitted to, or may implement, any disconnection of its connectivity or systems to its Access Point and maintain its Accreditation under the Framework, it must provide no less than fifteen (15) Business Days prior written notice to the Client of the disconnection.

## **9.2 Revocation of Accreditation if Notice of Disconnection not provided**

Where the Digital Capability Publisher Service Provider does not provide the relevant accredited Service Providers and the Accreditation Body with a notice of disconnection as required by clause 9.1, the Accreditation Body may revoke the Digital Capability Publisher Service Provider's Accreditation to participate under the Framework.

### 9.3 Portability

Where a Client of the Digital Capability Publisher Service Provider (**Exiting Digital Capability Publisher Service Provider**) has notified in writing another Accredited Digital Capability Publisher Service Provider (**New Digital Capability Publisher Service Provider**) that it wishes to migrate to the New Digital Capability Publisher Service Provider:

- (a) the responsibility to ensure that the migration of the Digital Capability Publisher Service Provider services is attained successfully, rests with the New Digital Capability Publisher Service Provider;
- (b) the New Digital Capability Publisher Service Provider- should facilitate and coordinate all activities relating to the migration of the Digital Capability Publisher Service Provider services with the Exiting Digital Capability Publisher Service Provider and other relevant Participants;
- (c) the Exiting Digital Capability Publisher Service Provider must cooperate in achieving the transfer of the Digital Capability Publisher Service Provider Services, unless the Exiting Digital Capability Publisher Service Provider is bound by pre-existing contractual arrangements with the Client that prevent it from doing so;
- (d) where clause 9.3(c) applies the Exiting Digital Capability Publisher Service Provider must notify the Accreditation Body in writing of this issue; and
- (e) the New Digital Capability Publisher Service Provider must follow the technical requirements in the Implementation Guide in relation to the migration.

## 10 Costs and Charges

- (a) The Digital Capability Publisher Service Provider must:
  - (i) pay the Accreditation Fee specified in clause 4.1(g);
  - (ii) bear its own development and operation costs relating to its own data systems and procedures as required to fulfil its obligations under this Deed Poll and under the Framework;
  - (iii) not charge the Accreditation Body for any service whatsoever, unless specifically agreed in a separate agreement;
  - (iv) not charge an Access Point Service Provider for accessing or updating data from the Digital Capability Publisher;
  - (v) not charge an Access Point Service Provider or the Accreditation Body for services related to connection, setup, testing,



conversions, development or implementation of the Digital Capability Publisher Service Provider services; and

- (vi) not charge for registration, editing or deleting information in the Digital Capability Locator.
- (b) The Digital Capability Publisher Service Provider may freely and independently determine the pricing it charges to its Clients for the services it provides to a Client.

## 11 Goods and Services Tax (GST)

### 11.1 Recovery of GST

If one Party (**Supplying Party**) makes a taxable supply and the consideration for that supply does not expressly include GST, the Party that is liable to provide the GST-exclusive consideration (**Receiving Party**) must also pay an amount (**GST amount**) equal to the GST payable in respect of that supply.

### 11.2 Time for payment of GST amount

Subject to first receiving a tax invoice or adjustment note as appropriate, the Receiving Party must pay the GST amount when it is liable to provide the GST-exclusive consideration.

### 11.3 Indemnity and reimbursement payments

If one Party must indemnify or reimburse another Party (**Payee**) for any loss or expense incurred by the Payee, the required payment does not include any amount which the Payee (or an entity that is in the same GST group as the Payee) is entitled to claim as an input tax credit or would have been entitled to claim as an input tax credit had the other Party registered for GST if it was required or entitled to do so, but will be increased under clause 11.1 if the payment is consideration for a taxable supply.

### 11.4 Adjustment events

If an adjustment event arises in respect of a taxable supply made by a Supplying Party, the GST amount payable by the Receiving Party under 11.1 will be recalculated to reflect the adjustment event and a payment will be made by the Receiving Party to the Supplying Party, or by the Supplying Party to the Receiving Party, as the case requires.

### 11.5 Time limit on payment of the GST amount

A Receiving Party is not required to pay the GST amount referred to in 11.1 unless it has received a tax invoice in respect of the supply (or, if section 156-5(1) of the

GST Act applies to the supply, the periodic or progressive component of the supply) from the Supplying Party within three years and 11 months after the end of:

- (a) the first calendar month in which any of the GST-exclusive consideration for the supply (or the periodic or progressive component of the supply) is provided; or
- (b) if an invoice is issued prior to the provision of any of the GST-exclusive consideration for the supply (or the periodic or progressive component of the supply), the calendar month in which the invoice is issued.

## 12 Subcontracting

The Digital Capability Publisher Service Provider remains responsible for any Digital Capability Publisher Service Provider Services subcontracted by it.

## 13 Data Ownership and Management

### 13.1 Data owned by Client

- (a) The Digital Capability Publisher Service Provider acknowledges that all data including the registration and capability data in the Digital Capability Publisher Service Provider Service is owned by the Client who originated the data. In particular and without limiting the preceding sentence, the Digital Capability Publisher Service Provider must ensure that the Client has given its acceptance to publish the Client's metadata to both the Digital Capability Publisher Service Provider and the Digital Capability ~~Locator~~Locator.
- (b) If the registration is done by a third party and not the Digital Capability Publisher Service Provider who has the commercial arrangement with the Client, the Digital Capability Publisher Service Provider must ensure it is able to provide evidence of any transfer of responsibility.

### 13.2 Client's permission to publish data for Framework infrastructure operation only

- (a) The Digital Capability Publisher Service Provider must ensure that it has its Client's written approval prior to disclosing or publishing the Client's data or information.
- (b) The Digital Capability Publisher Service Provider may distribute information about a Client or Participant only to the extent required for operation of the Framework infrastructure.

### 13.3 Data Retention

Client data held by the Digital Capability Publisher Service Provider or anyone acting on its behalf must be kept for:

- (a) at least (2) years; or
- (b) for the period of time prescribed by any applicable Law<sup>1</sup>
- ~~(b)~~ whichever is longer.

### 13.4 Updates of metadata

If a Client's or a Participant's metadata is updated, the third party requesting the update must maintain an audit trail of ~~the~~ authorisation by the Client or Participant to carry out the update. The authorisation may be obtained by email.

## 14 Confidentiality and Privacy

### 14.1 Confidentiality Obligations

The Parties:

- (a) must keep confidential any data, documents or other material that they have received from the other Party or otherwise in relation to the execution of their responsibilities and services under this Deed Poll which are Confidential Information;
- (b) must only use or reproduce the other Party's Confidential Information for the purposes of this Deed Poll; and
- (c) must take all steps reasonably necessary to:
  - (i) maintain the confidentiality of the other Party's Confidential Information;
  - (ii) ensure that any person who has access to Confidential Information of the other Party through it or on its behalf does not use, reproduce or disclose that Confidential Information other than in accordance with this Deed Poll; and
  - (iii) enforce the confidentiality obligations imposed or required to be imposed by this Deed Poll, including diligently prosecuting at its cost any breach or threatened breach of such confidentiality obligations by a person to whom it has disclosed Confidential Information of another Party.

### 14.2 Disclosure of Confidential Information

Each Party who receives Confidential Information of the other Party may not disclose that Confidential Information to any person except:

Formatted: MO Terms (L4), Indent: Left: 1.5 cm, Hanging: 0 cm, Space After: 0 pt, Line spacing: single

- (a) to its Personnel who need to know the Confidential Information for the purposes of this Deed Poll and subject to the receiving Party taking reasonable steps to ensure that any such Personnel are fully aware of the confidential nature of the Confidential Information of the disclosing Party before the disclosure is made;
- (b) as required to be disclosed by Law or the listing rules of any stock exchange where the receiving Party's securities are listed or quoted;
- (c) if the disclosing Party has given its consent to the disclosure or use; or
- (d) as expressly permitted by this Deed Poll.

#### **14.3 A Party may Disclose the existence of service contracts**

For the avoidance of doubt, a Party may disclose information related to the existence of Digital Capability Publisher service contracts within their Domain of Responsibility.

#### **14.4 Injunctive relief**

In addition to other remedies, a Party may seek injunctive relief for breach or threatened breach of the other Party's obligations of confidentiality under this Deed Poll.

#### **14.5 Privacy**

The Parties must protect the personal data they receive, collect and process according to the requirements of the Privacy Laws and any guidelines issued by the Accreditation Body.

#### **14.6 Survival**

The obligations of confidentiality and privacy in this clause 14 -survive termination of this Deed Poll.

### **15 Logging**

#### **15.1 Requirement to keep logs**

The Digital Capability Publisher Service Provider must log all registration, editing or deletion of entries in the Digital Capability Publisher for reporting requirements to the Accreditation Body. These logs must be kept for at least two (2) years or for the period of time prescribed by any applicable Law.

#### **15.2 Requirement to give Accreditation Body access to logs**

The Digital Capability Publisher Service Provider must, on request from the Accreditation Body, give access to relevant data from the logs to the Accreditation

Body, provided the data is not subject to a duty of confidentiality, in which case the prior written consent of the Client or other data owner must be obtained.

## **16 Suspension and Revocation of Services**

### **16.1 Accreditation Body may issue Warning Note**

If the Digital Capability Publisher Service Provider does not fulfil its responsibilities and obligations under this Deed Poll (including the Framework, Implementation Guide, Schedules and Binding Implementation Note but not the Rules or clause 7.1 (c)) or if fraud, spam or other misconduct by the Digital Capability Publisher Service Provider are identified the Accreditation Body may issue a Warning Note to the Digital Capability Publisher Service Provider specifying the nature of the problem or issue, the actions required to rectify the issue, the timeframe in which the Digital Capability Publisher Service Provider is to rectify the problem or issue and the consequences of not rectifying the issue within the timeframe indicated.

### **16.2 Suspension**

If the problem or issue is not rectified by the Digital Capability Publisher Service Provider within the timeframe and in accordance with the requirements specified in the Warning Notice the Accreditation Body may suspend the Digital Capability Publisher Service Provider from participation under the Framework. During suspension, the Digital Capability Publisher Service Provider cannot engage in any Digital Capability Publisher transactions under the Framework.

### **16.3 Revocation**

If the problem or issue is serious or persistent and it is not rectified by the Digital Capability Publisher Service Provider within the timeframe and in accordance with the requirements specified in the Warning Notice the Accreditation Body may take action under clause 22.2.

### **16.4 Data to be Available for Migration to other Digital Capability Publisher Service Providers**

The Digital Capability Publisher Service Provider must ensure all data related to Participants that may need to be migrated in order to transfer the Digital Capability Publisher Service Provider service to another Digital Capability Publisher Service Provider are in a format capable of being processed automatically by another Digital Capability Publisher Service Provider. Upon notification by the Accreditation Body that the Digital Capability Publisher Service Providers Accreditation will be suspended or revoked in accordance with this clause 16-A, a copy of this data in the ~~appropriate~~ format specified on the Accreditation Body's website must promptly be provided to the Accreditation Body for transfer to another Digital Capability

Publisher Service Provider in order to continue the offering of services to the Participants.

## 16.5 Publishing Information about Suspension or Revocation

The Accreditation Body may publish the details of a suspension or revocation of the Digital Capability Publisher Service Provider on the Accreditation Body's Website.

## 17 Liability

### 17.1 Indemnities

The Digital Capability Publisher Service Provider (**Indemnifying Party**) indemnifies the Accreditation Body, the Council, the ATO and any combinations of them (**Indemnified Party**) and their Personnel (together **Indemnified Persons**) against all Loss suffered or incurred by the Indemnified Persons arising in connection with:

- (a) any fraudulent or unlawful act or omission of the Indemnifying Party or its Personnel;
- (b) any damage to real or personal property caused or contributed to by any act or omission of the Indemnifying Party or its Personnel;
- (c) any breach of confidentiality- and privacy obligations by the Indemnifying Party or its Personnel; or
- (d) any Claim by a third party that use of any material in accordance with this Deed Poll infringes the Intellectual Property Rights of that third party,

except to the extent that the Loss is directly attributable to the negligence or wrongful act or omission of the Indemnified Person.

### 17.2 Limitation of Liability

Subject to clause 17.4, the Indemnifying Party's aggregate liability for all claims arising from or in connection with this Agreement whether arising under statute, common law, tort (including negligence), breach of contract or otherwise, is limited to \$20 million.

### 17.3 Exclusion of Consequential Loss

- (a) Subject to clause 17.4 the Indemnifying Party is not liable for any Loss suffered or incurred by the Indemnified Persons in connection with a breach of this Deed Poll by the Indemnifying Party that does not arise naturally (that is, according to the usual course of things) from that breach including loss of opportunity, income or profits (**Consequential Loss**).
- (b) The Parties acknowledge that the following are not Consequential Loss:

- (i) costs of assessing or remedying a Defect or a breach of this Deed Poll;
- (ii) costs of undertaking workarounds or other steps to mitigate the effects of a Defect or breach of this Deed Poll;
- (iii) costs of notifying, communicating or compensating Clients or other third parties affected by a Defect or a breach of this Deed Poll;
- (iv) costs of recovering or recreating data or records which have been lost, destroyed, deleted or corrupted as a result of a Defect or breach of this Deed Poll; or
- (v) fines or penalties resulting from any breach of Law as a result of a breach of this Deed Poll by the Digital Capability Publisher Service Provider.

#### **17.317.4 Exceptions**

The limitations and exclusions in clauses 17.2 and 17.3 ~~17.4~~ do not apply to an Indemnified Party's liability for Loss suffered or incurred in respect of:

- (a) fraud or other unlawful acts;
- (b) damage to real or personal property;
- (c) breach of an obligation of confidentiality under this Deed Poll; and
- (d) breach of an obligation of privacy under this Deed Poll.

#### **17.417.5 Survival**

This clause 17 survives the expiration or earlier termination of this Deed Poll.

## **18 Insurance**

### **18.1 Requirement to take out insurance**

The Digital Capability Publisher Service Provider must have and maintain valid and enforceable insurance policies for the following:

<b>Type of insurance</b>	<b>Duration of insurance</b>
Professional indemnity insurance to the value of \$5 million per claim and in the annual aggregate.	From the commencement date specified in clause 3.1 until no less than 3 years after the termination or expiry of this Deed Poll
Public liability insurance (on an	During the Term.

occurrence basis) for not less than \$20 million per claim.

Products liability insurance for not less than \$10 million in the annual aggregate.

During the Term.

Workers compensation insurance in accordance with the statutory requirements of the relevant jurisdiction in which the obligations of this agreement are carried out.

During the Term.

## 18.2 Claims made policy requirements

If the Digital Capability Publisher Service Provider takes out a 'claims made policy', which requires all claims and any fact situation or circumstance that might result in a claim to be notified within the period of insurance, the Digital Capability Publisher Service Provider must maintain the policy during the Term and a policy in like terms for seven years after the expiry or earlier termination of this Deed Poll.

## 18.3 Occurrence policy requirements

If the Digital Capability Publisher Service Provider takes out an 'occurrence' policy, which requires the circumstances to which a claim relates to occur during the period of insurance whilst the notification of the event can occur at any time subsequently, the Digital Capability Publisher Service Provider must maintain the policy during the Term.

## 18.4 Provision of copies or certificates of currency

Digital Capability Publisher Service Provider must, on request, promptly provide to the Accreditation Body, the Council and the ATO any relevant insurance policies or certificates of currency for inspection.

## 18.5 Survival

This clause 18 survives the expiration or earlier termination of this Deed Poll.

## 19 Audit

On the Accreditation Body's written request, the Digital Capability Publisher Service Provider must allow the Accreditation Body or an independent third Party nominated by the Accreditation Body (each an **Auditor**) to verify the Digital Capability Publisher Service Provider's compliance with the requirements of clauses 4, 6, 7, 8, and 9 of this Deed Poll in order to verify and, if necessary, audit the Digital



Capability Publisher Service Provider's compliance with this Deed Poll. In relation to those audits:

- (a) the Accreditation Body may request audits at its discretion;
- (b) the Accreditation Body will not request an audit more than once in any 12 month period, unless an audit occurring in the preceding 12 month period identified a material non-conformance;
- (c) the Accreditation Body will give at least ten (10) Business Days' notice of any audit unless it reasonably suspects there is a serious non-compliance in which case it may require an audit on one (1) Business Day notice;
- (d) where there is demonstrable cause for the audit, the Digital Capability Publisher Service Provider must reimburse the Accreditation Body's reasonable costs of the audit;
- (e) the Digital Capability Publisher Service Provider must provide, and must ensure that its Personnel provide, the Auditor the full records relating to the subject matter of the audit;
- (f) the Digital Capability Publisher Service Provider is not required to disclose any information that:
  - (i) if disclosed, would result in the Digital Capability Publisher Service Provider being in breach of its confidentiality obligations to any person; or
  - (ii) relates to the Digital Capability Publisher Service Provider's profit margins;
- (g) the Digital Capability Publisher Service Provider must provide reasonable co-operation, information and assistance to the Auditor in connection with an audit; and
- (h) if a subcontractor or Related Body Corporate of the Digital Capability Publisher Service Provider is involved in the provision of the Digital Capability Publisher services or the performance of the Digital Capability Publisher Service Provider's other obligations under this Deed Poll or under the Framework, then the Digital Capability Publisher Service Provider must require that person to provide access to its applicable information consistent with this clause 19.

## 20 Force Majeure

- (a) The Digital Capability Publisher Service Provider will not be liable for any failure or delay in the performance of its obligations under this Deed Poll (other than any obligations in relation to business continuity, back-up or

disaster recovery) to the extent that the failure or delay is caused, directly or indirectly, by a Force Majeure Event, provided:

- (i) the failure or delay could not have been prevented by reasonable precautions, or could not have reasonably been circumvented by the Digital Capability Publisher Service Provider -by means of alternate sources, workarounds or other means;
  - (ii) the Digital Capability Publisher Service Provider promptly advises the other Party of the details of the Force Majeure Event, and its likely effect on its obligations under this Deed Poll; and
  - (iii) the Digital Capability Publisher Service Provider takes all steps reasonably necessary to recommence performance and minimise the delay caused by the Force Majeure Event.
- (b) If any Force Majeure Event has the result that the Digital Capability Publisher Service Provider is not able to provide Digital Capability Publisher services, no fees or charges will be payable in respect of those services.
- (c) If the Force Majeure Event continues for thirty (30) Business Days, the Party not affected may terminate this Deed Poll by giving a ten (10) Business Days written notice to the Accreditation Body.

## **21 Dispute Resolution**

### **21.1 Dispute Notice required**

If a Party considers that a dispute has arisen in connection with this Deed Poll (Dispute), it may issue a notice to the other Party, setting out reasonable details of the Dispute (Dispute Notice).

### **21.2 Good Faith First Level Discussions**

After a Dispute Notice has been issued:

- (a) the Parties must promptly hold good faith discussions between the Digital Capability Publisher Service Provider representative (or its nominee) and the Accreditation Body representative (or its nominee), to attempt to resolve the Dispute (**First Level Discussions**); and
- (b) each Party must provide the other Party with information relating to the Dispute which is appropriate in connection with its resolution.

### **21.3 Good Faith Second Level Discussions**

If the Dispute has not been resolved within twenty (20) Business Days after the First Level Discussions started, the Parties must each nominate a senior representative

who must hold good faith discussions to attempt to resolve the Dispute (**Second Level Discussions**).

#### **21.4 Mediation**

If the Dispute has not been resolved within (20) Business Days after the Second Level Discussions started (Second Level Discussions Period) the Dispute is by this clause submitted to mediation. The mediation must be conducted at Canberra in the Australian Capital Territory. The Institute of Arbitrators and Mediators Australia Mediation and Conciliation Rules (at the date of this Deed Poll) as amended by this clause 21 apply to the mediation, except where they conflict with this clause 21.

#### **21.5 Failure to agree Mediator or Mediator's remuneration**

If the Parties have not agreed upon the mediator and the mediator's remuneration within (5) Business Days after the end of the Second Level Discussions Period:

- (a) the mediator is the person appointed by; and
- (b) the remuneration of the mediator is the amount or rate determined by; the Chair of the Australian Capital Territory Chapter of the Institute of Arbitrators and Mediators Australia (**Principal Appointor**) or the Principal Appointor's nominee, acting on the request of any Party to the Dispute.

#### **21.6 Costs of Mediation**

The Parties must pay the mediator's remuneration in equal shares. Each Party must pay its own costs of the mediation.

#### **21.7 Requirement to continue to fulfil obligations**

Until resolution of a Dispute, the Parties will continue to perform their respective obligations under this Deed Poll.

#### **21.8 Legal Proceedings not to be commenced**

A Party must not commence legal proceedings other than for urgent injunctive or declaratory relief in relation to any Dispute unless the dispute resolution procedures set out in this clause 21 have been followed.

### **22 Termination**

#### **22.1 Termination by three month notice**

- (a) This Deed Poll continues in force until terminated by one of the Parties giving the other Party three (3) months written notice.

## 22.2 Termination for Cause

- (a) The Accreditation Body- may terminate this Deed Poll immediately by written notice if the Digital Capability Publisher Service Provider:
  - (i) commits a material breach of any of the following provisions of this Deed Poll that is capable of remedy, which is not remedied within twenty (20) Business Days after receipt of written notice of the breach:
    - (A) clause 4 (Eligibility~~-~~);
    - (B) clause 6 (Testing);
    - (C) clause 7 (Digital Capability Publisher Service Provider's Obligations);
    - (D) clause 8 (Digital Capability Publisher Service Provider Interoperability);
    - (E) clause 9 (Disconnections and Portability);
    - (F) clause 10 (Costs and Charges);
    - (G) clause 14 (Confidentiality and Privacy);
    - (H) clause 15 (Logging);
    - (I) clause 16 (Suspension and Revocation of Services);
    - (J) clause 17 (Liability);
    - (K) clause 18 (Insurance); and
    - (L) Clause 19 (Audit).
  - (ii) commits a material breach of any of the clauses set out in clause 22.2(a)(i) of this Deed Poll that is not capable of remedy; or
  - (iii) suffers an Insolvency Event;

## 22.3 Consequences of Termination

- (a) The Digital Capability Publisher Service Provider is obliged to inform third parties that are affected by the termination of this Deed Poll that this Deed Poll has been terminated by the giving of a written notice.
- (b) The Digital Capability Publisher Service Provider will immediately cease use of the Accreditation Body's logo and name.
- (c) If a termination notice is given, the Parties must amicably negotiate in good faith on the procedures relating to the ending of the cooperation under this

Deed Poll, in order to avoid any unnecessary disturbances in Client relationships.

## **23 Notices**

### **23.1 Form of Notice**

Any demand, notice, consent, approval or other communication under this Deed Poll may be made or given by a Party or the solicitor for that Party provided that it:

- (a) is in legible writing, in English and addressed to the intended recipient; and
- (b) is signed by the sender (if an individual) or by an authorised representative of the sender; and
- (c) is given to the addressee by:
  - (i) delivery in person; or
  - (ii) post to, or leaving at, that Party's address for service; or
  - (iii) sending by email to the Party's email address; and
- (d) is regarded as being given by the sender and received by the addressee:
  - (i) if by delivery in person or by being left at the party's address for service, upon delivery;
  - (ii) if by post, three (3) Business Days from and including the date of posting by ordinary prepaid post in respect of an address for service within the Commonwealth of Australia and twenty one (21) Business Days in respect of other any address; or
  - (iii) if by email, when legibly received by the addressee, with receipt being evidenced by sending;

but if the delivery or receipt occurs on a day which is not a Business Day or at a time after 5.00 pm (both the day and time being in the place of receipt) it is regarded as having been received at 9.00am on the next following Business Day.

### **23.2 Address for service**

- (a) For the purposes of this clause 23, a Party's address for service shall be:
  - (i) if clause 23.2(b) does not apply, the Party's postal address -or email address set out at the start of this Deed Poll; or
  - (ii) if that Party has notified the sender of a change of postal address, changed email address, the address, or email address last so notified.

- (b) If the Party is a company, its address for service shall also include its registered office.

## **24 Amendment**

---

Any amendments to this Deed Poll (for the avoidance of doubt, including the Rules) must be in writing and will have no effect unless signed by the duly authorised representatives of the Parties.

## **25 Relationship of the Parties**

---

- (a) The Parties must not represent themselves, and must ensure that their officers, employees, agents and subcontractors do not represent themselves, as being an officer, employee, partner or agent of the other Party, or as otherwise able to bind or represent the other Party.
- (b) This Deed Poll does not create a relationship of employment, agency or partnership between the Parties.

## **26 Governing Law and Jurisdiction**

---

### **26.1 Governing Law**

This Deed Poll will be interpreted under and is governed by the Laws of the Australian Capital Territory.

### **26.2 Jurisdiction**

Each Party irrevocably submits to the non-exclusive jurisdiction of the courts exercising jurisdiction in the Australian Capital Territory and courts of appeal from them in respect of any proceedings arising in connection with this Deed Poll.

## **27 When Deed Poll binds**

---

This Deed Poll binds the Digital Capability Publisher Service Provider when it has been executed by that Party.

## **28 Consideration**

---

This Deed Poll is made in consideration of \$1.00 payable to the Digital Capability Publisher Service Provider if demanded.

**EXECUTED** and **delivered** by the Digital Capability Publisher Service Provider as a **Deed Poll** on the **[insert eg 20<sup>th</sup>]** day of **[insert month]** 2017

**SIGNED SEALED AND DELIVERED** by **[insert Digital Capability Publisher Service Provider legal name]** ABN **[insert ABN]** in accordance with section 127(1) of the Corporations Act 2001

\_\_\_\_\_  
Signature of Director

\_\_\_\_\_  
Signature of Director / Company Secretary  
(delete as applicable)

\_\_\_\_\_  
Name of Director  
(Please print)

\_\_\_\_\_  
Name of Director / Company Secretary  
(Please print)

**SIGNED SEALED AND DELIVERED** by **[insert name of sole trader]** trading as **[insert trading name]** ABN **[insert ABN]**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature of Witness

\_\_\_\_\_  
Name  
(Please print)

\_\_\_\_\_  
Name of Witness

**SIGNED SEALED AND DELIVERED** by **[insert Digital Capability Publisher Service Provider legal name]** ABN **[insert ABN]** by its Attorney under Power of Attorney Registered No **[insert]** and I declare I have no notice of revocation of the power of attorney.

\_\_\_\_\_  
Signature of Attorney

\_\_\_\_\_  
Signature of Witness

\_\_\_\_\_  
Name of attorney  
(Please print)

\_\_\_\_\_  
Name of Witness

\_\_\_\_\_  
Office held

**SIGNED SEALED AND DELIVERED** by the **[insert partnership name]** ABN **[insert ABN]** by its partners **[insert names of all partners]**

\_\_\_\_\_  
Signature of Partner

\_\_\_\_\_  
Signature of Witness

\_\_\_\_\_  
Name of Partner  
(Please print)

\_\_\_\_\_  
Name of Witness

\_\_\_\_\_  
Signature of Partner

\_\_\_\_\_  
Signature of Witness

Formatted: Position: Vertical: 0.77 cm, Relative to: Paragraph

Formatted Table

Formatted: Position: Vertical: 0.77 cm, Relative to: Paragraph

Formatted: Position: Vertical: 0.77 cm, Relative to: Paragraph

Formatted: Position: Vertical: 0.77 cm, Relative to: Paragraph

Formatted: Position: Vertical: 0.77 cm, Relative to: Paragraph

Formatted: Position: Vertical: 0.77 cm, Relative to: Paragraph



\_\_\_\_\_  
Name of Partner  
(Please print)

\_\_\_\_\_  
Name of Witness

Formatted: Position: Vertical: 0.77  
cm, Relative to: Paragraph

\_\_\_\_\_  
Signature of Partner

\_\_\_\_\_  
Signature of Witness

Formatted: Position: Vertical: 0.77  
cm, Relative to: Paragraph

\_\_\_\_\_  
Name of Partner  
(Please print)

\_\_\_\_\_  
Name of Witness

Formatted: Position: Vertical: 0.77  
cm, Relative to: Paragraph

## **Schedule 2 — Digital Capability Publisher Service Provider Accreditation Process**

Formatted: Footer distance from edge: 0.05 cm

Described below are the steps a candidate Service Provider must follow to obtain the Accreditation Body's accreditation. It should be noted that the testing required for this process is essentially a 'self-testing' exercise that is expected to be conducted by the candidate Service Provider. The candidate Service Provider is expected to store and upload the test results to the Accreditation Body's website for review and assessment. Outlined below is a detailed description of each step a potential Service Provider needs to perform/undergo to be accredited by the Accreditation Body's.

### ***Step 1 – Download the testing resources from the Accreditation Body's website.***

The candidate Service Provider must download all the relevant testing resources published on the Accreditation Body's website. These documents will outline the testing requirements and instructions for recording the test results.

### ***Step 2 – Test the solution against the testing requirements and record test results.***

The necessary test cases must be developed by the candidate Service Provider on the basis of the test assertions provided. The candidate Service Provider is expected to 'self-test' their solution thoroughly against the test assertions. The candidate Service Provider will be expected to conduct testing exercises with testing partners (i.e. other Service Providers) and these testing partners will be determined by the Accreditation Body's (based on a roster).

### ***Step 3 – Upload the test results, fit and proper person's declaration and the Deed Poll to the Accreditation Body's website.***

Upon the completion of the 'self-testing' exercise of its solution and recording the test results in the required format, the candidate Service Provider is required to upload the test results to the Accreditation Body's website (as per the instructions provided on the website). The candidate Service Provider must also sign and upload the relevant Deed Poll and the fit and proper person's declaration (as required by the relevant clause(s) in the Service Provider Deed Poll).

### ***Step 4 – Notification by the Accreditation Body***

The Accreditation Body will provide a notification to the candidate Service Provider with either a confirmation of successful accreditation or a request for more information following its assessment of the candidate Service Provider's application.

Formatted: Font: 10 pt

Page Intentionally Left Blank

**'Schedule 1: Accreditation Process'**  
**Deleted – This Page Intentionally**  
**Left Blank**

Formatted: Font: 10 pt

Formatted: MO Terms (L3), Justified,  
Line spacing: 1.5 lines

Formatted: MO Terms (L3), Justified,  
Line spacing: 1.5 lines, Tab stops: Not  
at 3.25 cm

Formatted: Font: 10 pt

## Schedule 2: Service Level Agreements

Providers are encouraged to indicate their service levels for information purposes. Providers can choose to provide from one of the three levels service i.e. Bronze, Silver, or Gold. The following tables outline the examples of service level requirements within each tier of service.

No.	Service Level	Description	Bronze Standard	Silver Standard	Gold Standard
1.	Availability	DCP Availability	98.5% (06:00 to 21:00) 94.0% (remaining period)	98.5% (all day) 94.0% (remaining period)	99.95% (Mon to Fri) (7 days per week)
2.	Response Times	Maximum DCP -response time to capability record API lookup requests	One hundred and twenty (120) seconds	Twenty (20) seconds	Four (4) seconds
3.	Incident Response	Response time for incidents	Three (3) Business Days	One (1) Business Day	One (1) hour (at any time of day)
4.	Incident resolution time reporting	Monthly report of resolution time of incidents (open and closed)	n/a	n/a	One (1) report per month
5.	Critical incident resolution time	Maximum threshold for incident resolution	Fifty (50) Business Days	Thirty (30) Business Days	Two (2) Business Days
6.	Additional service levels	Adherence to the recommended service levels	None	None	All additional service levels

Formatted: Font: 10 pt

The Digital Capability Publisher Service Provider can choose to provide from one of the three levels service i.e. Bronze, Silver, or Gold.

The following tables outline the service level requirements within each tier of service.

## Digital Capability Publisher Service Levels (Bronze Standard)

No.	Service	Description	Clause	Requirement	Notes
1.	Availability	DCP Availability	7.2(a)	1. DCP must be available on average: <ul style="list-style-type: none"> <li>98.5% of the time from Monday – Friday from 6:00 to 21:00 (AEST/AEDST)</li> <li>94.0% of the remaining period.</li> </ul>	
2.	Response Times	DCP Provider Response Time.	7.2 (c) 7.5 (b)	A DCP must respond via API lookup requests within a maximum of one hundred and twenty (120) seconds after having received the message.	
3.	Incident Response	Response time for reported incidents.	n/a	1. Any incident reported to the DCP Provider Contact must be responded to within three (3) Business Days.  2. DCP Provider must maintain a mailing list for subscription to the service messages (e.g. service windows).	
4.	Incident resolution time reporting	Maximum threshold for incident resolution to maintain status	n/a	The Accreditation Body must be provided with a list of open and closed incidents that impact service operation and the number of days each incident has been open or, where	This would be only to check the below requirement.

Formatted: Font: 10 pt

No.	Service	Description	Clause	Requirement	Notes
				closed, the number of days taken to resolve it. Data must be aggregated and/or anonymous so as not to identify a particular client or customer.	
5.	Maximum incident resolution time	To ensure the capability of the provider is mature	n/a	An incident's resolution time must not exceed fifty (50) Business Days.	This check could be could be automated in an upload of this data.

## Exceptions

A DCP Provider does not have to fulfil this service level (Bronze Standard) in the following situations:

1. The DCP Provider is under a denial of service (DoS) attack; or
2. Special conditions apply and the Accreditation Body's has approved lowering the service levels for a specific time period and under specific conditions.

Regardless of the situation, the DCP Provider must always document the reasons for not fulfilling the service levels.



## Digital Capability Publisher Service Levels (Silver Standard)

No.	Service	Description	Clause	Requirement	Notes
1.	Availability	DCP Availability.	7.2(a)	DCP must be available on average: <ul style="list-style-type: none"> <li>98.5% of the time from Monday – Friday.</li> <li>94.0% of the remaining period.</li> </ul>	The figures used in the requirement for this service are for illustration purposes only.
2.	Response Times	DCP Provider Response Time.	7.2 (c) 7.5 (b)	A DCP must respond via API lookup requests within a maximum of twenty (20) seconds after having received the message.	The figures used in the requirement for this service are for illustration purposes only.
3.	Incident Response	Response time for reported incidents.	n/a	1. Any incident reported to the DCP Provider Contact must be responded to within one (1) Business Day.  2. DCP Provider must maintain a mailing list for subscription to the service messages (e.g. service windows).	The figures used in the requirement for this service are for illustration purposes only.
4.	Incident resolution time reporting.	Maximum threshold for incident resolution to maintain status.	n/a	The Accreditation Body's must be provided with a list of open and closed incidents that impact service operation and the number of days each incident has been open or, where closed, the number of days taken to resolve it.	This would be only to check the below requirement.

Formatted: Font: 10 pt

No.	Service	Description	Clause	Requirement	Notes
				Data must be aggregated and/or anonymous so as not to identify a particular client or customer.	
5.	Maximum incident resolution time.	To ensure the capability of the provider is mature.	n/a	An incident's resolution time must not exceed thirty (30) Business Days or Silver status will be revoked by the Accreditation Body's and the provider be downgraded to Bronze status.	This check could be could be automated in an upload of this data.

## Exceptions

A DCP Provider does not have to fulfil this service level (Silver Standard) in the following situations:

1. The DCP Provider is under a denial of service (DoS) attack; or
2. Special conditions apply and the Accreditation Body's has approved lowering the service levels for a specific time period and under specific conditions.

Regardless of the situation, the DCP Provider must always document the reasons for not fulfilling the service levels.

## Digital Capability Publisher Service Levels (Gold Standard)

No.	Service	Description	Clause	Requirement	Notes
1.	Availability	DCP Availability	7.2(a)	DCP must be available on average: <ul style="list-style-type: none"> <li>99.95% of the time (7 days per week).</li> </ul>	The figures used in the requirement for this service are for illustration purposes only.
2.	Response Times	DCP Provider Response Time.	7.2 (c) 7.5 (b)	A DCP must respond via API lookup requests within a maximum of four (4) seconds after having received the message.	The figures used in the requirement for this service are for illustration purposes only.
3.	Incident Response	Response time for reported incidents.	n/a	1. Any incident reported to the DCP Provider Contact must be responded to within four (4) hours, irrespective of the time of day the incident was reported.  2. DCP Provider must maintain a mailing list for subscription to the service messages (e.g. service windows).	The figures used in the requirement for this service are for illustration purposes only.
4.	Additional Service Levels.	Mandatory requirements for Gold.	n/a	At least two of the additional service levels must be adhered to, at the discretion of the service provider.	
5.	Incident	Maximum threshold	n/a	The Accreditation Body must be provided with a list of	This would be only to check

Formatted: Font: 10 pt

No.	Service	Description	Clause	Requirement	Notes
	resolution time reporting.	for incident resolution to maintain status.		open and closed incidents that impact service operation and the number of days each incident has been open or, where closed, the number of days taken to resolve it. -Data must be aggregated and/or anonymous so as not to identify a particular client or customer.	the below requirement.
6.	Maximum incident resolution time.	To ensure the capability of the provider is mature.	n/a	An incident's resolution time must not exceed two (2) Business Days in the Incident resolution time report or Gold status will be revoked by the Accreditation Body and the provider downgraded to Silver status.	This check could be could be automated in an upload of this data.

## Exceptions

A DCP Provider does not have to fulfil this service level (gold standard) in the following situations:

1. The DCP Provider is under a denial of service (DoS) attack; or
2. Special conditions apply and the Accreditation Body has approved lowering the service levels for a specific time period and under specific conditions.

Regardless of the situation, the DCP Provider must always document the reasons for not fulfilling the service levels.

## Digital Capability Publisher Additional Services

This is a list of additional services that a Digital Capability Publisher (DCP) Provider could provide in addition to the service it offers. These should appear on the DCP Provider's 'profile page/section' on the Accreditation Body's website.

No.	Service	Description	Clause	Requirement	Notes
1.	BCP	Business Continuity Plan.	n/a	There should be an option for the DCP Provider to list its ability of providing a Business Continuity Plan whilst creating/updating their profile on the Accreditation Body's website.	This is an additional service that a DCP Provider can choose to deliver and hence should be able to be displayed on the Provider's profile on the Accreditation Body's website.
2.	DRP	Disaster Recovery Plan.	n/a	There should be an option for the DCP Provider to list its ability of providing a 'Disaster Recovery Plan' whilst creating/updating their profile on the Accreditation Body's website.	This is an additional service that a DCP Provider can choose to deliver and hence should be able to be displayed on the Provider's profile on the Accreditation Body's website.
3.	Disconnections Notice	This is a disconnection notice provided to the Accreditation Body.	8	There should be an option for the DCP Provider to list its ability to provide a 'disconnection notice' on its profile on the Accreditation Body's website.	Disconnection notice is the timeframe given by a DCP Provider to its Client prior to disconnecting its services. E.g. 'Disconnection notice = <u>20 business days</u> ' <u>Twenty (20) Business Days</u> '.

Formatted: Font: 10 pt

No.	Service	Description	Clause	Requirement	Notes
4.	Known Error Database	A database containing all incidents or problems documenting the root cause and possible workaround(s) available to its clients.	n/a	There should be an option for the DCP Provider to list its ability of providing a Known Error Database (that also contains a list of workarounds) whilst creating/updating their profile on the Accreditation Body's website.	It is not envisaged this would be available publicly, but only to the clients of the Service Provider.
5.	Incident/Problem Database	A database containing all incidents and/or problems available to its clients.	n/a	There should be an option for the DCP Provider to list its ability of providing a Problem/Incident database whilst creating/updating their profile on the Accreditation Body's website.	It is not envisaged this would be available publicly, but only to the clients of the Service Provider.
6.	Performance Dashboard	A public facing web page containing performance of the service against the Accreditation Body's service levels.	n/a	There should be an option for the DCP Provider to list its ability of providing a performance dashboard whilst creating/updating their profile on the Accreditation Body's website.	
7.	User Acceptance Test (UAT) environment	An environment where dummy message exchanges can be simulated by a client's software or for use by another	n/a	There should be an option for the DCP Provider to list its ability of providing a UAT environment whilst creating/updating their profile on	

Formatted: Font: 10 pt

No.	Service	Description	Clause	Requirement	Notes
		access point.		the Accreditation Body's website.	

Formatted: Font: 10 pt

## ~~Schedule 4~~ **Schedule 3: Digital Capability Publisher Testing** **Assertions Requirements**

This schedule describes the testing ~~assertions-requirements~~ for a Digital Capability Publisher service provider that has adopted for the Accreditation Body's Interoperability Framework.

More specifically, the Digital Capability Publisher is defined in the Implementation Guide released by the Technical Working Group and is based on the Service Metadata Publisher (SMP) specification originally developed by PEPPOL and generalized and standardized by OASIS. The purpose of the testing ~~requirements assertions~~ is to focus on what is expected from the implementation.

The key terms used in this testing ~~assertions-requirements~~ description are taken from the respective implementation guides. The intended audience are candidate service providers engaged in verifying conformance to the Accreditation Body's published specifications.

Entity	Description
Digital Capability Publisher (DCP)	The Capability Publisher hosts metadata for each participant ID at a predefined URI. The DCP specification defines an XML based service metadata model and a REST binding to retrieve the service metadata.
Sender	An entity that uses the URI in a HTTP GET operation to retrieve the service metadata.
Recipient	An entity that receives the Business Document containing the requested metadata.

## **Messaging Model**

The Digital Capability Publisher (**DCP**) stores metadata, which is essential in routing of documents received from a sender to the correct recipient. This metadata is a combination of information on the end entity or recipient (its identifier, supported business documents and processes in which it accepts those documents) and the Access Point (metadata which includes technical configuration information on the receiving endpoint, such as the transport protocol and its digital address).

Formatted: Font: 10 pt



## Definitions

Term	Description
HTTP header fields	Components of the header section of request and response messages in the Hypertext Transfer Protocol (HTTP). They define the operating parameters of an HTTP transaction. Each header field consists of a case-insensitive field name followed by a colon (:), optional leading whitespace, the field value, and optional trailing whitespace.

## Abbreviations

Abbreviation	Description
DCP	Digital Capability Publisher
REST	Representational State Transfer
URI	Uniform Resource Identifier
BDXL	Business Document Metadata Service Location protocol

## Notes

More information can be found in the following sources:

Digital Capability Publisher Implementation Guide	<a href="http://digitalbusinesscouncil.com.au/digital-capability-publisher/">http://digitalbusinesscouncil.com.au/digital-capability-publisher/</a>
OASIS SMP specifications	<a href="http://docs.oasis-open.org/bdxr/bdx-smp/v1.0/">http://docs.oasis-open.org/bdxr/bdx-smp/v1.0/</a>
PEPPOL SMP test cases	<a href="https://joinup.ec.europa.eu/svn/cipaedelivery/trunk/test/TestCases/e-Delivery-SMP.xls">https://joinup.ec.europa.eu/svn/cipaedelivery/trunk/test/TestCases/e-Delivery-SMP.xls</a>
[HTTP 1.1] specification	<a href="http://www.w3.org/Protocols/rfc2616/rfc2616.html">http://www.w3.org/Protocols/rfc2616/rfc2616.html</a>
[XML 1.0] specification	<a href="http://www.w3.org/TR/xml">http://www.w3.org/TR/xml</a>

Formatted: Font: 10 pt

[Unicode] specification	<a href="http://www.unicode.org/versions/Unicode7.0.0/">http://www.unicode.org/versions/Unicode7.0.0/</a>
[XML-DSIGv1.1]	<a href="https://www.w3.org/TR/xmlsig-core1/">https://www.w3.org/TR/xmlsig-core1/</a>

Formatted: Font: 10 pt

## Digital Capability Publisher Test Assertions

TA Id	DCP_TA01
Requirement	<p>If the sender performs a service metadata request, it receives a response containing the URI and other properties of the recipient.</p> <p>For further information please refer to sections 7.1, 7.2, 7.3, 7.4 and 7.5 in the Digital Capability Publisher Implementation Guide published on the Accreditation Body's website.</p> <p><a href="http://digitalbusinesscouncil.com.au/digital-capability-publisher/">http://digitalbusinesscouncil.com.au/digital-capability-publisher/</a></p>
Target	DCP – Service Metadata
Prerequisite	<ul style="list-style-type: none"> <li>➤ The sender sends a ServiceMetadata request to a DCP.</li> <li>➤ The expected status code in the response is 200.</li> <li>➤ The URI is constructed such as :/{identifier scheme}::{id}</li> </ul>
Expected Result	<p>The sender receives a response from the DCP which contains a Service Metadata entity that holds all of the metadata about a Service.</p> <p>For further information please refer to sections 2.3.4, 2.3.4.2, 2.3.5 and Appendix C.2 in:</p> <p><a href="http://docs.oasis-open.org/bdxc/bdxc-smp/v1.0/">http://docs.oasis-open.org/bdxc/bdxc-smp/v1.0/</a></p>
Prescription Level	Mandatory
Tag	DCP, Service Metadata
Variable	N/A

TA Id	DCP_TA02
Requirement	<p>If the sender performs a service group request, he receives a response containing a ServiceGroup entity, which holds a list of references to the ServiceMetadata resources associated with it.</p> <p>For further information please refer to sections 7.1.2 in the Digital Capability Publisher Implementation Guide published on the Accreditation Body's website.</p>

Formatted: Font: 10 pt

TA Id	DCP_TA02
	<a href="http://digitalbusinesscouncil.com.au/digital-capability-publisher/">http://digitalbusinesscouncil.com.au/digital-capability-publisher/</a>
Target	DCP – Service Group
Prerequisite	<ul style="list-style-type: none"> <li>➤ The sender sends a ServiceGroup request for a recipient to a DCP.</li> <li>➤ The expected status code in the response is 200.</li> <li>➤ The URI is constructed such as :/{identifier scheme}::id}</li> </ul>
Expected Result	<p>The sender receives a response from the DCP which contains a Service Group entity that holds the Participant Identifier of the recipient and a list of references to Service Metadata resources that are associated with that participant identifier.</p> <p>For further information please refer to sections 2.3.3 and Appendix C.1 in:</p> <p><a href="http://docs.oasis-open.org/bdxx/bdx-smp/v1.0/">http://docs.oasis-open.org/bdxx/bdx-smp/v1.0/</a></p>
Prescription Level	Mandatory
Tag	DCP, Service Group
Variable	N/A

TA Id	DCP_TA03
Requirement	<p>References MUST refer to SignedServiceMetadata records that are signed by the certificate of the DCP. It must not point to SignedServiceMetadata resources published by external DCPs.</p> <p>For further information please refer to sections 7.2 in the Digital Capability Publisher Implementation Guide published on the Accreditation Body's website.</p> <p><a href="http://digitalbusinesscouncil.com.au/digital-capability-publisher/">http://digitalbusinesscouncil.com.au/digital-capability-publisher/</a></p>
Target	ServiceMetadataReference
Prerequisite	DCP_TA02
Expected Result	<p>All referenced records should be using the signing certificate from the DCP.</p> <p>For further information please refer to section 3.6.2 and Appendix C.2 in:</p> <p><a href="http://docs.oasis-open.org/bdxx/bdx-smp/v1.0/">http://docs.oasis-open.org/bdxx/bdx-smp/v1.0/</a></p>
Prescription	Mandatory

Formatted: Font: 10 pt

TA Id	DCP_TA03
Level	
Tag	Service metadata reference, signed service metadata
Variable	N/A

TA Id	DCP_TA04
Requirement	<p>For the list of endpoints under each &lt;Endpoint&gt; element in the ServiceEndpointList, each endpoint MUST have different values of the transportProfile attribute i.e. represent bindings to different transports.</p> <p>For further information please refer to sections 7.1, 7.2, 7.3, 7.4 and 7.5 in the Digital Capability Publisher Implementation Guide published on the Accreditation Body's website.</p> <p><a href="http://digitalbusinesscouncil.com.au/digital-capability-publisher/">http://digitalbusinesscouncil.com.au/digital-capability-publisher/</a></p>
Target	Endpoints
Prerequisite	<ul style="list-style-type: none"> <li>➤ DCP_TA01</li> <li>➤ The returned metadata contains a Service Endpoint list with multiple Endpoints.</li> </ul>
Expected Result	<p>The &lt;Endpoint&gt; elements in the Service Endpoint list contain different values for each transport Profile attribute.</p> <p>For further information please refer to sections 2.3.4, 2.3.4.2 and Appendix C.2 in:</p> <p><a href="http://docs.oasis-open.org/bdxc/bdxc-smp/v1.0/">http://docs.oasis-open.org/bdxc/bdxc-smp/v1.0/</a></p>
Prescription Level	Mandatory
Tag	Endpoint, transport profile
Variable	N/A

TA Id	DCP_TA05
Requirement	<p>The participant identifier comprises of the identifier and an identifier scheme. This identifier MUST have the same value as the {id} part of the enclosing ServiceMetadata resource.</p> <p>For further information please refer to sections 7.3, 8 and 8.1 in the Digital</p>

Formatted: Font: 10 pt

TA Id	DCP_TA05
	<p>Capability Publisher Implementation Guide published on the Accreditation Body's website.</p> <p><a href="http://digitalbusinesscouncil.com.au/digital-capability-publisher/">http://digitalbusinesscouncil.com.au/digital-capability-publisher/</a></p>
Target	ParticipantIdentifier
Prerequisite	The sender client constructs a URL based on participant identifier and doctype.
Expected Result	<p>The {id} part represented in the XML of the ServiceMetadata resource is the same as the {id} part in the corresponding URL.</p> <p>For further information please refer to section 2.4.5 and Appendix C.4 in:</p> <p><a href="http://docs.oasis-open.org/bdxc/bdx-smp/v1.0/">http://docs.oasis-open.org/bdxc/bdx-smp/v1.0/</a></p>
Prescription Level	Mandatory
Tag	Participant identifier
Variable	N/A

TA Id	DCP_TA06
Requirement	<p>Participant identifiers SHOULD consist of a scheme identifier in addition to the participant identifier. Here the scheme identifier indicates the specification of the participant identifier format, i.e. its representation and meaning.</p> <p>For further information please refer to sections 7.3, 8 and 8.1 in the Digital Capability Publisher Implementation Guide published on the Accreditation Body's website.</p> <p><a href="http://digitalbusinesscouncil.com.au/digital-capability-publisher/">http://digitalbusinesscouncil.com.au/digital-capability-publisher/</a></p>
Target	Participant identifiers
Prerequisite	The sender constructs a URL containing a participant identifier and a scheme identifier in order to interrogate the DCP.
Expected Result	<p>Status code 200 gets returned by the DCP.</p> <p>For further information please refer to section 2.4.5 and Appendix C.4 in:</p> <p><a href="http://docs.oasis-open.org/bdxc/bdx-smp/v1.0/">http://docs.oasis-open.org/bdxc/bdx-smp/v1.0/</a></p>

Formatted: Font: 10 pt

TA Id	DCP_TA06
Prescription Level	Preferred
Tag	Participant identifier, scheme identifier
Variable	N/A

TA Id	DCP_TA07
This test requirement has been removed.	

TA Id	DCP_TA08
Requirement	<p>When processing a participant identifier in XML format, it MUST be treated as case insensitive.</p> <p>For further information please refer to sections 7.3, 8 and 8.1 in the Digital Capability Publisher Implementation Guide published on the Accreditation Body's website.</p> <p><a href="http://digitalbusinesscouncil.com.au/digital-capability-publisher/">http://digitalbusinesscouncil.com.au/digital-capability-publisher/</a></p>
Target	Participant identifiers
Prerequisite	<p>The DCP contains a participant identifier in XML format. For further information please refer to (XML 1.0) specification:</p> <p><a href="http://www.w3.org/TR/xml">http://www.w3.org/TR/xml</a></p>
Expected Result	<p>The processing of the participant identifier is treated as case insensitive.</p> <p>For further information please refer to section 2.4.5.2 and Appendix C in:</p> <p><a href="http://docs.oasis-open.org/bdxr/bdx-smp/v1.0/">http://docs.oasis-open.org/bdxr/bdx-smp/v1.0/</a></p>
Prescription Level	Mandatory
Tag	Participant identifier, XML format
Variable	N/A

TA Id	DCP_TA09
Requirement	<p>In a URL, the string represented by &lt;&lt;{identifier scheme}::id&gt;&gt; MUST be percent encoded following and the guidelines given in:</p> <p>Sections 7.3, 8 and 8.1 in the Digital Capability Publisher Implementation</p>

Formatted: Font: 10 pt

TA Id	DCP_TA09
	<p>Guide published on the Accreditation Body's website.</p> <p><a href="http://digitalbusinesscouncil.com.au/digital-capability-publisher/">http://digitalbusinesscouncil.com.au/digital-capability-publisher/</a></p> <p>and section 2.4.5.3 and Appendix C.4 in:</p> <p><a href="http://docs.oasis-open.org/bdxx/bdx-smp/v1.0/">http://docs.oasis-open.org/bdxx/bdx-smp/v1.0/</a></p>
Target	Participant identifier scheme
Prerequisite	The sender constructs a URL containing a string: {identifier scheme}:::id that is percent encoded (replace ':' separator by '%3a' and '#' by '%23')
Expected Result	The DCP returns the requested information.
Prescription Level	Mandatory
Tag	Participant identifier scheme, encoding
Variable	N/A

TA Id	DCP_TA10
Requirement	<p>When processing a participant identifier in an URL, it MUST be treated as case insensitive.</p> <p>Sections 7.3, 8 and 8.1 in the Digital Capability Publisher Implementation Guide published on the Accreditation Body's website.</p> <p><a href="http://digitalbusinesscouncil.com.au/digital-capability-publisher/">http://digitalbusinesscouncil.com.au/digital-capability-publisher/</a></p> <p>and section 2.4.5.2 and Appendix C.4 in:</p> <p><a href="http://docs.oasis-open.org/bdxx/bdx-smp/v1.0/">http://docs.oasis-open.org/bdxx/bdx-smp/v1.0/</a></p>
Target	Participant identifiers
Prerequisite	The sender constructs a URL containing a participant identifier.
Expected Result	The processing of the participant identifier is treated as case insensitive and the DCP returns the requested information.
Prescription Level	Mandatory
Tag	Participant identifier
Variable	N/A

Formatted: Font: 10 pt



TA Id	DCP_TA11
Requirement	<p>When any type of identifiers are used in URLs, each section between slashes MUST be percent encoded individually, i.e. section by section.</p> <p>For further information please refer to sections 8 and 8.1 in the Digital Capability Publisher Implementation Guide published on the Accreditation Body's website.</p> <p><a href="http://digitalbusinesscouncil.com.au/digital-capability-publisher/">http://digitalbusinesscouncil.com.au/digital-capability-publisher/</a></p> <p>and section 2.4.5.2 and Appendix C.4 in:</p> <p><a href="http://docs.oasis-open.org/bdxc/bdxc-smp/v1.0/">http://docs.oasis-open.org/bdxc/bdxc-smp/v1.0/</a></p>
Target	Identifiers
Prerequisite	The sender constructs a URL containing an identifier of any type.
Expected Result	<p>Each section between slashes in the URL is percent encoded.</p> <p>For further information please refer to section 2.4.3 and Appendix C.4 in:</p> <p><a href="http://docs.oasis-open.org/bdxc/bdxc-smp/v1.0/">http://docs.oasis-open.org/bdxc/bdxc-smp/v1.0/</a></p>
Prescription Level	Mandatory
Tag	Identifiers, encoding
Variable	N/A

TA Id	DCP_TA12
Requirement	<p>The scheme type of a participant identifier MUST be in the form of a URI.</p> <p>For further information please refer to sections 8 and 8.1 in the Digital Capability Publisher Implementation Guide published on the Accreditation Body's website.</p> <p><a href="http://digitalbusinesscouncil.com.au/digital-capability-publisher/">http://digitalbusinesscouncil.com.au/digital-capability-publisher/</a></p> <p>and section 2.4.5 and Appendix C.4 in:</p> <p><a href="http://docs.oasis-open.org/bdxc/bdxc-smp/v1.0/">http://docs.oasis-open.org/bdxc/bdxc-smp/v1.0/</a></p>
Target	Participant identifiers

Formatted: Font: 10 pt

TA Id	DCP_TA12
Prerequisite	The client makes a request for information about an existing participant identifier.
Expected Result	The scheme of the participant identifier is presented in the form of a URI
Prescription Level	Mandatory
Tag	Participant identifier scheme, URI
Variable	N/A

TA Id	DCP_TA13
Requirement	The scheme of the document identifier MUST be in the form of a URI.
Target	Document identifiers
Prerequisite	The sender constructs a URI containing a document identifier.
Expected Result	<p>The scheme of the document identifier is identified by the URI:&lt;&lt;check&gt;&gt;</p> <p>For further information please refer to sections 7.4 and 8.2 in the Digital Capability Publisher Implementation Guide published on the Accreditation Body's website.</p> <p><a href="http://digitalbusinesscouncil.com.au/digital-capability-publisher/">http://digitalbusinesscouncil.com.au/digital-capability-publisher/</a></p> <p>and section 2.4.6.1 and Appendix C in:</p> <p><a href="http://docs.oasis-open.org/bdxr/bdx-smp/v1.0/">http://docs.oasis-open.org/bdxr/bdx-smp/v1.0/</a></p>
Prescription Level	Mandatory
Tag	Document identifier scheme, URI
Variable	N/A

TA Id	DCP_TA14
Requirement	<p>When processing a document identifier in XML format, it MUST be treated as case insensitive.</p> <p>For further information please refer to sections 7.4 and 8.2 in the Digital Capability Publisher Implementation Guide published on the Accreditation Body's website.</p>

Formatted: Font: 10 pt

TA Id	DCP_TA14
	<a href="http://digitalbusinesscouncil.com.au/digital-capability-publisher/">http://digitalbusinesscouncil.com.au/digital-capability-publisher/</a>  and section 2.4.6.2 and Appendix C in:  <a href="http://docs.oasis-open.org/bdxi/bdx-smp/v1.0/">http://docs.oasis-open.org/bdxi/bdx-smp/v1.0/</a>
Target	Document identifiers
Prerequisite	The sender constructs a URI containing a document identifier in XML format
Expected Result	The server processes the request regardless of the case formatting of the doc id.
Prescription Level	Mandatory
Tag	Document identifier, XML format
Variable	N/A

TA Id	DCP_TA15
Requirement	<p>A service implementing the REST binding MUST support [HTTP 1.1] and MUST set the HTTP 'content-type' header and give it the value of 'text/xml'.</p> <p>For further information please refer to section 9.1.3 in the Digital Capability Publisher Implementation Guide published on the Accreditation Body's website:</p> <p><a href="http://digitalbusinesscouncil.com.au/digital-capability-publisher/">http://digitalbusinesscouncil.com.au/digital-capability-publisher/</a></p> <p>and section 3.2 in:</p> <p><a href="http://docs.oasis-open.org/bdxi/bdx-smp/v1.0/">http://docs.oasis-open.org/bdxi/bdx-smp/v1.0/</a></p>
Target	DCP REST binding
Prerequisite	<ul style="list-style-type: none"> <li>➤ DCP uses REST as a binding.</li> </ul>
Expected Result	<p>The HTTP content-type header is set to 'text/xml' in the requested Metadata.</p> <p>For further information please refer to:</p> <p><a href="http://www.w3.org/Protocols/rfc2616/rfc2616.html">http://www.w3.org/Protocols/rfc2616/rfc2616.html</a></p>
Prescription Level	Mandatory
Tag	REST binding, HTTP header

Formatted: Font: 10 pt

TA Id	DCP_TA15
Variable	N/A

TA Id	DCP_TA16
Requirement	<p>A service implementing the REST binding MUST support [HTTP 1.1] and MUST set the HTTP 'content-type' header and give it the value of 'text/xml'.</p> <p>For further information please refer to section 9.1.3 in the Digital Capability Publisher Implementation Guide published on the Accreditation Body's website:</p> <p><a href="http://digitalbusinesscouncil.com.au/digital-capability-publisher/">http://digitalbusinesscouncil.com.au/digital-capability-publisher/</a></p> <p>and section 3.2 in:</p> <p><a href="http://docs.oasis-open.org/bdxc/bdx-smp/v1.0/">http://docs.oasis-open.org/bdxc/bdx-smp/v1.0/</a></p>
Target	DCP REST binding
Prerequisite	<ul style="list-style-type: none"> <li>➤ DCP uses REST as a binding.</li> <li>➤ The client executes a request using HTTP 1.1. For further information please refer to:</li> </ul> <p><a href="http://www.w3.org/Protocols/rfc2616/rfc2616.html">http://www.w3.org/Protocols/rfc2616/rfc2616.html</a></p>
Expected Result	The client receives the requested data. (Status code 200)
Prescription Level	Mandatory
Tag	REST binding HTTP 1.1
Variable	N/A

TA Id	DCP_TA17
Requirement	<p>HTTP GET operations MUST return the status code 200 if the resource is retrieved correctly.</p> <p>For further information please refer to section 9.1.2 in the Digital Capability Publisher Implementation Guide published on the Accreditation Body's website:</p> <p><a href="http://digitalbusinesscouncil.com.au/digital-capability-publisher/">http://digitalbusinesscouncil.com.au/digital-capability-publisher/</a></p>

Formatted: Font: 10 pt

TA Id	DCP_TA17
	<p>and section 3 in:</p> <p><a href="http://docs.oasis-open.org/bdxr/bdx-smp/v1.0/">http://docs.oasis-open.org/bdxr/bdx-smp/v1.0/</a></p>
Target	DCP REST binding
Prerequisite	<ul style="list-style-type: none"> <li>➤ DCP uses REST as a binding.</li> <li>➤ The ServiceGroup exists on the DCP.</li> <li>➤ The URI is constructed like:://{hostname}/{identifier scheme}::{id}</li> <li>➤ The sender requests the ServiceGroup from the DCP and the resource is retrieved correctly.</li> </ul>
Expected Result	<ul style="list-style-type: none"> <li>➤ HTTP GET returns status code 200.</li> <li>➤ The returned content holds the Participant Identifier of the recipient, and a list of references to individual ServiceMetadata resources that are associated with that Participant Identifier.</li> </ul> <p>For further information please refer to Appendix C in:</p> <p><a href="http://docs.oasis-open.org/bdxr/bdx-smp/v1.0/">http://docs.oasis-open.org/bdxr/bdx-smp/v1.0/</a></p>
Prescription Level	Mandatory
Tag	REST binding, HTTP GET, Service Group, URI
Variable	N/A

TA Id	DCP_TA18
Requirement	<p>HTTP GET operations MUST return the status code 200 if the resource is retrieved correctly.</p> <p>For further information please refer to section 9.1.3 in the Digital Capability Publisher Implementation Guide published on the Accreditation Body's website:</p> <p><a href="http://digitalbusinesscouncil.com.au/digital-capability-publisher/">http://digitalbusinesscouncil.com.au/digital-capability-publisher/</a></p> <p>and section 3 in:</p> <p><a href="http://docs.oasis-open.org/bdxr/bdx-smp/v1.0/">http://docs.oasis-open.org/bdxr/bdx-smp/v1.0/</a></p>
Target	SMP REST binding

Formatted: Font: 10 pt

TA Id	DCP_TA18
Prerequisite	<ul style="list-style-type: none"> <li>➤ DCP uses REST as a binding.</li> <li>➤ The SignedServiceMetadata exists on the DCP.</li> <li>➤ The URI is constructed like:://{hostname}/{identifier scheme}::{id}</li> <li>➤ The sender requests metadata from the DCP and the resource is retrieved correctly.</li> </ul>
Expected Result	<ul style="list-style-type: none"> <li>➤ HTTP GET returns status code 200.</li> <li>➤ The returned content holds all the metadata about a Service.</li> </ul> <p>For further information please refer to Appendix C in:</p> <p><a href="http://docs.oasis-open.org/bdxc/bdx-smp/v1.0/">http://docs.oasis-open.org/bdxc/bdx-smp/v1.0/</a></p>
Prescription Level	Mandatory
Tag	REST binding, HTTP GET, Signed Service Metadata, URI
Variable	N/A

TA Id	DCP_TA19
Requirement	<p>HTTP GET operations MUST return the status code 404 if a specific resource could not be found. This could for example be the result of a request containing a Participant Identifier that does not exist.</p> <p>For further information please refer to section 3.2 in:</p> <p><a href="http://docs.oasis-open.org/bdxc/bdx-smp/v1.0/">http://docs.oasis-open.org/bdxc/bdx-smp/v1.0/</a></p>
Target	DCP REST binding
Prerequisite	<ul style="list-style-type: none"> <li>➤ DCP uses REST as a binding.</li> <li>➤ The URI is constructed like:://{hostname}/{identifier scheme}::{id}</li> <li>➤ The sender requests metadata from the DCP but the resource does not exist or is unknown.</li> </ul>
Expected Result	HTTP GET returns status code 404.
Prescription Level	Mandatory
Tag	REST binding, HTTP GET, ServiceGroup
Variable	N/A

Formatted: Font: 10 pt

TA Id	DCP_TA20
Requirement	<p>XML documents returned by HTTP GET MUST be well-formed according to (XML 1.0) and MUST be UTF-8 encoded (Unicode). They MUST contain a document type declaration starting with '&lt;?xml' which includes the &lt;&lt;encoding&gt;&gt; attribute set to 'UTF-8'.</p> <p>For further information please refer to section 3.3 in:</p> <p><a href="http://docs.oasis-open.org/bdxr/bdx-smp/v1.0/">http://docs.oasis-open.org/bdxr/bdx-smp/v1.0/</a></p>
Target	SMP REST binding
Prerequisite	<ul style="list-style-type: none"> <li>➤ DCP uses REST as a binding.</li> <li>➤ The recipient receives a business document returned by HTTP GET containing the requested Metadata in XML format.</li> </ul>
Expected Result	<ul style="list-style-type: none"> <li>➤ The document type declaration starts with '&lt;?xml'.</li> <li>➤ Version 1.0 of XML is used in the document.</li> <li>➤ The XML is well-formed according to the (XML 1.0) specification.</li> </ul> <p>For further information please refer to section 9.1.3.9 in the Digital Capability Publisher Implementation Guide published on the Accreditation Body's website:</p> <p><a href="http://digitalbusinesscouncil.com.au/digital-capability-publisher/">http://digitalbusinesscouncil.com.au/digital-capability-publisher/</a></p> <p>and Appendix C in:</p> <p><a href="http://docs.oasis-open.org/bdxr/bdx-smp/v1.0/">http://docs.oasis-open.org/bdxr/bdx-smp/v1.0/</a></p>
Prescription Level	Mandatory
Tag	REST binding, HTTP GET, XML format
Variable	N/A

TA Id	DCP_TA21
Requirement	<p>XML documents returned by HTTP GET MUST be well formed according to (XML 1.0) and MUST be UTF-8 encoded (Unicode).</p> <p>For further information please refer to section 3.3 in:</p>

Formatted: Font: 10 pt

TA Id	DCP_TA21
	<a href="http://docs.oasis-open.org/bdxr/bdx-smp/v1.0/">http://docs.oasis-open.org/bdxr/bdx-smp/v1.0/</a>
Target	SMP REST binding
Prerequisite	<ul style="list-style-type: none"> <li>➤ DCP uses REST as a binding.</li> <li>➤ The recipient receives a business document returned by HTTP GET containing the requested metadata in XML format.</li> </ul>
Expected Result	<p>The XML Document is utf-8 encoded (case sensitive)</p> <p>For further information please refer to section 9.1.3.9 in the Digital Capability Publisher Implementation Guide published on the Accreditation Body's website:</p> <p><a href="http://digitalbusinesscouncil.com.au/digital-capability-publisher/">http://digitalbusinesscouncil.com.au/digital-capability-publisher/</a></p> <p>For further information, please refer to the Unicode specification:</p> <p><a href="http://www.unicode.org/versions/Unicode7.0.0/">http://www.unicode.org/versions/Unicode7.0.0/</a></p>
Prescription Level	Mandatory
Tag	REST binding, HTTP GET, UTF-8 encoding
Variable	N/A

TA Id	DCP_TA22
Requirement	HTTP GET operations MUST return the status code 500 if the service experiences an 'internal processing error'.
Target	DCP REST binding
Prerequisite	<ul style="list-style-type: none"> <li>➤ DCP uses REST binding.</li> <li>➤ The sender requests metadata from the DCP but there is an internal processing error.</li> </ul>
Expected Result	<p>HTTP GET returns status code 500.</p> <p>For further information please refer to section 9 in the Digital Capability Publisher Implementation Guide published on the Accreditation Body's website:</p> <p><a href="http://digitalbusinesscouncil.com.au/digital-capability-publisher/">http://digitalbusinesscouncil.com.au/digital-capability-publisher/</a></p>

Formatted: Font: 10 pt



	For further information please refer to section 3.2 in:  <a href="http://docs.oasis-open.org/bdxr/bdx-smp/v1.0/">http://docs.oasis-open.org/bdxr/bdx-smp/v1.0/</a>
Prescription Level	Mandatory
Tag	REST binding, HTTP GET
Variable	N/A

TA Id	DCP_TA23
Requirement	<p>DCP publishing services <b>MUST NOT</b> produce metadata that contains extensions necessary for a client to understand in order to make use of this metadata. The ability to parse and adjust client behavior based on an extension element <b>MUST NOT</b> be a prerequisite for a client to locate a service, or to make a successful request at the referenced service.</p> <p>For further information please refer to section 9.2.2.1 in the Digital Capability Publisher Implementation Guide published on the Accreditation Body's website:</p> <p><a href="http://digitalbusinesscouncil.com.au/digital-capability-publisher/">http://digitalbusinesscouncil.com.au/digital-capability-publisher/</a></p> <p>and section 2.3.2 in:</p> <p><a href="http://docs.oasis-open.org/bdxr/bdx-smp/v1.0/">http://docs.oasis-open.org/bdxr/bdx-smp/v1.0/</a></p>
Target	Extension points
Prerequisite	<ul style="list-style-type: none"> <li>➤ The sender requests metadata from the DCP.</li> <li>➤ The metadata contains an extension element.</li> </ul>
Expected Result	The response does <b>not</b> contain an extension element with essential information for the client to be able to locate the service or to be able to use the metadata.
Prescription Level	Mandatory
Tag	Extension element
Variable	N/A

TA Id	DCP_TA24
Requirement	XML documents with only local names <b>MUST NOT</b> be referenced using

Formatted: Font: 10 pt

TA Id	DCP_TA24
	Service Metadata Publishing.
Target	Document identifiers
Prerequisite	The sender constructs a URL conforming to the URL Representation of Document Identifiers.
Expected Result	<p>The metadata returned by the DCP contains fully qualified names for Document Identifiers.</p> <p>For further information please refer to section 2.4.6 in:</p> <p><a href="http://docs.oasis-open.org/bdxc/bdx-smp/v1.0/">http://docs.oasis-open.org/bdxc/bdx-smp/v1.0/</a></p>
Prescription Level	Mandatory
Tag	Document identifiers, local names, Service Metadata Publishing
Variable	N/A

TA Id	DCP_TA25
Requirement	<p>For referencing the SMP REST binding, for example from Business Document Metadata Service Location records, the following identifier should be used for the version 1.0 of the SMP REST binding:</p> <p><a href="http://docs.oasis-open.org/bdxc/ns/SMP/2016/04">http://docs.oasis-open.org/bdxc/ns/SMP/2016/04</a></p>
Target	SMP REST BINDING
Prerequisite	<ul style="list-style-type: none"> <li>➤ DCP uses version 1.0 of the DCP REST binding</li> <li>➤ A BDXL record is present</li> </ul>
Expected Result	<p>The following identifier is used:</p> <p><a href="http://docs.oasis-open.org/bdxc/ns/SMP/2016/04">http://docs.oasis-open.org/bdxc/ns/SMP/2016/04</a></p> <p>For further information please refer to section 3.5 in:</p> <p><a href="http://docs.oasis-open.org/bdxc/bdx-smp/v1.0/">http://docs.oasis-open.org/bdxc/bdx-smp/v1.0/</a></p>
Prescription Level	Preferred
Tag	REST binding, BDXL
Variable	N/A

Formatted: Font: 10 pt

## ~~Schedule 5~~Schedule 4: Logo Use Rules

# Logo Use Rules

Formatted: Font: 10 pt

## Background

- A. The Accreditation Body is the exclusive owner of the right, title, interest and goodwill in the Logo.
- B. The Digital Capability Publisher Service Provider has been accredited by the Accreditation Body in connection with its Services in Australia pursuant to the Deed Poll.
- C. The Council has authorised the Digital Capability Publisher Service Provider to use the Logo on the terms and conditions set out in these Rules, in addition to the Deed Poll.

## Terms and Conditions

### 1 Definitions

#### 1.1 Deed Poll

A term defined in the Deed Poll has the same meaning in these Rules unless it is defined differently in these Rules.

#### 1.2 Definitions

In these Rules unless the context otherwise requires:

- (a) **ACCC** means Australian Competition and Consumer Commission;
- (b) **Business** means the business carried out by the Digital Capability Publisher Service Provider in Australia, as specified in **Item 3**;
- (c) **Competition and Consumer Act** means *Competition and Consumer Act 2010* (Cth);
- (d) **Item** means an item in the Annexure to these Rules;
- (e) **Logo** means the logo set out in Item 1;
- (f) **Party** means the Accreditation Body, the Council, or the ATO, or any combination of them or the Access Point Service Provider as the context requires and **Parties** is a reference to both;
- (g) **Personnel** means agents, contractors, directors, employees, subcontractors and officers;
- (h) **Rules** means these rules and includes the Annexure to it;
- (i) **Services** mean any and all of the classes of services specified in **Item 2**; and
- (j) **Term** means the term set out in **rule 2**.

#### 1.3 Interpretation

- (a) Unless the context suggests otherwise:
- (b) the interpretation provisions of the Deed Poll apply to these Rules; and
- (c) a reference to a clause is a reference to a clause of the Deed Poll, and a reference to a rule is a reference to a rule of these Rules.

Formatted: Font: 10 pt

## **2 Term**

---

### **2.1 Term**

- (a) These Rules shall commence on the Effective Date, and operate until any such time as the Deed Poll is terminated pursuant to clause 20 of the Deed Poll or otherwise comes to an end.
- (b) If the Digital Capability Publisher Service Provider has its participation under the Framework suspended pursuant to clause 15.2 of the Deed Poll, the licence granted by **rule 3.1** shall be suspended until such time, if any, as the suspension is lifted.

## **3 Licence**

---

### **3.1 Licence**

Subject to the terms of these Rules, the Council grants to the Digital Capability Publisher Service Provider for the Term a non-exclusive, non-assignable, royalty-free licence to use the Logo in Australia for its Business in relation to the Services.

### **3.2 Digital Capability Publisher Service Provider is independent**

The business of the Digital Capability Publisher Service Provider is independent from the business of the Council and the Deed Poll and these Rules do not constitute, and shall not be interpreted as, an agency, partnership, joint venture or franchise arrangement between the Digital Capability Publisher Service Provider and the Accreditation Body.

### **3.3 Unauthorised representations**

The Digital Capability Publisher Service Provider must not represent that it has the authority to act on behalf of the Council either in the capacity of a partner or agent, nor that either Party is a joint venturer, employer or fiduciary of the other.

## **4 Digital Capability Publisher Service Provider's obligations and acknowledgements**

---

### **4.1 Use of Logo**

The Digital Capability Publisher Service Provider agrees to use the Logo solely in accordance with the terms of the Deed Poll and these Rules.

### **4.2 Accreditation Body's Title**

- (a) The Digital Capability Publisher Service Provider acknowledges the Council's title to the Logo in Australia and undertakes not to take any action which would or might:
- (b) invalidate, challenge, oppose or otherwise put in dispute the Accreditation Body's title to the Logo;
- (c) assert any right to or over the Logo in any manner inconsistent with the Digital Capability Publisher Service Provider's rights under the Deed Poll or these Rules;
- (d) take or appropriate the Logo as its own;
- (e) put the Accreditation Body's rights into disrepute; or
- (f) cause, permit or assist any other person directly or indirectly in the acts described in **rules 4.2(b) to 4.2(e)**.

Formatted: Font: 10 pt

#### **4.3 Identical or similar marks**

The Digital Capability Publisher Service Provider undertakes not to register or attempt to register any trade marks that are substantially identical or deceptively similar to the Logo.

#### **4.4 Maintenance of value**

The Digital Capability Publisher Service Provider must use its best endeavours to preserve the value, validity, integrity and reputation of the Logo and in particular must:

- (a) endeavour to create, promote and retain the goodwill in the Accreditation Body relating to the supply or provision of the Services;
- (b) use the Logo in the same form as shown in the Annexure; and
- (c) not act in any manner or engage in any conduct that may adversely affect the reputation of the Accreditation Body or its services provided.

#### **4.5 Council's directions**

The Digital Capability Publisher Service Provider shall comply with any reasonable directions of the Accreditation Body regarding the use of the Logo.

#### **4.6 Sublicensing**

The Digital Capability Publisher Service Provider shall not grant or sublicense any of its rights under these Rules to a third party. This includes, but is not limited to, sponsorship and partnership arrangements.

#### **4.7 No additions**

- (a) The Digital Capability Publisher Service Provider shall not make any additions to the form of the Logo.
- (b) Notwithstanding **rule 4.7(a)**, if any additions are made to the Logo, the rights and title in the additions shall vest in the Accreditation Body.

#### **4.8 Proprietary statements**

The Digital Capability Publisher Service Provider shall ensure that:

- (a) if the Logo is a registered trade mark with IP Australia, all uses of the Logo include the registered trade mark symbol (®); and
- (b) if the Logo is not a registered trade mark with IP Australia, all uses of the Logo include the unregistered trade mark symbol (™).

#### **4.9 Compliance with laws**

The Digital Capability Publisher Service Provider shall ensure that no material using the Logo contravenes any laws in force, including but not limited to the Competition and Consumer Act or similar legislation in any jurisdiction, or guidelines produced by the ACCC.

#### **4.10 Termination of Deed Poll**

- (a) If the Deed Poll is terminated or ends:
- (b) the Digital Capability Publisher Service Provider must immediately cease all use of:
  - (i) the Logo; and
  - (ii) any material which bears the Logo; and

Formatted: Font: 10 pt

- (c) the Accreditation Body may require the Digital Capability Publisher Service Provider to destroy any material bearing the Logo, at the Digital Capability Publisher Service Provider's cost.

## 5 Quality Control of Services

- (a) From time to time, but in any case not less than once every six (6) months throughout the Term, the Digital Capability Publisher Service Provider must, at its own expense, submit to the Accreditation Body samples of any and all promotional material, advertising, products and/or stationery in or on which the Logo is used that have not been previously provided to the Accreditation Body.
- (b) For the avoidance of doubt, **rule 5(a)** does not extend to any material that has only been used internally and has not been exposed to the public or third parties.
- (c) For the purposes of **rule 5(a)**, where the same template has been used for more than one piece of material, with the use of the Logo remaining the same and only other details changed, it is acceptable to only provide the template.

## 6 Infringement Proceedings

### 6.1 Protection

The Digital Capability Publisher Service Provider undertakes to the Accreditation Body that it shall do all things reasonably necessary to protect the Logo against deregistration or infringement, as well as to maintain the integrity of the Logo.

### 6.2 Receipt of notice

- (a) In the event that:
  - (i) the Digital Capability Publisher Service Provider receives notice of any infringement or threatened infringement of the Logo or any common law passing off by reason of imitations or otherwise; or
  - (ii) any third party alleges or claims that the Logo is liable to cause deception or confusion to the public,
- (b) then the Digital Capability Publisher Service Provider must immediately notify the Accreditation Body, giving particulars and providing all information and assistance to the Accreditation Body -in the event that the Accreditation Body commences or defends proceedings in relation to the above claims or infringements. Any such proceedings will be under the control and at the expense of the Accreditation Body.
- (c) The Digital Capability Publisher Service Provider shall not commence any legal action towards infringement or threatened infringement of the Logo unless otherwise agreed to in a written document signed by the Parties.

## 7 Indemnity

### 7.1 Digital Capability Publisher Service Provider must keep Accreditation Body indemnified

The Digital Capability Publisher Service Provider must at all times keep the Accreditation Body or its Personnel indemnified from and against all claims, demands, actions, proceedings or prosecutions:

Formatted: Font: 10 pt

- (a) which may be brought, commenced or prosecuted against the Accreditation Body or its Personnel, or both; or
- (b) in which the Accreditation Body or its Personnel may be involved in consequence of or relating to the breach of these Rules by the Digital Capability Publisher Service Provider.

## 7.2 Costs, damages and expenses

The indemnity in this **rule 7** shall extend to all costs, damages and expenses incurred by the Accreditation Body or its Personnel, whether direct or indirect, as a result of the Digital Capability Publisher Service Provider's breach of these Rules.

## 8 Any Breach

### 8.1 Notice to Rectify Breach

- (a) If the Digital Capability Publisher Service Provider commits a breach of these Rules, the Accreditation Body may serve it with a written notice to rectify the breach.
- (b) A notice under rule 8.1(a) must:
  - (i) state that it is a notice given under rule 8.1(a);
  - (ii) specify the alleged breach with reasonable details;
  - (iii) require the Digital Capability Publisher Service Provider to rectify the breach; and
  - (iv) specify a date (which must not be fewer than ten (10) Business Days after the notice is served) by which the Digital Capability Publisher Service Provider must rectify it.

### 8.2 The Accreditation Body -may Terminate

If the Digital Capability Publisher Service Provider, after receiving a notice under **rule 8.1(a)**, fails to rectify the breach within the time specified in the notice, the Accreditation Body may, by further written and signed notice, terminate the licence given under **rule 3.1** immediately.

### 8.3 Termination Without Notice for Revocation

- (a) If the Deed Poll is terminated pursuant to clause 20 of the Deed Poll or otherwise ends, the licence given under **rule 3.1** shall be terminated immediately.

### 8.4 Suspension

If the Digital Capability Publisher Service Provider is suspended from participation in the Framework pursuant to clause 16.2 of the Deed Poll, the licence given under **rule 3.1** shall be suspended until any such time as the suspension from participation in the Framework is lifted.

## 9 Dispute Resolution

Any disputes arising in connection with these Rules shall be dealt with pursuant to clause 19 of the Deed Poll.



## Annexure A    Particulars

No.	Item	Particulars
1.	Logo (Clause 1.2(e))	
2.	Services (Clause 1.2(i))	
3.	Business description (Clause 1.2(b))	

Formatted: Tab stops: 6.56 cm, Left

Formatted: Font: 10 pt