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**Elektronski podpisi in infrastruktura (ESI) - Storitve priporočene elektronske pošte (REM) - 4. del: Profili medobratovalnosti**

Electronic Signatures and Infrastructures (ESI) - Registered Electronic Mail (REM) Services - Part 4: Interoperability profiles

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**Electronic Signatures and Infrastructures (ESI);  
Registered Electronic Mail (REM) Services;  
Part 4: Interoperability profiles**

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## Foreword

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This draft European Standard (EN) has been produced by ETSI Technical Committee Electronic Signatures and Infrastructures (ESI), and is now submitted for the combined Public Enquiry and Vote phase of the ETSI standards EN Approval Procedure.

The present document is part 4 of a multi-part deliverable. Full details of the entire series can be found in part 1 [4].

### Proposed national transposition dates

Date of latest announcement of this EN (doa):	3 months after ETSI publication
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## Modal verbs terminology

In the present document "**shall**", "**shall not**", "**should**", "**should not**", "**may**", "**need not**", "**will**", "**will not**", "**can**" and "**cannot**" are to be interpreted as described in clause 3.2 of the [ETSI Drafting Rules](#) (Verbal forms for the expression of provisions).

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## Introduction

Registered Electronic Mail (REM) is a particular instance of An Electronic Registered Delivery Service (ERDS). Standard email, used as a backbone, makes interoperability smooth and increases usability. At the same time, the application of additional security mechanisms ensures integrity, confidentiality and non-repudiation (of submission, consignment, handover, etc.). It protects against the risk of loss, theft, damage and any illegitimate modification. The present document covers the common and worldwide-recognized requirements to address electronic registered delivery securely and reliably. Particular attention is paid to the Regulation (EU) No 910/2014 [i.1]. However, the legal effects are outside the scope of the present document.

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# 1 Scope

The present document specifies the interoperability profiles of the Registered Electronic Mail (REM) messages according to the formats defined in ETSI EN 319 532-3 [6] and the concepts and semantics defined in ETSI EN 319 532-1 [4] and ETSI EN 319 532-2 [5]. It deals with issues relating to authentication, authenticity and integrity of the information, with the purpose to address the achievement of interoperability across REM service providers, implemented according to the aforementioned specifications.

The present document covers all the options to profile REM services for both styles of operation: S&N and S&F.

The mandatory requirements defined in the aforementioned referenced REM services specifications are not normally repeated here, but, when necessary, the present document contains some references to them.

More specifically, the present document:

- a) Defines generalities on profiling.
- b) Defines constraints for SMTP profile.

The present document also specifies a REM baseline supporting the technical interoperability amongst service providers in different regulatory frameworks.

NOTE: Specifically but not exclusively, REM baseline specified in the present document aims at supporting implementations of interoperable REM services by use of Trusted List Frameworks to constitute Trusted domains and qualified REM services (instances of electronic registered delivery services) by use of EU Trusted List system as per Regulation (EU) No 910/2014 [1].

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# 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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The following referenced documents are necessary for the application of the present document.

- [1] ETSI EN 319 522-1: "Electronic Signatures and Infrastructures (ESI); Electronic Registered Delivery Services; Part 1: Framework and Architecture".
- [2] ETSI EN 319 522-2: "Electronic Signatures and Infrastructures (ESI); Electronic Registered Delivery Services; Part 2: Semantic Contents".
- [3] ETSI EN 319 522-3: "Electronic Signatures and Infrastructures (ESI); Electronic Registered Delivery Services; Part 3: Formats".
- [4] ETSI EN 319 532-1: "Electronic Signatures and Infrastructures (ESI); Registered Electronic Mail (REM) Services; Part 1: Framework and Architecture".
- [5] ETSI EN 319 532-2: "Electronic Signatures and Infrastructures (ESI); Registered Electronic Mail (REM) Services; Part 2: Semantic Contents".
- [6] ETSI EN 319 532-3: "Electronic Signatures and Infrastructures (ESI); Registered Electronic Mail (REM) Services; Part 3: Formats".

- [7] IETF RFC 5321: "Simple Mail Transfer Protocol".
- [8] IETF RFC 5322: "Internet Message Format".
- [9] IETF RFC 2045: "Multipurpose Internet Mail Extensions (MIME) Part One: Format of Internet Message Bodies".
- [10] IETF RFC 3207 (2002): "SMTP Service Extension for Secure SMTP over Transport Layer Security".
- [11] ETSI EN 319 522-4-3: "Electronic Signatures and Infrastructures (ESI); Electronic Registered Delivery Services; Part 4: Bindings; Sub-part 3: Capability/requirements bindings".
- [12] ETSI TS 119 612 (V2.2.1): "Electronic Signatures and Infrastructures (ESI); Trusted Lists".
- [13] ETSI EN 319 122-1: "Electronic Signatures and Infrastructures (ESI); CAAdES digital signatures; Part 1: Building blocks and CAAdES baseline signatures".
- [14] ETSI EN 319 132-1: "Electronic Signatures and Infrastructures (ESI); XAdES digital signatures; Part 1: Building blocks and XAdES baseline signatures".
- [15] eIDAS Technical Specifications: "SAML Attribute Profile" - Version 1.2", 31 August 2019.

NOTE: Available at

<https://ec.europa.eu/cefdigital/wiki/download/attachments/82773108/eIDAS%20SAML%20Attribute%20Profile%20v1.2%20Final.pdf?version=2&modificationDate=1571068651772&api=v2>.

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## 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 TR 10000:1998: "Information technology - Framework and taxonomy of International Standardized Profiles".
- [i.3] IETF RFC 6698: "The DNS-Based Authentication of Named Entities (DANE), Transport Layer Security (TLS) Protocol: TLSA".
- [i.4] IETF RFC 7208: "Sender Policy Framework (SPF) for Authorizing Use of Domains in Email, Version 1".
- [i.5] IETF RFC 6376: "DomainKeys Identified Mail (DKIM) Signatures".
- [i.6] NIST Special Publication 800-177: "Trustworthy Email".
- [i.7] NIST Special Publication 800-45: "Guidelines on Electronic Mail Security, Version 2".
- [i.8] IPJ - The Internet Protocol Journal - November 2016, Volume 19, Number 3: "Comprehensive Internet E-Mail Security: Review of email vulnerabilities and security threats".
- [i.9] IETF RFC 4035: "Protocol Modifications for the DNS Security Extensions".
- [i.10] IETF RFC 7489: "Domain-based Message Authentication, Reporting, and Conformance (DMARC)".

- [i.11] IETF RFC 5751: "Secure/Multipurpose Internet Mail Extensions (S/MIME) Version 3.2 Message Specification".
- [i.12] ETSI EN 319 521: "Electronic Signatures and Infrastructures (ESI); Policy and security requirements for Electronic Registered Delivery Service Providers".
- [i.13] IETF RFC 7817: "Updated Transport Layer Security (TLS) Server Identity Check Procedure for Email-Related Protocols".
- [i.14] IETF RFC 2046: "Multipurpose Internet Mail Extensions (MIME) Part Two: Media Types".

## 3 Definition of terms, symbols, abbreviations and terminology

### 3.1 Terms

For the purposes of the present document, the terms given in ETSI EN 319 532-1 [4] and the following apply:

**REMIC authority:** entity entitled to govern the REMIC

NOTE: A REMIC authority governs the REMIC by the management of the REMIC policy and through processes of supervision and monitoring, ensuring the adherence to the REMIC policy and the requirements specified in the present document.

**REMIC policy:** set of organizational, security and technical requirements that each adherent REMSP is obliged to fulfil to achieve interoperability

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### 3.2 Symbols

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### 3.3 Abbreviations

For the purposes of the present document, the abbreviations given in ETSI EN 319 532-1 [4] and the following apply:

CC Country Code

NOTE: As defined in ETSI TS 119 612 [12], clause 3.2.

EML Electronic Mail Format

NOTE: As per Internet Message Format syntax defined in IETF RFC 5322 [8].

MS Member State

NOTE: As defined in ETSI TS 119 612 [12], clause 3.2.

### 3.4 Terminology

Since Registered Electronic Email Services are specific types of Electronic Registered Delivery Services, the present document uses the terms and definitions from ETSI EN 319 521 [i.12] and ETSI EN 319 522 (Parts 1 to 3) [1], [2] and [3].

ETSI EN 319 532-2 [5], clause 4.1 specifies the usage of prefixes ERD versus REM or ERDS versus REMS for naming concepts and structures.

The naming convention used in the present document is that constructs whose content is completely generated by the REMS are prefixed with "ERDS" or "REMS". In contrast, constructs whose content includes user-generated data is prefixed with "ERD" or "REM".

## 4 General requirements

### 4.1 Introduction

The present document provides one profile as intended in ISO/IEC TR 10000 [i.2]: *"the identification of chosen classes, conforming subsets, options and parameters of base standards, or International Standardized Profiles necessary to accomplish a particular function"*. In the present document the concept of profile embraces references like architectural, protocol detail, semantic and implementation aspects, and technical standard and service interoperability aspects.

More specifically, the present document specifies a REM service profile that uses the same formats (S/MIME based) and the same transport protocols (SMTP). Annex B and Annex C specify the baseline set of requirements for the implementation and configuration of interoperable REM services.

### 4.2 Compliance requirements

Requirements are grouped in three different categories, each with its corresponding identifier. Table 1 defines these categories and their identifiers.

**Table 1: Requirements categories**

Identifier	Requirement to implement
<b>M</b>	System <b>shall</b> implement the element
<b>R</b>	System <b>should</b> implement the element
<b>O</b>	System <b>may</b> implement the element

All the requirements shall be defined in tabular form.

**Table 2: Requirements template**

N°	Service/Protocol element	EN reference	Requirement	Implementation guidance	Notes

Column **N°** shall identify a unique number for the requirements. This number shall start from 1 in each clause. The eventual references to it would also include the clause number to avoid any ambiguity.

Column **Service/Protocol element** shall identify the service element or protocol element the requirement applies to.

Column **EN Reference** shall reference the relevant clause of the standard where the element is defined. The reference is to ETSI EN 319 522-1 [1], ETSI EN 319 522-2 [2], ETSI EN 319 532-1 [4] or ETSI EN 319 532-3 [6] except where explicitly indicated otherwise.

Column **Requirement** shall contain an identifier, as defined in table 1.

Column **Implementation guidance** shall contain numbers referencing notes and letters referencing additional requirements. It is intended either to explain how the requirement is implemented or to include any other information not mandatory.

Column **Notes** shall contain additional notes to the requirement.

**NOTE:** Within a REMID, a provision different from the ones specified in the present document is viable if and only if such REMID does not envisage to interoperate with other REMIDs.

## 5 SMTP interoperability profile

### 5.1 General requirements

This clause defines a profile for interoperability among REMSPs based on SMTP relay protocol and the same formats. Under this basis, although many aspects described here are valid and reusable in other contexts, formats and protocols, all the sentences of the present part of the document mainly refer to interactions among REM services providers using - as a transfer protocol for REM messages - SMTP and its related updates, extensions and improvements (e.g. ESMTP or SMTP-AUTH, etc.).

In particular, the concepts defined in IETF RFC 5321 [7], clause 2.3.1 regarding envelope and content of the Mail Objects, and the concepts defined in IETF RFC 5322 [8], clause 2.2 and IETF RFC 2045 [9] regarding the collection of header fields, structure, formats and message representation shall apply.

### 5.2 Style of operation

From an interoperability standpoint, no impact is expected to occur because of the adopted style of operation by REMS (Store-And-Forward vs Store-And-Notify). Therefore, the present document shall deal with both on the same profile.

The reason for that is that any REM message exchanged between two REMSPs (even REM messages that contain a reference to the REM Object in a Store-And-Notify context) is conveyed using the Relay Interface that, within the present interoperability profile, is based on the SMTP protocol. Henceforth protocols, message formats and evidence formats are the same in the two cases.

Then, all the REMS operating under the Store-And-Notify style of operation also need a REMS operating under Store-And-Forward style of operation that represents a common layer between the two styles of operation.

Differences only arise in the set of mandatory evidence, which is specified within the two styles of operations, as described in clause 5.5.

### 5.3 REMS - interfaces constraints

#### 5.3.1 Introduction

The next clauses profile the interfaces specified in ETSI EN 319 522-1 [1] and ETSI EN 319 532-1 [4], clause 5.

#### 5.3.2 REM MSI: Message Submission Interface

**Table 3: REM message submission interface**

Nº	Service/Protocol element	ETSI EN 319 532-1 [4] reference	Requirement	Implementation guidance	Notes
1	Any protocol, provided that it is secured	Clause 5	M	a)	

Implementation guidance:

- a) The Message Submission Interface shall be implemented with a protocol that shall secure the communication from the originating mail User Agent to the SMTP server. More specifically, this protocol shall ensure proper identification and authentication of the user, confidentiality of the communication, authenticity and integrity of the submitted data. For example, SMTP on TLS according to IETF RFC 7817 [i.13] or SSL plus a check of credential over SMTP-AUTH may be used.

### 5.3.3 REM MRI-ERI: Message and Evidence Retrieval Interface

**Table 4: REM message and evidence retrieval interface**

Nº	Service/Protocol element	ETSI EN 319 532-1 [4] reference	Requirement	Implementation guidance	Notes
1	Any protocol provided that it is secured	Clause 5	M	a)	

Implementation guidance:

- a) The Message and Evidence Retrieval Interface shall be implemented with a protocol that shall secure the communication from the sender/recipient mail User Agent to the REMSP server. More specifically, this protocol shall ensure proper identification and authentication of the user, confidentiality of the communication, authenticity and integrity of the retrieved data. For example, IMAP or POP or HTTP on TLS according to IETF RFC 7817 [i.13] or SSL may be used.

### 5.3.4 REM RI: Relay Interface

**Table 5: REM relay interface**

Nº	Service/Protocol element	ETSI EN 319 532-1 [4] reference	Requirement	Implementation guidance	Notes
1	SMTP on TLS	Clause 5	M	a)	see note

NOTE: This is a profile for SMTP relay protocol among REMSPs, and it is reflected in this requirement.

Implementation guidance:

- a) The Relay Interface shall be implemented using SMTP protocol securing the communication from the sender REMSP server to the recipient REMSP server using TLS according to IETF RFC 3207 [10].

NOTE: Particular attention has to be paid to preserving confidentiality, authenticity, integrity, identification and authentication. TLS and the best practices recommended in Annex A give the necessary provision to accomplish these requirements. Further IETF work about MTA-to-MTA (TLS everywhere) dialogue is actually under a draft status and not added as a reference in the present document. However, it is a desirable practice in addition to opportunistic STARTTLS/DANE (see NIST Special Publication 800-177 [i.6] for more details).

### 5.3.5 CSI: Common Service Interface

The services used throughout this interface are not necessarily provided by a REMS (see note 1) and, for the present profile, the following three main elements shall be considered:

- 1) Routing
- 2) Trusting
- 3) Capability discovery and management

NOTE 1: For this reason, the prefix REM is omitted before the definition of the interface.

ETSI EN 319 532-2 [5], clause 9 shall identify the semantic requirements that apply to CSI.

**Table 6: Common service interface**

Nº	Service/Protocol element	ETSI EN 319 532-3 [6] reference	Requirement	Implementation guidance	Notes
1	DNS	Clause 9.2	M	a)	Routing interface
2	TL	Clause 9.3	R	b)	Trusting interface
3	TL/SMP	Clause 9.4	O	c)	Discovery/management interface