



LegalXML Electronic Court Filing 3.0

Application-Specific Document Signature Profile 1.0

Working Draft, [approval date]

Document Identifier:

legalxmlcourtfiling-ecf-v3.0-appsig-spec-wd-2.doc

OASIS Identifier:

[OASIS document number]

Location:

Persistent: <http://www.oasis-open.org/apps/org/workgroup/legalxml-courtfilling/>

This Version: <http://www.oasis-open.org/apps/org/workgroup/legalxml-courtfilling/>

Previous Version: none

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Subject/Keywords:

Legal, Government, Court, E-Filing

OASIS Conceptual Model topic area:

Specialized Process

Related work:

- LegalXML Electronic Court Filing 3.0 specification (<http://www.oasis-open.org/apps/org/workgroup/legalxml-courtfilling/>)

Abstract:

This document defines a Document Signature Profile, as defined in section 6 of the LegalXML Electronic Court Filing 3.0 specification. The Application-Specific Document Signature Profile is the signature profile used to indicate documents that are signed with an application-specific signature.

Status:

This document is a Working Group Draft NOT yet accepted by the Working Group as reflecting its consensus; however, it will serve as the basis for discussions. As a work in progress, it should NOT be considered authoritative or final. Other subsequently issued documents will supersede this document. Technical Committee members should send their comments on this specification to the workgroup_mailer@lists.oasis-open.org list. Others should subscribe to and send comments to the <mailto:legalxml-courtfilling@lists.oasis-open.org> list. To subscribe, send an email message to <mailto:legalxml->

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1 Introduction

This document defines a Document Signature Profile, as called for in section 6 of **[ECF 3.0]**. The purpose of the Application-Specific Document Signature Profile is to support signature provided by an application such as Adobe PDF or Microsoft Word.

As with all Document Signature Profiles, the purpose of this profile is to define an allowable XML syntax for the content of the `SignatureType` structure, as defined in the `urn:oasis:names:tc:legalxml-courtfiling:schema:xsd:DocumentType-3.0` namespace.

1.1 Terminology

The key words “MUST”, “MUST NOT”, “REQUIRED”, “SHALL”, “SHALL NOT”, “SHOULD”, “SHOULD NOT”, “RECOMMENDED”, “MAY”, and “OPTIONAL” in this document are to be interpreted as described in **[RFC 2119]**.

The XML Namespace prefix `xsd`, whenever it appears in this document, represents the `http://www.w3.org/2001/XMLSchema` namespace.

1.2 Normative References

- [RFC 2119]** S. Bradner, *Key words for use in RFCs to Indicate Requirement Levels*, <http://www.ietf.org/rfc/rfc2119.txt>, IETF RFC 2119, March 1997.
- [ECF 3.0]** R. Winters, *LegalXML Electronic Court Filing 3.0*, <http://www.oasis-open.org/apps/org/workgroup/legalxml-courtfiling/>, OASIS, November 2005.

2 Profile Design

This section describes the design of the Application-Specific Document Signature Profile and identifies how it satisfies the requirements of a document signature profile listed in Section 6 of the [ECF 3.0] specification.

2.1 Document Signature Profile Identifier

The identifier for this Document Signature Profile is identical to the identifier for its namespace, namely:

`urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:ApplicationSignature-1.0`

2.2 Satisfaction of Document Signature Profile Requirements

The Application-Specific Signature Profile satisfies the requirements of Document Signature Profiles as defined in section 6 of [ECF 3.0], as follows:

1. **Signer name assertion** – The signer's name is provided in the required `SignerName` element. The `SignerName` must match the signer's name in the application-specific signature.
2. **Signed date assertion** – The date of signing of the document is provided in the required `SignedDate` element. The `SignedDate` element must match the date of signing in the application-specific signature.
3. **Multiple signatures** – Multiple signatures are provided for by the unbounded upper limit on the `Signature` element within the `SignaturesType` structure.

Depending on the application the Application-Specific Document Signature Profile MAY satisfy the optional non-functional requirements defined in section 9 of [ECF 3.0] as follows:

1. **Signer and date non-repudiation** – Some application-specific signatures support non-repudiation of the signer and signing date through inclusion of a digital signature in the document created using the signer's private key. Because the sender is the only one with access to the private key and the date is included in the signature, receivers can be reasonably assured of the signer and signing date.
2. **Document integrity** – Some application-specific signatures support document integrity through inclusion of a digital signature in the document created. Because the signing date and document hash are included in the signature and the entire signature is computed using the sender's private key, the receiver can easily compare the hashes to verify that the document has not been altered since it left the control of the sender on the specified date.
3. **Document signature auditing** – The `Signatures` element can be extracted from the `CoreFilingMessage` and persisted for later retrieval and examination.

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3 Schema

To be valid according to this profile, a CoreFilingMessage (as defined in [ECF 3.0]) MUST contain the element Signatures, as defined in the following schema, in place of the `xsd:any` wildcard appearing in the SignatureType definition in the `urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:DocumentType-3.0` namespace.

```
<xsd:schema
  xmlns:xsd="http://www.w3.org/2001/XMLSchema"
  xmlns:ds="http://www.w3.org/2000/09/xmldsig#"
  xmlns:appsig="urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:ApplicationSignature-1.0"
  targetNamespace="urn:oasis:names:tc:legalxml-courtfilling:schema:xsd:ApplicationSignature-1.0"
  elementFormDefault="qualified" attributeFormDefault="unqualified">
  <xsd:element name="Signatures" type="appsig:SignaturesType"/>
  <xsd:element name="Signature" type="appsig:SignatureType"/>
  <xsd:element name="SignerName" type="xsd:string"/>
  <xsd:element name="SignedDate" type="xsd:date"/>
  <xsd:complexType name="SignaturesType">
    <xsd:sequence>
      <xsd:element ref="appsig:Signature" maxOccurs="unbounded"/>
    </xsd:sequence>
  </xsd:complexType>
  <xsd:complexType name="SignatureType">
    <xsd:sequence>
      <xsd:element ref="appsig:SignerName"/>
      <xsd:element ref="appsig:SignedDate"/>
    </xsd:sequence>
  </xsd:complexType>
</xsd:schema>
```

78 **Appendix A. (Informative) Acknowledgments**

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Appendix B. (Informative) Revision History

Rev	Date	By Whom	What
Wd-01	2005-11-06	James Cabral Scott Came	Initial version
Wd-02	2005-11-08	James Cabral	Revised definitions for signer name and signing date assertions.

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Appendix C. (Informative) Example Instance

119 This non-normative section provides an example of the syntax of this Document Signature Profile. Note that the
120 following is for illustrative purposes only, and due to annotations included in the sample, it is not well-formed XML.
121 Also, the actual signature will be stored within the document in an application-specific manner.

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```
123 <CoreFilingMessage
124   xmlns="urn:oasis:names:specification:legalxml-courtfiling:schema:xsd:CoreFilingMessage-3.0"
125   xmlns:appsig="urn:oasis:names:tc:legalxml-courtfiling:schema:xsd:ApplicationSignature-1.0"
126   xmlns:document="urn:oasis:names:tc:legalxml-courtfiling:schema:xsd:DocumentType-3.0">
127   ... (content removed for brevity)
128
129   <FilingLeadDocument>
130
131     ... (content removed for brevity)
132
133     <document:ExtendedDocumentDescriptiveMetadata>
134
135       ... (content removed for brevity)
136
137       <document:DocumentSignature>
138         <document:SignatureProfileIdentifier>
139         urn:oasis:names:tc:legalxml-courtfiling:schema:xsd:ApplicationSignature-1.0
140         </document:SignatureProfileIdentifier>
141         <document:Signature>
142           <appsig:Signatures>
143             <appsig:Signature>
144               <appsig:SignerName>jsmith</appsig:SignerName>
145               <appsig:SignedDate>2005-11-07</appsig:SignedDate >
146             </appsig:Signature>
147             <appsig:Signature>
148               <appsig:SignerName>ksmith</appsig:SignerName>
149               <appsig:SignedDate>2005-11-06</appsig:SignedDate >
150             </appsig:Signature>
151           </appsig:Signatures>
152         </document:Signature>
153       </document:DocumentSignature>
154     </document:ExtendedDocumentDescriptiveMetadata>
155   </FilingLeadDocument>
156 </CoreFilingMessage>
```

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