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9	Internet Printing Protocol/1.1: Requirements for IPP Notif	ications
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27		
28	ABSTRACT	
29		
30	This document is one of a set of documents which together describe all aspects of	a new Internet Printing
31	Protocol (IPP). IPP is an application level protocol that can be used for distributed	1 0
32	There are multiple parts to IPP, but the primary architectural components are the	Model, the Protocol and
33	an interface to Directory Services. This document provides a statement of the requ	uirements for notifications
34	as part of an IPP Service. Some ISSUES are indicated in the text.	

The full set of IPP documents include:

 Design Goals for an Internet Printing Protocol [RFC2567]

Rationale for the Structure and Model and Protocol for the Internet Printing Protocol [RFC2568]

Internet Printing Protocol/1.0: Model and Semantics [RFC2566]

Internet Printing Protocol/1.0: Encoding and Transport [RFC2565]

Internet Printing Protocol/1.0: Implementer's Guide [RFC 2639ipp-iig]

Mapping between LPD and IPP Protocols [RFC2569]

The 'Design Goals for an Internet Printing Protocol' document takes a broad look at distributed printing functionality, and it enumerates real-life scenarios that help to clarify the features that need to be included in a printing protocol for the Internet. It identifies requirements for three types of users: end users, operators, and administrators. It calls out a subset of end user requirements that are satisfied in IPP/1.0. Operator and administrator requirements are out of scope for version 1.0.

The 'Rationale for the Structure and Model and Protocol for the Internet Printing Protocol' document describes IPP from a high level view, defines a roadmap for the various documents that form the suite of IPP specifications, and gives background and rationale for the IETF working group's major decisions.

The 'Internet Printing Protocol/1.0: Encoding and Transport' document is a formal mapping of the abstract operations and attributes defined in the model document onto HTTP/1.1. It defines the encoding rules for a new Internet media type called 'application/ipp'.

The 'Internet Printing Protocol/1.0: Implementer's Guide' document gives insight and advice to implementers of IPP clients and IPP objects. It is intended to help them understand IPP/1.0 and some of the considerations that may assist them in the design of their client and/or IPP object implementations. For example, a typical order of processing requests is given, including error checking. Motivation for some of the specification decisions is also included.

The 'Mapping between LPD and IPP Protocols' document gives some advice to implementers of gateways between IPP and LPD (Line Printer Daemon) implementations.

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80 **1 Scope** 

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The scope of this requirements statement document covers functionality used by the following kinds of IPP Users: is for End Users, Print Administrators and Operators.

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# 2 Terminology

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It is necessary to define a set of terms in order to be able to clearly express the requirements for notification services in an IPP System.

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# 2.1 Job Submitting End User

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A human end user who submits a print job to an IPP Printer. This person may or may not be within the same security domain as the Printer. This person may or may not be geographically near the printer.

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### 2.2 Administrator

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A human user who established policy for and configures the print system.

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2.3 Operator

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A human user who carries out the policy established by the Administrator and controls the day to day running of the print system.

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2.4 Job Submitting Application

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An application (for example, a batch application), acting on behalf of an end user a Job Submitting End User, which submits a print job to an IPP Printer. The application may or may not be within the same security domain as the Printer. This application may or may not be geographically near the printer.

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110 2.5 Security Domain

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For the purposes of this discussion, the set of network components which can communicate without going through a proxy or firewall. A security domain may be geographically very large, for example - anyplace within IBM.COM.

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116 2.6 IPP Client

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The software component <u>that sends IPP requests to an IPP Printer object and accepts IPP responses from an IPP Printer on the client system which implements the IPP protocol.</u>

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121 2.7 Job Recipient

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A human who is the ultimate consumer of the print job. In many cases this will be the same person as the Job Submitting End User, but this need not always be the case. For example, if I use IPP to print a

- document on a printer in a business partner's office, I am the Job Submitting End User, while the person I intend the document for in my business partner's office is the Job Recipient. Since one of the goals of IPP is to be able to print near the ultimate Job Recipient of the printed output, we would normally expect that person the Job Recipient to be in the same security domain as, and geographically near, the Printer. However, this may not always be the case. For example, I submit a print job across the Internet to a Kinko's print shop. I am both the Submitting end User and the Job Recipient, but I am neither near nor in the same security domain as the Printer.
- 132
- 133 2.8 Job Recipient Proxy

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A person acting on behalf of the Job Recipient. In particular, the Job Recipient Proxy physically picks up the printed document from the Printer, if the Job Recipient cannot perform that function. The Proxy is **by definition** geographically near and in the same security domain as the printer. For example, I submit a print job from home to be printed on a printer at work. I'd like my secretary to pick up the print job and put it on my desk. In this case, I am acting as both Job Submitting End User and Job Recipient. My secretary is acting as a Job Recipient Proxy.

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2.9 Notification Subscriber

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A client that requests the IPP Printer to send Event <u>reports Notifications</u> to one or more Notification Recipients. A Notification Subscriber may be a Job Submitting End User or an End User, an Operator, or an Administrator that is not submitting a job.

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2.10 Notification Source

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The entity that sends **Event** Notification events.

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2 2.11 Notification Recipient

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The entity that receives IPP Notifications about Job and/or Printer events. A Notification Recipient may be any of: Job Submitting End User, Job Submitting Application, Job Recipient, or Job Recipient Proxy.

Operator, or Administrator, etc., folks and their representatives or log file or accounting/auditusage statistics gathering application or other active or passive entities or President Clinton. Or Monica.

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159 2.12 Notification Recipient Agent

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A program which receives Event <u>Notification</u>s on behalf of the Notification Recipient. The agent may take some action on behalf of the recipient, forward the notification to the recipient via some alternative means (for example, page the recipient), or queue the notification for later retrieval by the recipient.

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165 2.13 Event

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A Event is some occurrence (either expected or unexpected) within the printing system of a change of state, condition, or configuration of a Job or Printer object.

#### 170 2.14 Event reportNotification

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When an event occurs, an Event reportNotification is generated that fully describes the event (what the 172 event was, where it occurred, when it occurred, etc.). Event reportNotifications are delivered to all the 173 174 Notification Recipients that are subscribed to that Event, if any. The Event reportNotification is delivered

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to the address of the Notification Recipient using the notification delivery method defined in the

subscription. However, an Event ReportNotification is sent ONLY if there is a corresponding subscription. 176

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## 2.15 Notification Subscription

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A Notification Subscription is a request by a Notification Subscriber to the IPP Printer to send Event Notifications to specified Notification Recipient(s) when the event occur.

It should be possible for end users and operators to 'subscribe' for notifications of certain types of Events,

independent of Job Submission. An end user or operator may subscribe for

183 184

```
185
      All Job Traps
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- All Traps (Job and Printer) 186
- 187 - None (Reserves a slot in some limited stable of 'notification hosts')

188 ISSUE: Need to discuss granularity and categorization in the context of anticipated event frequency

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### 2.16 Notification Attributes

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IPP Objects (for example, a print job) from which notification are being sent may have attributes associated with them. A user may want to have one or more of these associated attributes returned along with a particular notification. In general, these may include any attribute associated with the object emitting the notification. Examples include:

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200 201

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203 204

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206

208

```
number-of-intervening jobs
```

iob-k-octets

job-k-octets processed

job impressions

job-impressions-interpreted

job-impressions-completed

impressionsCompletedCurrentCopy (job MIB)

sheetCompletedCopyNumber (job MIB)

sheetsCompletedDocumentNumber (iob MIB)

Copies-requested

207 Copy-type

Output-destination

Job-state-reasons 209

210 Job ID

211 Printer URI

212 Subscription ID (for job independent subscription)

213 214

2.17 Notification Delivery Method (or Delivery Method for short)

Event report Notifications are delivered using a method, such as email, TCP/IP, etc.

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2.18 Immediate Notification

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Notifications sent to the Notification Recipient or the Notification Recipient's agent in such a way that the notification arrives immediately, within the limits of common addressing, routing, network congestion and quality of service.

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2.19 Queued Store and Forward Notification

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Notifications which are not necessarily sent\_delivered to Notification Recipients immediately, but are queued for delivery by some intermediate network application, or for later retrieval. Email with store and forward is an example of a queuedstore and forward notification delivery method.

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2.20 Reliable Delivery of Notifications over Reliable Transport

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Notifications which are delivered by a reliable, sequenced delivery of packets or character stream, with acknowledgment and retry, such that delivery of the notification is guaranteed within some reasonable determinate time limits. For example, if the Notification Recipient has logged off and gone home for the day, an immediate notification cannot be guaranteed to be delivered, even when sent over a reliable transport, because there is nothing there to catch it. Guaranteed delivery requires both queuedstore and forward notification and a reliable transport. If delivery of the notification requires process to process communications, each session is managed in a reliable manner, assuring fully ordered, end-to-end delivery.

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2.21 Notification over Unreliable Transport

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Notifications are delivered via the fundamental transport address and routing framework, but no acknowledgment or retry is required. Process to process communications, if involved, are unconstrained.

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2.22 Human Consumable Notification

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Notifications which are intended to be consumed by human end users only. They contain no machine readable encoding of the event. Email would be an example of a Human consumable notification, though it could also contain Machine Consumable Notification.

251 ISSUE: Do we need both human and machine or is machine sufficient? There is no intent to attempt to standardize human readable strings.

Human readable is intended for certain protocols, like e-mail, though email can also convey machine readable MIME types as well using multipart/report.

255 ISSUE: Is e-mail the only, or most likely, means of conveying the notification through the firewall (which would drive a requirement for mixed text, binary content).

257

2.23 Machine Consumable Notification

Notifications which are intended for consumption by a program **only**, such as an IPP Client. Machine Consumable notifications may not contain human readable information. Do we need both human and machine? Machine readable is intended for application to application only. The Notification Recipient could process the machine readable Event reportNotification into human readable format.

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2.24 Mixed Notification

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A mixed notification <u>may</u> contains both Human <u>readable Consumable</u> and <u>human Machine readable Consumable</u> information.

ISSUE: Do we need mixed?

269270271

Mail Services, DNS, Instant Messaging, Distributions lists etc.?

272273

## 3 Scenarios

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1. I am sitting in my office and submit a print job to the printer down the hall. I am in the same security domain as the printer and of course, geographically near. I want to know immediately when my print job will be completed (or if there is a problem) because the document I am working on is urgent. I submit the print job with the following attributes:

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- Notification Recipient me
- Notification Events all
- Notification Attributes job-state-reason
- Notification Type immediate

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2. I am working from home and submit a print job to the same printer as in the previous example. However, since I am not at work, I cannot physically get the print file or do anything with it. It can wait until I get to work this afternoon. However, I'd like my secretary to pick up the output and put it on my desk so it doesn't get lost or miss-filed. I'd also like a queuedstore and forward notification sent to my email so that when I get to work I can tell if there was a problem with the print job. I submit a print job with the following attributes:

290291292

- Notification Recipient my secretary
- Notification Events print complete
- Notification Type immediate

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- Notification Recipient me
- Notification Events print complete
- Notification Attributes impressions completed
- Notification Type queuedstore and forward

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3. I am sitting in my office and submit a print job to a client at an engineering firm we work with on a daily basis. The engineering form firm is in Belgium. I would like my client to know when the print job is complete, so that she can pick it up from the printer in her building. It is important that she review it right away and get her comments back to me. I submit the print job with the following attributes:

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- Notification Recipient client at engineering firm
- Notification Events print complete
- Notification Type immediate
- Notification Language French

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4. I am in a hotel room and send a print job to a Kinko's store in the town I am working in, in order to get a printed report for the meeting I am attending in the morning. Since I'm going out to dinner after I get this job submitted, an immediate notification won't do me much good. However, I'd like to check in the morning before I drive to the Kinko's store to see if the file has been printed. An email notification is sufficient for this purpose. I submit the print job with the following attributes:

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- Notification Recipient me
- Notification Events print complete
- Notification Type emailstore and forward

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- 5. I am printing a large, complex print file. I want to have some immediate feedback on the progress of the print job as it prints. I submit the print job with the following attributes:
- 324 Notification Recipient me
  - Notification Type immediate
  - Notification Events all state transitions
  - Notification Attributes impression completed

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6. I am an operator and my duties is to keep the printer running. I subscribe independently from a job submission so that my subscription outlasts any particular job. I subscribe with the following attributes:

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- 332 Notification Recipient me
  - Notification Type immediate
  - Notification Events all Printer state transitions
  - Notification Attributes Printer state, printer state reasons, device powering up, device powering down.

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7. I am an <u>usage statistics gathering accounting or audit</u> application. I subscribe independently from a job submission so that my subscription outlasts any particular job. My subscription may persists across power cycles. I subscribe with the following attributes:

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- Notification Recipient me
- Notification Type immediate
- 344 Notification Events job completion
- Notification Attributes impression completed, sheets completed, time submitted, time started, time
   completed, job owner, job size in octets, etc.

- 8. I am a client application program that displays a list of jobs currently queued for printing on a printer. I display the "job-name", "job-state", "job-state-reasons", "page-count", and "intervening-jobs" either for the user's jobs or for all jobs. The window displaying the job list remains open for an independent amount of time, and it is desired that it represent the current state of the queue. It is desired that the application only need to perform a slow poll in order to recover from any missed notifications. So the event delivery mechanism provides the means to update the screen on all needed changes, including querying for some attributes that may not be delivered in the Notification.
  - 9. I am a client application program that displays a list of printers. For each Printer I display the current state and configuration. The window displaying the printer list remains open for an independent amount of time, and it is desired that it represent the current state of each printer. It is desired that the application only need to perform a slow poll in order to recover from any missed notifications. So the event delivery mechanism provides the means to update the screen on all needed changes, including querying for some attributes that may not be delivered in the Notification.
  - 10. I am an IPP Server that controls one or more devices and implements an IPP Printer object to represent each device. I want to support IPP Notification for each of the IPP Printer objects that I implement.

    Many of these devices do not support notification (or IPP). So I need to support the IPP Notification semantics specified for each IPP Printer object myself on behalf of each of the devices that each of the IPP Printer objects represent. When I accept IPP job creation requests, I convert the request to what the device will accept. In some cases, I must poll the devices in order to be informed of their job and device state and state changes in order to be able to send IPP Notifications to subscribed Notification Recipients.
  - 11. I am an IPP Server that controls one or more devices and implements an IPP Printer object to represent each device. I want to support IPP Notification for each of the IPP Printer objects that I implement. These devices all support IPP, including IPP Notification. I would like the design choice for supporting IPP Notification for these IPP Printer objects that I implement either (1) by forwarding the notification to the IPP Printers that I alone control and have them send the notifications to the intended Notification Recipients without my involvement or (2) replace the notification submitted with the Job to indicate me as the Notification Recipient and I will in turn forward Notifications to the Notification Recipients requested by my clients. Most of the rest of the contents of the IPP Job that I send to the IPP Printers that I control will be the same as the IPP Job that I receive from my IPP clients.
  - 12. I am an IPP Server that controls one or more devices and implements an IPP Printer object to represent each device. I want to support IPP Notification for each of the IPP Printer objects that I implement. These devices all support IPP, including IPP Notification. Because these IPP Printers MAY also be being controlled by other servers (using IPP or other protocols), I only want job events for the jobs that I send, but do want Printer events all the time, so that I can show proper Printer state to my clients. So I subscribe to these IPP Printers for Printer events with a long standing subscription with myself to as the Notification Recipient. When I get a Job Creation request, I decide to which IPP Printer to send the job. When I do so, I also add a job subscription for Job events with me as the Notification Recipient to the job's job subscriptions supplied by my clients (this usage is called "piggy-backing"). These IPP Printers automatically remove their job subscriptions when the job completes as for all job subscriptions so that I no longer get Job events when my jobs are completed.

#### 4 Requirements

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The following requirements are intended to be met by the IPP Notification specification (not the implementation). The resulting IPP Notification Specification document:

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1. The Specification must indicate which of these requirements are MANDATORY REQUIRED and which are OPTIONAL for a conforming implementation to support.

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2. It must be designed to that an IPP Printer can transparently possible to support the IPP Notification semantics interface using third party notification services that exist today or that may be standardized in the future.

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3. must define means for a Job Submitting End User must be able to specify zero or more Notification Recipients when submitting a print job. But don't expect A Submitter to-will not be able to circumvent prevent out of band subscriptions from authorized persons, such as Operators.

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4. must define means when specifying a Notification Recipient, for a Notification Subscriber must to be able to specify one or more notification events for that Notification Recipient, subject to administrative and security policy restrictions. Any of the following constitute Job or Printer Events that a Job Submitting End User can specify notifications be sent for:

412 413 414

Any standard Printer MIB alert (i.e. device alerts) (critical and warning?) (state change notifications)?

415 416

Job Created Received (transition from Unknown to Pending)

417 418 Job Started (Transition from Pending to Processing) Page Complete (Page is stacked)

419

Collated Copy Complete (last sheet of collated copy is stacked)

420 421

Job Complete (transition from Processing or Processing-stopped to Completed) Job aborted (transition from Pending, Pending-held, Processing, or Processing-stopped to Aborted)

422 423

Job canceled (transition from Pending, Pending-held, Processing, or Processing-held to Canceled)

424 425

• Other job state changes like 'paused', purged? • Device problems on for which the job is destined for

426 427

Job (interpreter) issues

428 429

5. must define how an End User or Operator subscribes for: • Any set of Job Events for a specific job.

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• Any set of Printer Events while a specific job is not complete.

432 433

6. must define how an End User or Operator subscribes for the following without having to submit a Job: • Any set of Printer Events for a defined period.

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• Any set of Job Events for all jobs with no control over which jobs.

436 ISSUE - Ok if there isn't a way for an End-User to submit an empty Per-Printer Subscription, in case such a
437 Subscription slot is a scarce commodity, and then enable the Per-Printer Subscription when the data arrives
438 and disable later without deleting the subscription?

6.7. must define how When specifying a Notification Recipient, the Notification Subscriber must be able to specify either immediate or queued store and forward notification independently for that each Notification Recipient. This The means may be explicit, or implied by the method of delivery chosen by the Job Submitting End User.

6. When specifying a notification event, a Notification Subscriber must be able to specify that zero or more notification attributes (or attribute categories) be sent along with the notification, when that event occurs.

7.8. must define common delivery methods, e.g. email, must be supported defined.

8.9. must define how an IPP Printer validates its ability to deliver an Event using the specified delivery scheme. If it does not support the specified scheme, or the specified scheme is invalid for some reason, then the IPP Printer accepts and performs the request anyway and responds indicating the unsupported attribute values. There is no requirement for the IPP Printer receiving the print request to validate the identity of an Event Notification Recipient, nor the ability of the system to deliver an event to that recipient as requested (for example, if the Event Notification Recipient is not at work today).

8.However, an IPP Printer must validate its ability to deliver an event using the specified delivery scheme. If it does not support the specified scheme, or the specified scheme is invalid for some reason, then it should respond to the print request with an error condition.

9.10. There must be define a class of IPP event notification schemes or delivery methods which can flow through corporate firewalls. However, an IPP printer need not test to guarantee delivery of the notification through a firewall before accepting a print job.

10.11. A mechanism must may be provided define means for delivering a notification to the submitting client when the delivery of an event notification to a specified Notification Recipient fails. (Optional? Or not necessary?) Fall back means of subscribers determining if notifications have failed. i.e. polling may be provided.?

11.12. There must be define a mechanism for localizing Human Consumable notifications by the Notification Source.

12.13. There must may define be a way to specify whether or not event delivery requires acknowledgement back to the Event Notification Source.

ISSUE - Ok if spec doesn't have means for a Notification Recipient acknowledging receipt of a notification to the Notification Source?

13. There must be a mechanism to indicate the quality of service for delivery of Event reports. The policy must include stopping the Printer and allowing the Printer to continue, when delivery of the Event

report is not acknowledged. ISSUE: Should that policy be specified by the Notification Subscriber 481 (and authorized by the Printer) or by the administrator in configuring the Printer? 482

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14. There must be a mechanism defined so that job independent subscriptions do not become stale and do not require human intervention to remove stale subscriptions. However, stale must not be the inability to deliver an Event Notification report, since temporary event Notification delivery problems must be tolerated.

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15. A mechanism must be defined so that an Event Subscriber is able to add an Event Subscription to a Job after the Job has been submitted.

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16. A mechanism must be defined so that a client is able to cancel an Event Subscription on a job or printer after the job has been submitted.

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17. A mechanism must be defined so that a client can obtain the set of current Subscriptions.

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#### 5 **Security considerations for IPP Notifications requirements**

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By far the biggest security concern is the abuse of notification: sending unwanted notifications to third parties (i.e., spam). The problem is made worse by notification addresses that may be redistributed to multiple parties (e.g. mailing lists). There exist scenarios where third party notification is required (see Scenario #2 and #3). The fully secure solution would require active agreement of all recipients before sending out anything. However, requirement #9 ("There is no requirement for IPP Printer receiving the print request to validate the identity of an event recipient") argues against this. Certain systems may decide to disallow third party notifications (a traditional fax model).

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507 Clients submitting notification requests to the IPP Printer has the same security issues as submitting an 508 IPP/1.1 print job request. The same mechanisms used by IPP/1.1 can therefore be used by the client 509 notification submission. Operations that require authentication can use the HTTP authentication. 510 Operations that require privacy can use the HTTP/TLS privacy.

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The notification access control model should be similar to the IPP access control model. Creating a notification subscription is associated with a user. Only the creator or an operator can cancel the subscription. The system may limit the listing of items to only those items owned by the user. Some subscriptions (e.g. those that have a lifetime longer than a job) can be done only by privileged users (operators and/or administrators), if that is the authorization policy.

516 517

518 The standard security concerns (delivery to the right user, privacy of content, tamper proof content) apply to 519 the notification delivery. IPP should use the security mechanism of the delivery method used. Some 520 delivery mechanisms are more secure than others. Therefore, sensitive notifications should use the delivery method that has the strongest security.

521 522

#### 6 **Internationalization Considerations**

The I	Iuman Consumable notification must be localized to the natural language and charset that Notification
Subs	criber specifies within the choice of natural languages and charsets that the IPP Printer supports.
TP1 1	Andrian Community and Continuity and the locality of and MINTERNAL translations.
	Machine Consumable notification data uses the 'application/ipp' MIME media type. It contains some
	utes whose text values are required to be in the natural language and charset that the Notification
	criber specifies within the choice of natural languages and charsets that the IPP Printer supports. See
KFC	<u>2566].</u>
' <u>]</u>	ANA Considerations
Γhere	will be some notification delivery methods registered with IANA for use in URLs.
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