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**Electronic Signatures and Infrastructures (ESI);  
ASiC Baseline Profile**

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## Foreword

This Technical Specification (TS) has been produced by ETSI Technical Committee Electronic Signatures and Infrastructures (ESI).

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## Introduction

TS 102 918 [6] (ASiC henceforth) specifies the use of container structures to bind together one or more signed objects with either advanced electronic signatures or time-stamp tokens into one single digital container. It uses package formats based on ZIP [i.2] and supports the following signature and time-stamp token formats:

- CADES [1] detached signature(s);
- XAdES [2] detached signature(s);
- RFC 3161 [i.1] time-stamp tokens.

In order to maximise interoperability in communities applying ASiC to particular environments it is necessary to identify a common set of options that are appropriate to that environment. Such a selection is commonly called a profile.

The present document profiles TS 102 918 [6] containers contexts where AdES signatures are used and in particular its use in the context of the "Directive 2006/123/EC [i.3] of the European Parliament and of the Council of 12 December 2006 on services in the internal market" (EU Services Directive henceforth).

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# 1 Scope

The present document defines a baseline profile for ASiC that provides the basic features necessary for a wide range of business and governmental use cases for electronic procedures and communications to be applicable to a wide range of communities when there is a clear need for interoperability of AdES signatures, on which ASiC is based, to be interchanged across borders. In particular it takes into account needs for interoperability of AdES signatures used in electronic documents issued by competent authorities to be interchanged across borders in the context of the EU Services Directive [i.3].

The profile defines three different conformance levels addressing incremental requirements to maintain the validity of the container signatures over the long term based on the corresponding conformance levels specified in CADES [3] and XAdES [4] profiles, in a way that all the requirements addressed at a certain level are always addressed also by the levels above. Each level requires the presence of certain attributes in the container signature, suitably profiled for reducing the optionality as much as possible and referring to the forms that are specified in CADES [1] or XAdES [2] as applicable.

NOTE 1: The mentioned CADES and XAdES profiles define an additional LTA (Long Term Archive time-stamps) conformance level that allow validation of the signature long time after its generation. An equivalent level for ASiC requires a revision of the mother specification (currently TS 102 918 [6] v1.2.1). It is anticipated that the present document will be updated to include the LTA level when a suitable version of the ASiC mother specification will be available.

Clause 2 in the present document contains references to the relevant documents and standards.

Clause 3 includes definitions of relevant terms and abbreviations used in the present document.

Clause 4 identifies the three conformance levels and shows how these levels might encompass the life cycle of the electronic signatures.

Clause 5 provides details on the way that the requirements on both signer and verifier will be presented throughout the present document.

Clauses 6, 7 and 8 specify the requirements for ASiC containers that are applicable to all the conformance levels specified in clause 4. Clause 6 specifies profiling requirements for elements common to all ASiC containers while clauses 7 and 8 specify profile requirements related to ASiC-S and ASiC-E respectively.

NOTE 2: The present document makes use of certain verbal forms (e.g. **may**, **shall**, **shall not** and **should**) as key words to signify requirements, conforming to ETSI Drafting Rules, clause 14a [i.8].

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## 2 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.

Referenced documents which are not found to be publicly available in the expected location might be found at <http://docbox.etsi.org/Reference>.

NOTE: While any hyperlinks included in this clause were valid at the time of publication ETSI cannot guarantee their long term validity.

### 2.1 Normative references

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

- [1] ETSI TS 101 733: "Electronic Signatures and Infrastructures (ESI); CMS Advanced Electronic Signatures (CADES)".

- [2] ETSI TS 101 903: "Electronic Signatures and Infrastructures (ESI); XML Advanced Electronic Signatures (XAdES)".
- [3] ETSI TS 103 173: "Electronic Signatures and Infrastructures (ESI); CAdES Baseline Profile".
- [4] ETSI TS 103 171: "Electronic Signatures and Infrastructures (ESI); XAdES Baseline Profile".
- [5] ETSI TS 102 176-1: "Electronic Signatures and Infrastructures (ESI); Algorithms and Parameters for Secure Electronic Signatures; Part 1: Hash functions and asymmetric algorithms".
- [6] ETSI TS 102 918: "Electronic Signatures and Infrastructures (ESI); Associated Signature Containers (ASiC)".
- [7] ETSI TS 101 861: "Electronic Signatures and Infrastructures (ESI); Time stamping profile".

## 2.2 Informative references

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] IETF RFC 3161: "Internet X.509 Public Key Infrastructure Time-Stamp Protocol (TSP)".
  - [i.2] PKWARE: ".ZIP Application Note".
- NOTE: Available at <http://www.pkware.com/support/zip-application-note>.
- [i.3] Directive 2006/123/EC of the European Parliament and of the Council of 12 December 2006 on services in the internal market.
  - [i.4] ECRYPT II (European Network of Excellence in Cryptology II): "ECRYPT II Yearly Report on Algorithms and Keysizes".
  - [i.5] ETSI TS 101 533-1: "Electronic Signatures and Infrastructures (ESI); Data Preservation Systems Security; Part 1: Requirements for Implementation and Management".
  - [i.6] ETSI TS 102 640-1: "Electronic Signatures and Infrastructures (ESI); Registered Electronic Mail (REM); Part 1: Architecture".
  - [i.7] Commission Decision 2011/130/EU of 25 February 2011; establishing minimum requirements for the cross-border processing of documents signed electronically by competent authorities under Directive 2006/123/EC of the European Parliament and of the Council on services in the internal market (notified under document C(2011) 1081).
  - [i.8] ETSI Drafting Rules (EDRs).

NOTE: Contained in the ETSI Directives: <http://portal.etsi.org/Directives/home.asp>.

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## 3 Definitions and abbreviations

### 3.1 Definitions

For the purposes of the present document, the terms and definitions given in TS 101 733 [1], TS 101 903 [2], TS 102 918 [6] and the following apply:

**generator:** any party which creates, or adds attributes to, a signature

NOTE: This may be the signatory or any party which initially verifies or further maintains the signature.

**protocol element:** element of the protocol which may be including data elements and/or elements of procedure

**service element:** element of service that may be provided using one or more protocol elements

NOTE: All alternative protocol elements provide an equivalent service to the users of the protocol.

**verifier:** entity that validates or verifies an electronic signature

## 3.2 Abbreviations

For the purposes of the present document, the abbreviations given in CADES [1], XAdES [2] and ASiC [6] apply.

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# 4 Conformance Levels

The present document defines three conformance levels as indicated below.

Applications managing containers that contain signatures conformant to requirements specified in clause 6 of [3] or [4] (as applicable, depending on the ASiC form) **may** claim **B-Level** (basic level) conformance.

Applications managing containers that contain signatures conformant to **B-Level** and signatures conformant to requirements specified in clause 7 of [3] or [4] (as applicable, depending on the ASiC form) **may** claim **T-Level** (Trusted time for signature existence) conformance.

Applications managing containers that contain signatures conformant to **T-Level** and signatures conformant to requirements specified in clause 8 of [3] or [4] (as applicable, depending on the ASiC form) **may** claim **LT-Level** (Long Term level) conformance.

These conformance levels are defined for encompassing the life cycle of electronic signature, namely:

- a) B-Level profiles incorporation of signed and some unsigned properties when the signature is actually generated.

NOTE 1: It is considered that this level is sufficient to conform to the Commission Decision 2011/130/EU of 25 February 2011 [i.7].

- b) T-Level profiles the generation, for an existing signature, of a trusted token proving that the signature itself actually existed at a certain date and time.
- c) LT-Level profiles the incorporation of all the material required for validating the signature in the signature. This level is understood to tackle the long term availability of the validation material.

NOTE 2: The levels b) to d) are appropriate where the technical validity of signature needs to be preserved for a period of time after signature creation where certificate expiration, revocation and/or algorithm obsolescence is of concern. The specific level applicable depends on the context and use case.

All conformance levels up to LT use properties defined in CADES [1] or XAdES [2] as applicable.

NOTE 3: The present document does not specify an LTA-Level profile like in [3] and [4] because ASiC containers that allow validation of the signature long time after its generation cannot be obtained only using CADES or XAdES signatures conformant to LTA level (as specified in [3] and [4]). An update to TS 102 918 [6] v1.2.1, the currently available ASiC specification, is anticipated to enable this feature. Other measures can be adopted to tackle the long term availability and integrity of the validation material as described in the following.

When signed data is exchanged between parties the sender **should** use at least signatures conforming to a level that allows the relying parties to trust the signature at the time the exchange takes place.

NOTE 4: Conformance to LT level is sufficient when combined with appropriate additional preservation and transmission techniques.

NOTE 5: The assessment of the effectiveness of other preservation and transmission techniques for signed data are out of the scope of the present document. The reader is advised to consider legal instruments in force and related standards such as TS 101 533-1 [i.5] or TS 102 640-1 [i.6] to evaluate their appropriateness.

## 5 General requirements

### 5.1 Algorithm requirements

Generators are referred to applicable national laws regarding algorithms and key lengths.

Generators are also recommended to take into account the latest version of TS 102 176-1 [5] for guidelines purposes and the latest ECRYPT2 D.SPA.x [i.4] yearly report for further recommendations, when selecting algorithms and key lengths.

MD5 algorithm **shall not** be used as digest algorithm.

For CAdES and XAdES signatures present in the container the related profiles (respectively [3] and [4]) **shall** apply.

### 5.2 Compliance requirements

Profiles in the present document define requirements for generators of ASiC containers.

A verifier **shall** be able to accept ASiC containers with signatures containing any elements/properties conformant to XAdES [2] or CAdES [1], as applicable, but this profile does not specify any processing requirement on such elements/properties present in the signatures as it is meant to be used together with a specification describing processing during signature validation.

Requirements are grouped in two different categories, each one having its corresponding identifier. Table 1 defines these categories and their identifiers.

**Table 1: Requirement categories**

Identifier	Requirement on generator
M	Generator <b>shall</b> include the element in the signature.
O	Generator <b>may</b> include the element in the signature.

**Optional elements defined in ASiC [6] but not specified in the present document are treated as "O" as above.**

Any element present in CAdES or XAdES signatures included in ASiC containers and not specified in the present document **shall** be treated as specified in CAdES Baseline Profile [3] and XAdES Baseline Profile [4] as applicable.

Certain service elements **may** be provided by different protocol elements at user's choice. In these cases the semantics of M and O defined in table 1 depend on the requirement for the service element itself. Tables 2 and 3 (each one applies to a different requirement on the service element) define these semantics.

**Table 2: Requirements for mandatory service with choices**

Requirement Identifier for the Service/Protocol element	Requirement on generator
Service = M	Generator <b>shall</b> provide the service by including one protocol element chosen from the list of choices.
Protocol Choice = O	Generator <b>may</b> use this protocol element for providing the mandatory service elements.

**Table 3: Requirements for optional service with choices**

Requirement Identifier for the Service/Protocol element	Requirement on generator
Service = O	Generator <b>may</b> provide the service by including one protocol element chosen from the list of choices.
Protocol Choice = O	If the generator decides to provide the service, then she <b>may</b> use this protocol element.

The present document shows new requirements for each service and protocol element in tabular form. Below follows the structure of the table.

**Table 4: Requirements for optional service with choices**

Service/Protocol element	Reference	Requirement on generator	Additional requirements/notes
Service:			
Choice 1			
Choice 2			

Column **Service/Protocol element** will identify the service element or protocol element the requirement applies to. Service elements that **may** be implemented by different protocol elements (i.e. users **may** make a choice on several protocol elements) build tables with more than one row.

Column **Reference** will reference the relevant clause of the standard where the element is first defined. The reference is to ASiC [6], except where explicitly indicated otherwise.

Column **Requirement on generator** will contain an identifier of the requirement, as defined in table 1, bound to the corresponding protocol element for the generator.

Column **Notes/Additional requirements** will contain numbers referencing notes and/or letters referencing additional requirements. Both notes and additional requirements are listed below the table.

Profiles **may** be affected by applicable regulations; hence implementers **should** check any national regulation that **may** affect these profiles.

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## 6 Requirements for ASiC formats

### 6.1 ASiC conformance

TS 102 918 [6] specifies that a conformant implementation can support a single ASiC type.

**Table 5**

Service/Protocol element	ASiC [6] reference	Generator requirement	Additional requirements/notes
Service: ASiC		M	
ASiC-S CAdES	Clause 7.1.1	O	
ASiC-S XAdES	Clause 7.1.2	O	
ASiC-S Time-stamp token	Clause 7.1.3	O	
ASiC-E XAdES	Clause 7.2.1	O	
ASiC-E CAdES	Clause 7.2.2	O	
ASiC-E Time-stamp	Clause 7.2.3	O	

NOTE: According to the requirements specified for this service, generator and verifier can implement one or more protocol options. Implementers are advised to detail in relevant documentation the implemented protocols by explicitly referencing all applicable TS 102 918 [6] clause(s).

## 7 Requirements for ASiC-S

### 7.1 ASiC-S Media type identification

This clause specifies compliance requirements for any ASiC-S type as does not depend on the selected signature type.

Table 6

Service/Protocol element	ASiC [6] reference	Generator requirement	Additional requirements/notes
Service: ASiC-S Media type identification		M	
ASiC file extension is ".asics"	Clause 5.2.1	O	
ASiC file extension is ".scs"	Clause 5.2.1	O	
mimetype	Clauses 5.2.1 and A.1	O	

### 7.2 ASiC-S Signed data object

This clause specifies compliance requirements for any ASiC-S type as does not depend on the selected signature type.

Table 7

Service/Protocol element	ASiC [6] reference	Generator requirement	Additional requirements/notes
Signed data object	Clause 5.2.2 point 2	M	a

Additional requirement:

- a) This protocol element **shall** be the only element, with an arbitrary name, in the root container folder.

### 7.3 Requirements for ASiC-S format

Table 8

Service/Protocol element	ASiC [6] reference	Generator requirement	Additional requirements/notes
Service: ASiC-S format		M	
META-INF/timestamp.tst	Clause 5.2.2 point 3a	O	Clause 6.3.1 <b>shall</b> apply
META-INF/signature.p7s	Clause 5.2.2 point 3b	O	Clause 6.3.2 <b>shall</b> apply
META-INF/signatures.xml	Clause 5.2.2 point 3c	O	Clause 6.3.3 <b>shall</b> apply

#### 7.3.1 Requirements for ASiC-S CAdES signature format

Table 9

Service/Protocol element	ASiC [6] reference	Generator requirement	Additional requirements/notes
META-INF/signature.p7m	Clause 5.2.2 point 3b	M	a

Additional requirement:

- a) The CAdES [1] signature specified above **shall** conform to the CAdES baseline profiles [3], clause 5 and all subclauses, except for subclause 5.1.1 where only the detached signature service **shall** be supported.

### 7.3.2 Requirements for ASiC-S XAdES signature format

Table 10

Service/Protocol element	ASiC [6] reference	Generator requirement	Additional requirements/notes
META-INF/signatures.xml	Clause 5.2.2 point 3c	M	a, b

Additional requirements:

- a) This protocol element **shall** contain a <asic:XAdESSignatures> element as specified in TS 102 918 [6], point 3a.
- b) Each XAdES [2] element included in the root element specified above **shall** reference explicitly the signed data object using the <ds:Reference> element.

### 7.3.3 Requirements for ASiC-S Time stamp token format

Table 11

Service/Protocol element	ASiC [6] reference	Generator requirement	Additional requirements/notes
META-INF/timestamp.tst	Clause 5.2.2 point 3a	M	a

Additional requirement:

- a) This protocol element **shall** conform to TS 101 861 [7].

## 8 Requirements for ASiC-E

### 8.1 ASiC-E Media type identification

This clause specifies compliance requirements for any ASiC-E type.

Table 12

Service/Protocol element	ASiC [6] reference	Generator requirement	Additional requirements/notes
Service: ASiC-E Media type identification		M	
ASiC file extension is ".asice"	Clause 6.2.1	O	
ASiC file extension is ".sce"	Clause 6.2.1	O	
mimetype	Clause 6.2.1	O	

### 8.2 ASiC-E Signed data object

This clause specifies compliance requirements for any ASiC-E type as does not depend on the selected signature type.

Table 13

Service/Protocol element	ASiC [6] reference	Generator requirement	Additional requirements/notes
Signed data object	Clause 6.2.2	M	At least one signed data object <b>shall</b> be in the container outside the META-INF folder

## 8.3 Requirements for ASiC-E XAdES

This clause specifies additional compliance requirements specific for ASiC-E XAdES type.

### 8.3.1 ASiC-E XAdES signature

**Table 14**

Service/Protocol element	ASiC [6] reference	Generator requirement	Additional requirements/notes
ASiC-E XAdES signature	Clause 6.2.2 point 2	M	a, b, c

Additional requirements:

- At least a signature **shall** be present in the META-INF folder conforming to TS 102 918 [6], point 2.
- The root element in each signature **shall** contain a `<asic:XAdESsignatures>` element conforming to TS 102 918 [6], clause 6.2.2, point 3a.
- Each XAdES [2] element included in the root element specified above **shall** reference directly all the signed data objects with a set of `<ds:Reference>` elements (see TS 102 918 [6], point 2).

### 8.3.2 Requirements for the contents of Container

**Table 15**

Service/Protocol element	ASiC [6] reference	Generator requirement	Additional requirements/notes
META-INF/manifest.xml	Clause 6.2.2 point 4b	M	a, b

Additional requirements:

- In META-INF folder **shall not** be present any additional data object in addition to what specified in this clause and in clause 7.3.1.
- Manifest.xml **shall** be signed by at least one of the signatures present in the container.

## 8.4 Requirements for ASiC-E CAdES

This clause specifies compliance requirements for ASiC-E CAdES.

### 8.4.1 ASiC-E CAdES signature

**Table 16**

Service/Protocol element	ASiC [6] reference	Generator requirement	Additional requirements/notes
ASiC-E CAdES signature	Clause 6.3.2 point 4a	M	a, b

Additional requirements:

- At least a signature **shall** be present in the META-INF folder as specified in TS 102 918 [6], clause 6.3.2 point 4a.
- Each CAdES [1] signature specified above **shall** conform to the CAdES baseline profiles [3], clause 5 and all subclauses, except for subclause 5.1.1 where only the detached signature service **shall** be supported.

## 8.4.2 Requirements for the contents of Container

Table 17

Service/Protocol element	ASiC [6] reference	Generator requirement	Additional requirements/notes
META-INF/AsiCManifest	Clause 6.3.2 point 3	M	a

Additional requirements:

- a) At least one AsiCManifest **shall** be present.
- b) In META-INF folder **shall not** be present any additional data object in addition to what specified in this clause and in clause 7.4.1.

## 8.5 Requirements for ASiC-E Time stamp token

This clause specifies compliance requirements for ASiC-E CADES.

### 8.5.1 Requirements on Time stamp tokens

Table 18

Service/Protocol element	ASiC [6] reference	Generator requirement	Additional requirements/notes
ASiC-E Time stamp token	Clause 6.3.2 point 4b	M	a, b

Additional requirements:

- a) At least a time stamp token **shall** be present in the META-INF folder as specified in TS 102 918 [6], clause 6.3.2, point 4b.
- b) Each Time stamp token specified above **shall** conform to TS 101 861 [7].

### 8.5.2 Requirements for the contents of Container

Table 19

Service/Protocol element	ASiC [6] reference	Generator requirement	Additional requirements/notes
META-INF/AsiCManifest	Clause 6.3.2 point 3	M	a

Additional requirements:

- a) At least one AsiCManifest **shall** be present.
- b) In META-INF folder **shall not** be present any additional object in addition to what specified in this clause and in clause 7.5.1.

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## History

<b>Document history</b>		
V1.1.1	September 2011	Publication
V1.2.1	January 2012	Publication
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