

## *Task Force Application Form*

*Please use this form to submit a request to create a new task force within the Helix Nebula initiative. The rules for creating and operating a task force are explained in the HNI governance rules document.*

**Title:** *Independence of the broker(s)*

**Participants:** *See list in Annex*

**Leader:** *Maryline Lengert, ESA*

**Duration:** *12 months*

**Description:** *Develop an operating model that allows market place participants and broker(s) to participate to Helix Nebula value-chain in an open and transparent way, building on fair competition.*

### **Objectives:**

	<b>Objective</b>	<b>Implementation</b>
<b>1</b>	Definition of Broker and marketplace with clear distinction of the respective roles between broker, marketplace operator and orchestrator.	Clarify definition and the role of broker with regards to marketplace operator and orchestrator
<b>2</b>	Definition of interfaces and criteria for independency	Transparency, reporting, traceability, auditing, control. Develop a Charter of conduct with best practices.
<b>3</b>	Funding scheme, compatibility with business model ensuring growth (money given to broker and market place is considered a good investment)	Agreed business model (including an agreement on broker percentage visibility or not), traceable impact
<b>4</b>	Definition of the entry process as a broker within HNI and operating rules	Produce of the documentation supporting the process as well as clear and easily understandable rules for operating on the marketplace

### *Expected Output:*

Output	Description	Due date
Structure, concept and rules	Approved overall structure, concept and rules of the brokering function within the marketplace	M0+6
Initialisation phase	<ul style="list-style-type: none"><li>• Phase-in of brokers and validation of the approved structure and concept,</li><li>• clear idea on how the initialisation is funded and how impact is measured ,</li><li>• strong focus on cash-flow, providing evidence that market place is working and new business is being created involving SMEs</li><li>• engaging funding schemes, targeting the implementation of the EC Smart Specialization Strategy<sup>1</sup> - S3 (e.g. structural funds, ....)</li><li>• identification of initialization investment or initial anchor customer / projects.</li></ul>	M0+8
Operation readiness	Operational: <ul style="list-style-type: none"><li>• Budget / accounting management system in place</li><li>• Recognized market place for EIT – labs/KIC and S3 implementation bodies</li></ul>	M0+12

Some material below to start the discussion.

#### **Marketplace:**

an Open Environment where data, knowledge, communities, services, IPRs fairly compete for recognition and value, as an interpreter of supply and demand.

#### **Marketplace Operator:**

The marketplace operator is responsible for facilitating the transactions that occur through the online marketplace, including making mass payments to the supplier providing services through the marketplace, who are tasked with fulfilling the orders. It is the marketplace operator's duty to oversee and enable all transactions and to ensure that the funds are being sent effectively to the right suppliers.<sup>2</sup>

#### **Orchestrator:**

"an orchestrator" is the entity that manages complex cross domain (system, enterprise, firewall) processes, and that handles exceptions. Since an orchestrator is valuable in the fulfilment, assurance as well as billing processes, service-aware incarnations of an

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<sup>1</sup> [http://ec.europa.eu/regional\\_policy/sources/docgener/informat/2014/smart\\_specialisation\\_en.pdf](http://ec.europa.eu/regional_policy/sources/docgener/informat/2014/smart_specialisation_en.pdf)

<sup>2</sup> <http://www.tipalti.com/customers/online-marketplaces-tipalti/what-is-an-online-marketplace/>

orchestrator should be capable of adjustments based on feedback from monitoring tools. At the most basic level, an orchestrator is a human.<sup>3</sup>

**Broker:**

The role of a firm when it acts as an agent for a customer and charges the customer a commission for its services.<sup>4</sup>

A broker is an independent agent used extensively in some industries. A broker's prime responsibility is to bring sellers and buyers together and thus a broker is the third-person facilitator between a buyer and a seller. Brokers can also act as service integrator with SLA responsibility and/or furnish market information regarding prices, products, and market conditions. Brokers may represent either the seller (90% of the time) or the buyer (10%) but not both at the same time.<sup>5</sup>

**Some input on Independence of Broker** (extract from [http://www.ndti.org.uk/uploads/files/broker\\_independence.pdf](http://www.ndti.org.uk/uploads/files/broker_independence.pdf))

The independence of brokers is a very important step towards achieving a system that has role clarity: a system in which each 'player' is driven by a single set of interests or responsibilities, and where the other players know what these interests are. Or, in plain language, everyone knows where everyone else 'is coming from'

Brokers are providing a service, and this constrains their activities in several ways:

- The nature of the role of broker puts boundaries on the range of activities that are appropriate.
- The broker is accountable to whom they are providing the service, so the activities they undertake must be within the limits agreed with the individual.
- There are fundamental ethical standards that apply to the role of the broker
- The broker, even when dependent, is a part of the larger system. They will be able to act more effectively if they are recognised as competent, trustworthy, and useful.

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<sup>3</sup> [https://en.wikipedia.org/wiki/Orchestration\\_\(computing\)](https://en.wikipedia.org/wiki/Orchestration_(computing))

<sup>4</sup> <http://www.investopedia.com/terms/b/broker.asp#ixzz3x2eFkzWP>

<sup>5</sup> <https://en.wikipedia.org/wiki/Broker>

## Annex. Participants to the TF

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