DIGITAL BUSINESS NETWORKS ALLIANCE™

Policy for Registration of Participants

Version 1.0

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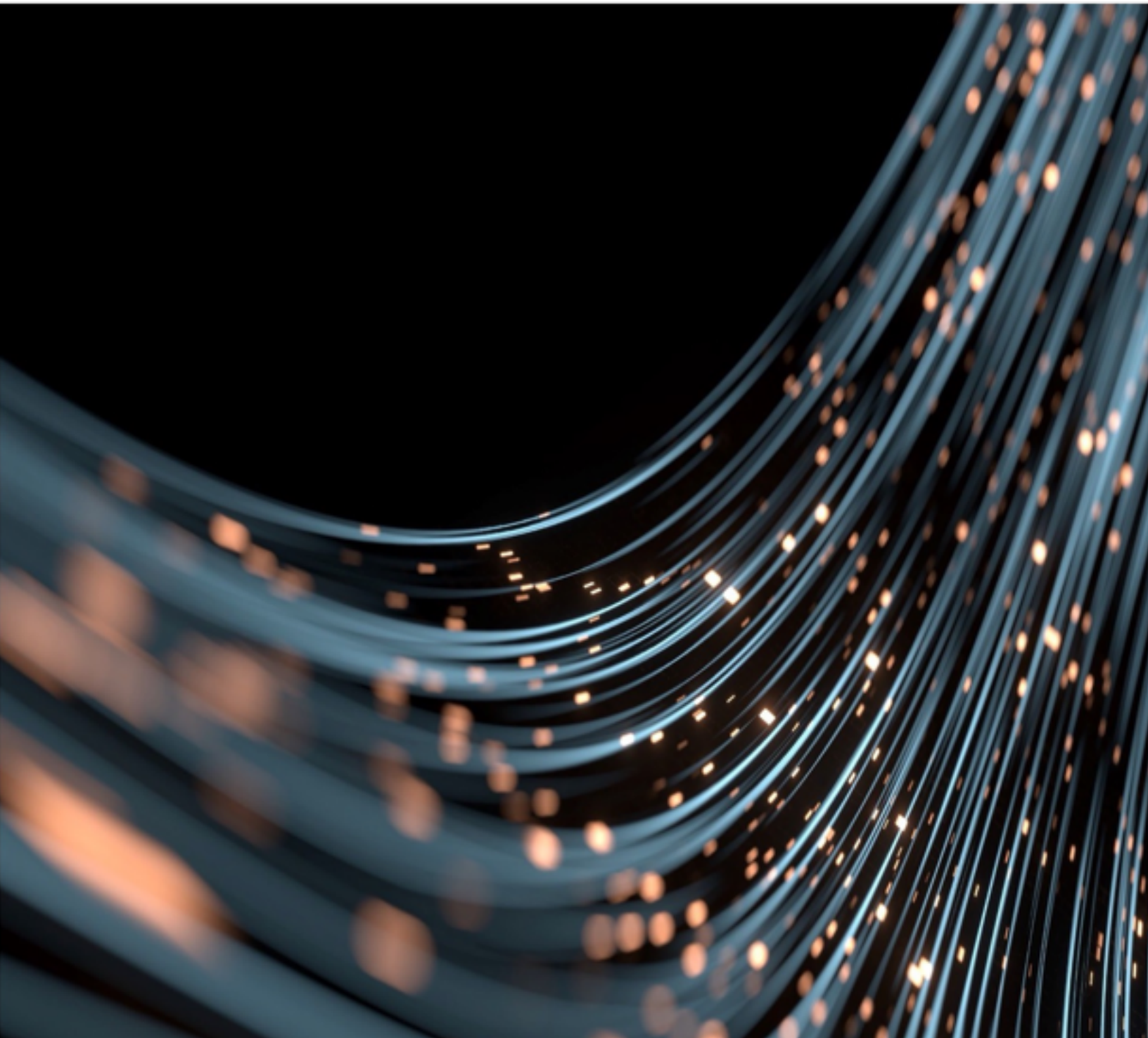

1 Table of Contents

1 Table of Contents 2
2 Version History 3
3 Introduction 3
3.1 Background 3
3.2 Scope 3
3.3 Conformance 3
3.4 Terms and Definitions 4
3.5 Disclaimers and Copyright 4
4 The Registration and SML Services 5
4.1 Process for registration of entries in the Registry 5
4.1.1 Overview 5
4.1.2 Roles involved in the Registration Process 5
4.2 Ownership of Record 6
5 Registrar Eligibility Requirements 7
5.1 Accreditation of Registrars 7
5.1.1 Obtaining and maintaining accreditation 7
5.1.2 Termination of accreditation 7
5.2 Run-in period 7

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2 Version History

Revision date	Version	Change description	Editor
07/20/2023	1.0	Initial version	BPC Interim Oversight Committee

3 Introduction

3.1 Background

The DBNAlliance' Exchange Framework facilitates the exchange of electronic business documents by registered Participants over a secure and reliable network. This exchange is carried out through Access Points, primarily operated by third-party service providers. For two Participants to exchange information, the Access Point of the sending Participant must be able to locate the receiving Participant and its Access Point. Participants therefore need to be discoverable in the Exchange Framework SML Registry, which requires Registration.

Registration Services are provided by one or more Registrars, accredited by the DBNAlliance. As part of the Registration, Registrars must validate the identity of Participants to ensure the veracity and integrity of information submitted to the Registrar and stored in the SML Registry. Participants are the owners of their registration information.

Registrars play a key role in the Exchange Framework and must adhere to defined and strict organizational and information security requirements appropriate to their function. Consequently, policies for governance of the Exchange Framework must include controls for supervising and auditing the Registrars; guiding principles and specific recommendations for this aspect are presented below in section 5.1.

3.2 Scope

This document serves as the policy document for all matters related to the operation of the registration and the SML Registry, including the requirements for organizations which seek to become a Registrar.

Technical architecture and specifications of the SML Registry, as well as services and procedures for interoperation and cooperation between Registrars are beyond the scope of this document and are defined in separate documents.

3.3 Conformance

The keywords 'MUST', 'MUST NOT', 'REQUIRED', 'SHALL', 'SHALL NOT', 'SHOULD', 'SHOULD NOT', 'RECOMMENDED', 'MAY', and 'OPTIONAL' in this specification are to be interpreted as described in RFC2119 and RFC 8174 when, and only when, they appear in all capitals, as shown here.

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3.4 Terms and Definitions

For the purpose of this policy document, all terms shall have the definitions defined in the document Terms and Definitions of the DBNAlliance version 1.0.

3.5 Disclaimers and Copyright

Views expressed here are not necessarily those of, and should not be attributed to, any particular DBNAlliance participant or organization. They are not intended to provide business or legal advice, nor are they intended to promote or advocate a specific action, payment strategy, or product. Readers should consult with their own business and legal advisors.

This specification is the work product of the DBNAlliance, and readers are free to republish this specification in whole or in part without further permission, as long as the work is attributed to the DBNAlliance, and in no way suggests the DBNAlliance sponsors, endorses or recommends any organization or its services or products. Other product names and company names referenced within this document may be either trademarks or service marks of their respective owners.

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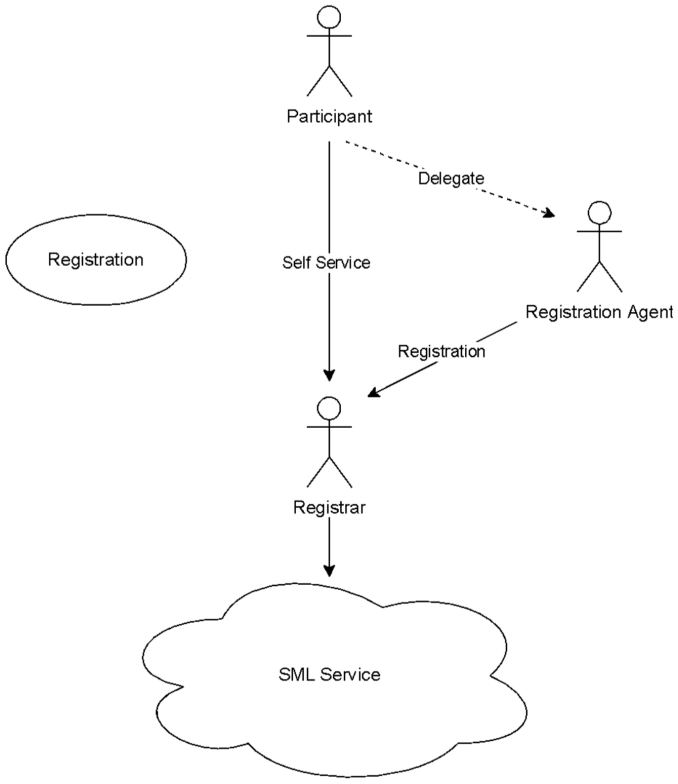
4 The Registration and SML Services

4.1 Process for registration of entries in the Registry

4.1.1 Overview

The registration process begins when a Participant determines a requirement to be registered in the Exchange Framework. Participants will have multiple options for Registration. For example, they may select and use Self-service Registration whereby the Participant interfaces directly with a Registrar for Registration Services. Alternatively, the Participant may select to delegate the registration process to a Registration Agent. In this model, the Registration Agent acts as the intermediary and coordinates the registration with the Registrar.

It is the Registrars who are responsible for entering and maintaining all Participant data in the SML Registry, and for facilitating Participant discovery by operating the SML Service. The two Registration options previously mentioned provide Participants with both the convenience of being able to delegate the process to a specialized agent while at the same time ensuring that ownership of the registration information is maintained and controlled by the Participant.



4.1.2 Roles involved in the Registration Process

4.1.2.1 Participant

A Participant in the Exchange Framework is defined above and is any entity that uses the Exchange Framework to either send or receive electronic business documents. The purpose of

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Registration is to make Participants discoverable in the network so that they can receive business documents from other Participants. To register in the network, a Participant may select either a Self-service model or to delegate registration to a Registration Agent. Participants may choose how and by who their Registration within the Exchange Framework is performed and managed over time.

4.1.2.2 Registrar

In the Exchange Framework, to enable the dynamic discovery of receiving Participants within the network, they must be registered in the SML Registry. This registration is accomplished through one or more Registrars accredited by the DBNAlliance. Registrars must meet all requirements, as developed by the DBNAlliance and subject to the governance processes of the Exchange Framework.

Registrars are responsible for performing Know Your Customer (KYC) and other validations to ensure network integrity and to prevent fraudulent actors from gaining access to the network.

4.1.2.3 Registration Agent

Participants may choose a Registration Agent to be the interface to the Registrar, such as when the Participant wants to delegate the business and technical aspects of the registration process. The role of the Registration Agent is to provide the Registrar with all the required information for the registration on behalf of the Participant and to respond to inquiries and requests for information to complete the validation and KYC processes. Regardless of whether the registration is achieved through a Registration Agent or directly by the Participant, the Registrar is still responsible for validating the information, such as the identity of the Participant, and for other all other aspects described in 4.1.2.2, as well as to validate that the Registration Agent has the required authority to act on behalf of the Participant. A Registration Agent may also be an Access Point, an SMP service provider, or a separate party that is acting on behalf of a participant.

4.2 Ownership of Record

Participants are the owners of their registration information. All record-keeping in relation to a Participant is either explicitly based on direct instructions of a Participant or is carried out with their express consent.

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5 Registrar Eligibility Requirements

5.1 Accreditation of Registrars

5.1.1 Obtaining and maintaining accreditation

Accredited Registrars may administer the registration service, manage the relevant infrastructure, and provide access-to-data services to Participants. Accreditation of Registrars is conducted by the DBNAlliance and is based on the Registrar's ability to demonstrate conformance with the requirements defined in this policy document.

To obtain accreditation, Registrars must be able to document that they possess the required capacity, have implemented the necessary controls, and otherwise conform to all organizational, technical, and other requirements for operating as a Registrar. Documentation must be submitted to the DBNAlliance and must be independently verified or verifiable.

To maintain accreditation, Registrars must continue to comply with all requirements and obligations as expressed in this document. Documentation of ongoing compliance is reviewed annually by the DBNAlliance and must be submitted by the Registrar in the form of audited accounts of the Registrar's information security certification and management system.

5.1.2 Termination of accreditation

The accreditation of a Registrar may be terminated, either by request of the Registrar or by the DBNAlliance because of failure to comply with requirements and obligations.

Upon termination of accreditation, the remaining Registrars must revoke the former Registrar's access to the SML Registry, as well as remove all services associated with the former Registrar from the Exchange Framework.

5.2 Run-in period

For the first 12-months of the Exchange Framework being in production, the DBNAlliance will itself function as the initial Registrar. This run-in period will allow the Exchange Framework to grow so that it can sustain the business of Registrars, and may be extended if no qualified Registrar has applied for accreditation and is ready to operate within the run-in period.

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