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Electronic Signatures and Infrastructures (ESI) - Electronic Registered Delivery Services - Part 1: Framework and Architecture

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This European Standard (EN) has been produced by ETSI Technical Committee Electronic Signatures and Infrastructures (ESI).

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The present document is part 1 of a multi-part deliverable covering the Electronic Registered Delivery Services, as identified below:

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Part 1: **"Framework and Architecture";**

Part 2: "Semantic contents";

Part 3: "Formats";

Part 4: "Bindings":

Sub-part 1: "Message delivery bindings";

Sub-part 2: "Evidence and identification bindings";

Sub-part 3: "Capability/requirements bindings".

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Date of withdrawal of any conflicting National Standard (dow):	31 May 2019

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1 Scope

The present document provides a reference framework and architecture for Electronic Registered Delivery Services.

2 References

2.1 Normative references

References are either specific (identified by date of publication and/or edition number or version number) or non-specific. For specific references, only the cited version applies. For non-specific references, the latest version of the referenced document (including any amendments) applies.

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Not applicable.

2.2 Informative references

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The following referenced documents are not necessary for the application of the present document but they assist the user with regard to a particular subject area.

[i.1] Regulation (EU) No 910/2014 of the European Parliament and of the Council of 23 July 2014 on electronic identification and trust services for electronic transactions in the internal market and repealing Directive 1999/93/EC.

[i.2] ISO/IEC 13888-1:2009: "Information technology - Security techniques - Non-repudiation - Part 1: General".

[i.3] ISO/IEC 13888-2:2010: "Information technology - Security techniques - Non-repudiation - Part 2: Mechanisms using symmetric techniques".

[i.4] ISO/IEC 13888-3:2010: "Information technology - Security techniques - Non-repudiation - Part 3: Mechanisms using asymmetric techniques".

[i.5] ETSI EN 319 522-2: "Electronic Signatures and Infrastructures (ESI); Electronic Registered Delivery Services; Part 2: Semantic Contents".

[i.6] ETSI EN 319 522-3: "Electronic Signatures and Infrastructures (ESI); Electronic Registered Delivery Services; Part 3: Formats".

[i.7] ETSI EN 319 522-4-1: "Electronic Signatures and Infrastructures (ESI); Electronic Registered Delivery Services; Part 4: Bindings; Sub-part 1: Message delivery bindings".

[i.8] ETSI EN 319 522-4-2: "Electronic Signatures and Infrastructures (ESI); Electronic Registered Delivery Services; Part 4: Bindings; Sub-part 2: Evidence and identification bindings".

3   Definitions and abbreviations

3.1   Definitions

For the purposes of the present document, the following terms and definitions apply:

Common Service Interface (CSI): interface of a supporting system that can provide message routing, trust management, capability management, governance functions

consignment: act of making the user content available to the recipient, within the boundaries of the electronic registered delivery service

Electronic Registered Delivery Service (ERDS): electronic service that transmits data between a sender and recipients by electronic means, provides evidence relating to the handling of the transmitted data, including proof of sending and receiving the data, and that protects transmitted data against the risk of loss, theft, damage or any unauthorized alterations

> NOTE: An electronic registered delivery service is provided by one ERDSP. ERDSPs can cooperate in transferring data from a sender to a recipient when they are subscribed to different ERDSPs (as detailed in 4-corner and extended models in clauses 4.3 and 4.4).

Electronic Registered Delivery Service Provider (ERDSP): entity which provides electronic registered delivery service

> NOTE: It can be a Trust Service Provider as defined in Regulation (EU) No 910/2014 [i.1].

ERD event: relevant event in the electronic delivery process, which can be attested by an ERDS evidence

ERD message: data composed of an optional user content, ERDS relay metadata and zero or more ERDS evidence

ERD User Agent/Application (ERD-UA): system consisting of software and/or hardware components by which senders and recipients participate in the exchange of data with electronic registered delivery service providers

ERDS evidence: data generated by the electronic registered delivery service, which aims to prove that a certain event has occurred at a certain time

ERDS handover metadata: data related to the user content which is generated by the electronic registered delivery service and handed over to the ERD user agent/application

ERDS Message and Evidence Retrieval Interface (ERDS MERI): interface of electronic registered delivery service used by ERD user agent/application to retrieve user content and associated metadata

ERDS Message Submission Interface (ERDS MSI): interface used by the sender's ERD user agent/application to submit original messages to the sender's electronic registered delivery service

ERDS Relay Interface (ERDS RI): interface that supports ERD message relay between different electronic registered delivery services

ERDS relay metadata: data related to the user content which is generated by the electronic registered delivery service for the purpose of relaying to another electronic registered delivery service

ERD-UA Message and Evidence Push Interface (ERD-UA MEPI): interface of ERD-UA used by ERDS to push data

handover: act of having the user content successfully cross the border of the recipient's electronic registered delivery service towards the recipient's ERD user agent/application

original message: data including user content and submission metadata

recipient: natural or legal person to which the user content is addressed

sender: natural or legal person that has submitted the user content

submission metadata: data submitted to the electronic registered delivery service together with the user content

user content: original data produced by the sender which has to be delivered to the recipient

3.2 Abbreviations

For the purposes of the present document, the following abbreviations apply:

CSI	Common Service Interface
DNS	Domain Name System
ERD	Electronic Registered Delivery
ERDS	Electronic Registered Delivery Service
ERDS MERI	ERDS Message and Evidence Retrieval Interface
ERDS MSI	ERDS Message Submission Interface
ERDS RI	ERDS Relay Interface
ERDSP	Electronic Registered Delivery Service Provider
ERD-UA MEPI	ERD-UA Message and Evidence Push Interface
ERD-UA	Electronic Registered Delivery User Agent/Application
ERP	Enterprise Resource Planning
I-ERDS	Intermediate ERDS
R-ERDS	Recipient's ERDS
SAML	Security Assertion Markup Language
S-ERDS	Sender's ERDS
WSDL	Web Services Description Language

4 ERDS logical model

4.1 Introduction

An ERDS provides evidence about events that happen during the transfer of data between parties (e.g. evidence that the data has been delivered to the recipient), similar to well-known physical postal services for paper-based documents, such as "registered mail" and/or "return receipt". This evidence can be used to prove to third parties, if needed also in legal proceedings, that the transaction took place at the time and between the parties as indicated in the evidence. The legal requirements to an ERDS and the evidence it needs to support can vary across different domains.

An **ERDS evidence** is an **attestation** provided by an ERDS **that a specific event** related to the process of transferring some specific data between the sender and recipient (for instance, the submission of a message, the delivery of a message, the refusal of a message) **happened at a certain time**. An ERDS evidence can be immediately delivered to the sender/recipient or can be kept in a repository for later access by interested parties. It is common practice to implement ERDS evidence as digitally signed data. The concept of ERDS evidence can be assimilated to non-repudiation tokens defined in ISO/IEC 13888 [i.2], [i.3] and [i.4], with many specificities as illustrated in clause 6. Secure and reliable delivery to a recipient requires that the recipient is uniquely identified. The present document also covers the unique identification of the sender (which is a requirement, for instance, for enforcing legal accountability), even if in some cases his identity is not disclosed to the recipient. Unique identification can be achieved by one unique identifier or by a collection of attributes that together uniquely identify the actor. An important purpose of the present document is to support ERDS delivery between senders and recipients that are natural or legal persons; however, in principle any uniquely identified entity (system, service, function, etc.) that can be addressed through an ERDS can be a sender or recipient. The present document also addresses delegation, i.e. the capability of a sender or a recipient to delegate a different entity to act on their behalf. An ERDS can rely on external, trusted parties for authentication.

The ERDS concept described above can be implemented in diverse ways, using different formats for identifiers and ERDS evidence, using different protocols for messaging, and even different message delivery models. Clause 4 aims to provide a general model that includes all relevant features, while abstracting from implementation issues. For convenience, the modelling goes through three steps:

- A black-box model, dealing with a single ERDS. Internal complexities of the ERDS are not relevant as far as it can be seen as a unique system under the responsibility of a single ERDSP. The black-box model describes the interactions of the ERDS with the sender and recipients through an application layer outside of the boundary of the ERDS.

- A 4-corner model, dealing with the exchange of data and ERDS evidence between two ERDSs: one on the sender's side, the other on the recipient's side. The interaction of the ERDSs with the sender and recipient (interfaces) are the same as in the black-box model.

- An extended model, dealing with the transmission of data and ERDS evidence through a chain of ERDSs.

4.2   Black-box model

4.2.1   Functional viewpoint

In the simplest case, an ERDS can be represented as a black box, conveying messages between a sender and a recipient and producing the appropriate ERDS evidence. Figure 1 provides a simple representation.
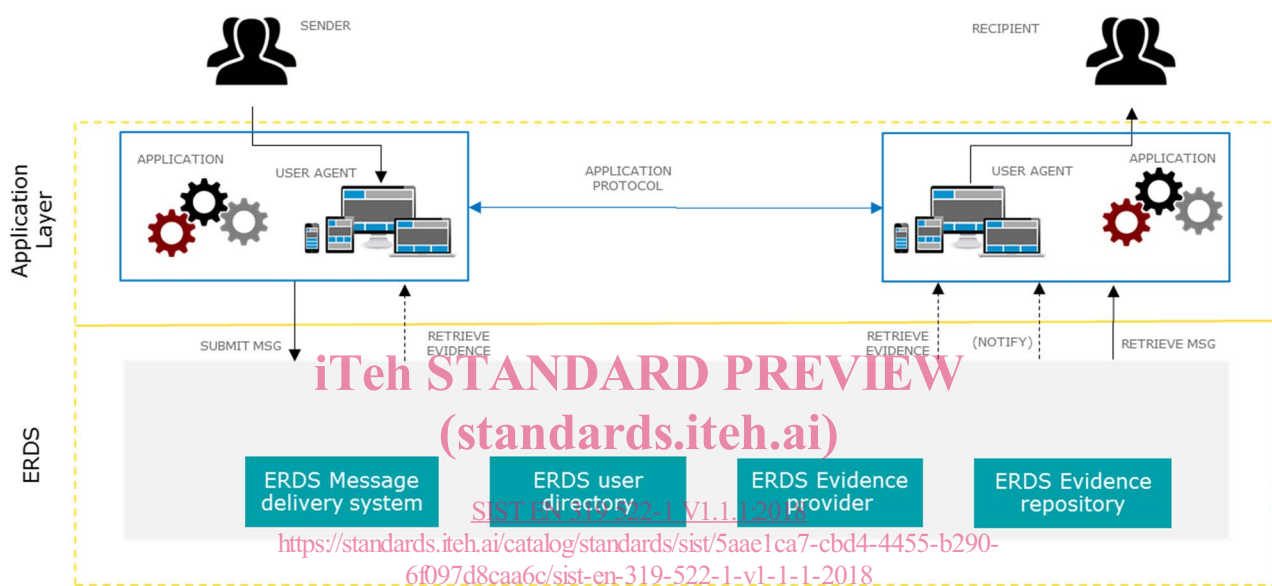
Figure 1: Black-box registered delivery service model

ERDS can be accessed by an ERD-UA, i.e. an application directly interacting with a human user or an enterprise application (an ERP, a document workflow, etc.) with or without involvement of a human user. ERDS allows to submit/receive user content plus associated metadata and to receive ERDS evidence related to the delivery process. The sender provides unique identification of the recipient, and the ERDS associates it to the correct delivery endpoint.

Between applications, an application layer protocol (e.g. a business process protocol) is executed, consisting of a sequence of one or more messages in one or both directions. Applications can belong to service providers within particular (business) areas (e.g. an e-procurement service provider or an e-health service provider). An application layer protocol can include requirements and mechanisms for application of digital signatures to message content before sending, for end-to-end encryption between sender and recipient, etc. The application protocol is out of scope of the ERDS, which needs not to possess knowledge of the application layer logic nor the relationships between different messages. From the ERDS point of view, the application-level service providers will act in this case as a sender/recipient. The ERD-UA will submit the user content, together with additional metadata (receiver identification, etc.) to the ERDS.

Breaking into the black box, figure 1 introduces some components which are typically included in an ERDS, namely:

- **ERDS Message delivery system:** this component grants that the user content submitted by the sender is made available to the intended recipient. Note that this does not necessarily imply a transfer of the data (e.g. the delivery can consist in making existing data available to the recipient).

- **ERDS User directory:** this component is used to translate the unique identification of a recipient, possibly augmented by further metadata, into a delivery endpoint. The same recipient can correspond to more delivery endpoints, depending on metadata (e.g. user content and evidence, or even different types of user content, can be directed to different endpoints).