



Ascertia Trust Solutions



Welcome to a Secure Digital World ...

**Ascertia Docs Product Overview**



## Agenda

- **The need for Ascertia Docs**
- **What is Ascertia Docs**
- **Where can it be used**
- **How does it work**

## The need for Ascertia Docs

- **Paper is expensive**
  - For printing / enveloping
  - For courier or postal services
- **Paper processes take time**
  - Circulation of the paperwork
  - Tracking who is holding up the signing process
  - Moving the paperwork between the various parties
- **Paper is awkward to manage**
  - Who has the paperwork, how many people have signed?
- **E-documents avoid these costs but require**
  - Strong user authentication to independently prove who signed and approved both now and in the future
  - Strong data integrity so any change to the document invalidates the digital signatures that are applied

## What is Ascertia Docs?

- **A Web 2.0 application for shared document management, allowing review, sign-off and approval by multiple people**
- **Offered as a Internet Service**
  - Part of cloud computing SaaS environment
  - Requires no local software installation
- **Also offered as a software product**
  - For SaaS deployment within an organisation
  - For general hosting by Managed Service Providers
  - For closed community hosting by Managed Service Providers
  - Ascertia Docs can be re-branded
  - The user interface can be localised into any Unicode language

## Software as a Service (SaaS) Benefits

- **SaaS ensures Ascertia Docs is**
  - It is quick and easy to use the solution
  - Costs are based on actual usage
  - No local server or desktop software management
  - No local software maintenance and upgrade issues
  - No expensive user training and support
  - Provides enhanced management and internal controls
- **Ascertia Docs enables clear traceability, accountability, audit and internal controls**

## Security features and benefits

- **Uses standard PDF signatures**
  - No proprietary techniques
  - Remains fully interoperable with Adobe Reader
- **Each user has a unique signing key**
  - Enforces individual approval
  - Does not use signatures from a corporate proxy key/certificate
- **DLP Security Features**
  - Document exists within a secure viewer applet which enforces access rights
  - The document is not stored in clear on the viewer's hard-disk
  - Saving a local copy can be prevented
  - Copy / paste operations are not allowed

## Where can Ascertia Docs be used

- **To enable disparate third parties to sign and approve project documents and agreements**
  - New agreements and subsequent changes
  - Supply details, delivery confirmations
  - Purchasing, Tenders
  - Merger and acquisition documents and other legal documents
- **To enable organisations to publish information for others to securely review (but not save a copy)**
  - Valuable training materials
  - Consultancy reports
- **To allow organisations to formalise the tracking and approval of key documents**
  - HR documents, reviews, share schemes, etc
  - Financial documents, purchase orders, expenses, etc
  - Internal project documentation

# Registration & login

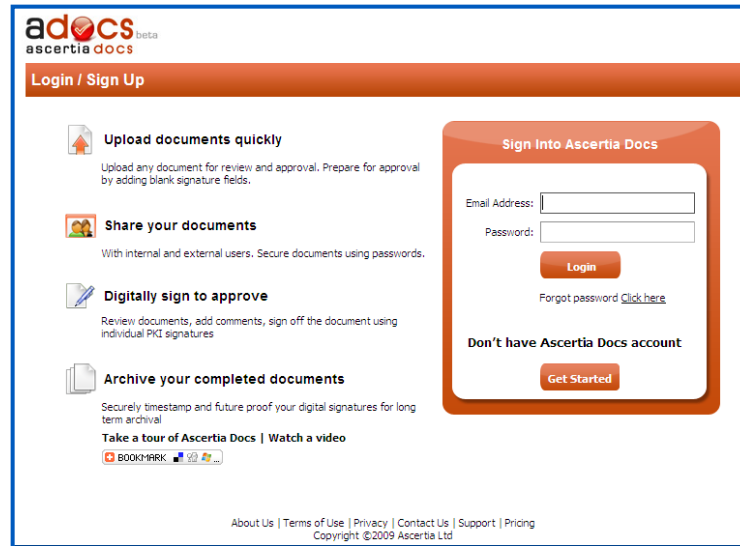
## Registering



adocs  
Server



Gavin



**adocs** beta  
ascertia docs

**Login / Sign Up**

**Upload documents quickly**  
Upload any document for review and approval. Prepare for approval by adding blank signature fields.

**Share your documents**  
With internal and external users. Secure documents using passwords.

**Digitally sign to approve**  
Review documents, add comments, sign off the document using individual PKI signatures

**Archive your completed documents**  
Securely timestamp and future proof your digital signatures for long term archival

Take a tour of Ascertia Docs | Watch a video

BOOKMARK

**Sign Into Ascertia Docs**

Email Address:

Password:

Login

Forgot password [Click here](#)

Don't have Ascertia Docs account

Get Started

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Copyright ©2009 Ascertia Ltd

Gavin registers for an account and creates a personal profile on adocs:

- Behind the scene Ascertia Docs interacts with ADSS Server to securely generate a unique signing key pair. Keys are protected under secret password only known to Gavin (or OTP password scheme like GrIDSure™)
- Gavin design's his own signature appearance with hand-signature image, company logo etc (or uses the default one)
- Ascertia Docs will also use locally held certificates in the next release

# Document Upload

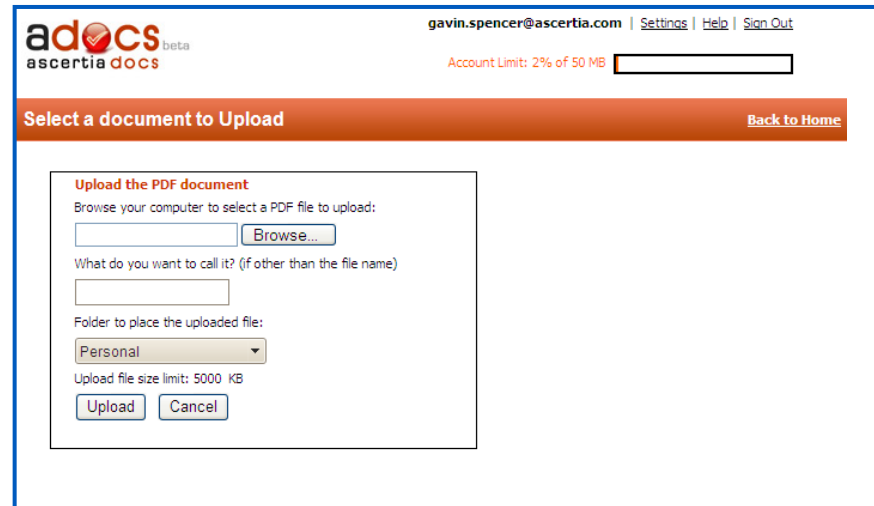
## Document Upload



adocs Server



Gavin



The screenshot shows the 'adocs beta ascertia docs' interface. At the top right, it displays the user 'gavin.spencer@ascertia.com' with links for 'Settings', 'Help', and 'Sign Out'. Below this, it shows 'Account Limit: 2% of 50 MB' with a progress bar. The main heading is 'Select a document to Upload' with a 'Back to Home' link. The central form is titled 'Upload the PDF document' and contains the following fields and buttons:

- 'Browse your computer to select a PDF file to upload:' with an empty text box and a 'Browse...' button.
- 'What do you want to call it? (if other than the file name):' with an empty text box.
- 'Folder to place the uploaded file:' with a dropdown menu currently set to 'Personal'.
- 'Upload file size limit: 5000 KB'.
- 'Upload' and 'Cancel' buttons at the bottom.

Once registered, Gavin uploads a contract document

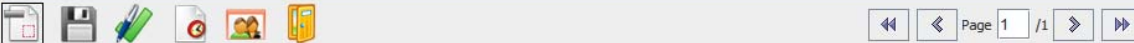
- Once uploaded Gavin can view the document, create blank signature fields and assign who needs to sign each field and the order of signing

Deployment / Integration notes:

- PDF, DOC, DOCX, ODT, XLS, PPT, XLSX, PPTX, RTF and other document formats are supported
- API Integration for document management systems will be provided

## Document preparation for sign-off

Showing document ( Sales Agreement )



However, this obligation will not apply to Confidential Information which: (a) at the time of such confidential disclosure was available to the public; (b) subsequent to such confidential disclosure, became available to the public through no fault of Recipient; (c) which Recipient can show was rightfully in its possession prior to such confidential disclosure by Discloser, without a similar restriction as to confidentiality; (d) is received by Recipient subsequent to such confidential disclosure by Discloser, from any other party who is under no obligation to treat the information in a confidential manner; or (e) is transmitted to another party pursuant to written permission given by Discloser. Additionally, such confidential information may be disclosed by Recipient pursuant to a valid court order, provided however that Recipient shall notify Discloser of such order immediately upon its receipt thereof so Discloser may seek an appropriate protective order.

Discloser hereby grants no right or license in relation to the Confidential Information to Recipient merely as the result of such disclosure. It is further understood that the obligation concerning keeping information confidential shall bind Recipient's employees, agents and representatives and the employees, agents and representatives of Recipient's successors.

This agreement shall be interpreted and governed in accordance with the laws of England and Wales.

This agreement shall remain in effect for a period of three (3) years from the date hereof. Confidentiality obligations shall survive the termination and expiration of this agreement for a period of five (5) years.

<p>For and on behalf of Party 1:</p> <p><u>For Lucy</u></p> <p>To be signed by: lucy.larkin@live.co.uk</p> <p>Authorised Signatory</p>	<p>For and on behalf of Party 2</p> <p>Authorised Signatory</p>
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The Ascertia Docs PDF applet viewer allows the document to be viewed, signature location fields to be added and assigned to specific contacts using the toolbar buttons.

## Digital signature management features

- **Unique signature appearances are applied**
  - including signature images and company logos
- **Signature locations are drawn as required**
  - and optionally locked for a specific signer
  - unlike other solution approaches
- **Owners can track their document sign-off status**
  - On demand in real-time
  - Documents are routed to each signer (in sequence or in parallel)
- **An automatic reminder policy**
  - For signers that do not sign documents on time
- **Document history is maintained**
  - Owners can review each revision of the document

# Document Sharing

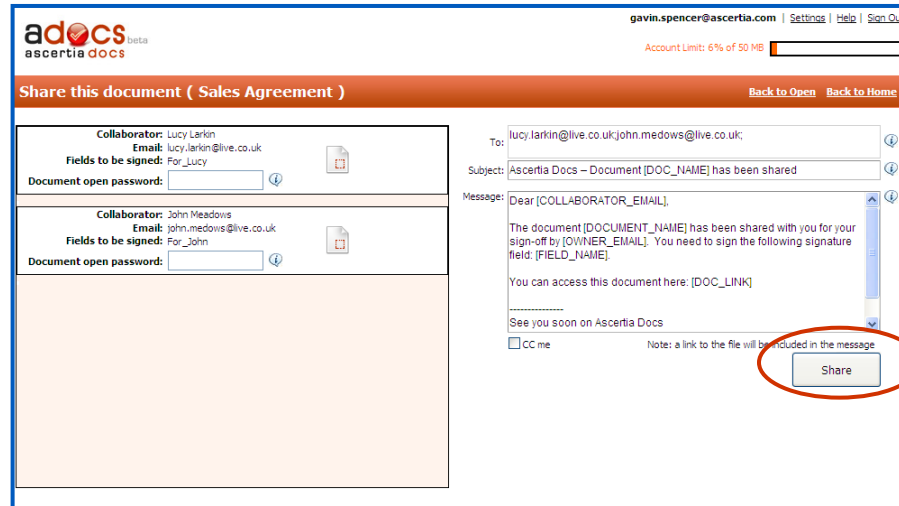
## Document Sharing



adocs  
Server



Gavin



The screenshot shows the 'adocs' web interface for sharing a document. The page title is 'Share this document ( Sales Agreement )'. It features two collaborator entries:

- Collaborator 1:** Lucy Larkin, Email: lucy.larkin@live.co.uk, Fields to be signed: For\_Lucy, Document open password: [input field]
- Collaborator 2:** John Meadows, Email: john.meadows@live.co.uk, Fields to be signed: For\_John, Document open password: [input field]

Below the form is a preview of the email message that will be sent:

To: lucy.larkin@live.co.uk;john.meadows@live.co.uk;  
 Subject: Ascertia Docs – Document [DOC\_NAME] has been shared  
 Message: Dear [COLLABORATOR\_EMAIL],  
 The document [DOCUMENT\_NAME] has been shared with you for your sign-off by [OWNER\_EMAIL]. You need to sign the following signature field: [FIELD\_NAME].  
 You can access this document here: [DOC\_LINK]  
 See you soon on Ascertia Docs  
 CC me Note: a link to the file will be included in the message

A red circle highlights the 'Share' button at the bottom right of the message preview.

Once a document is ready to be sent for review and approval by others Gavin simply adds contacts from his contacts book. Gavin can:

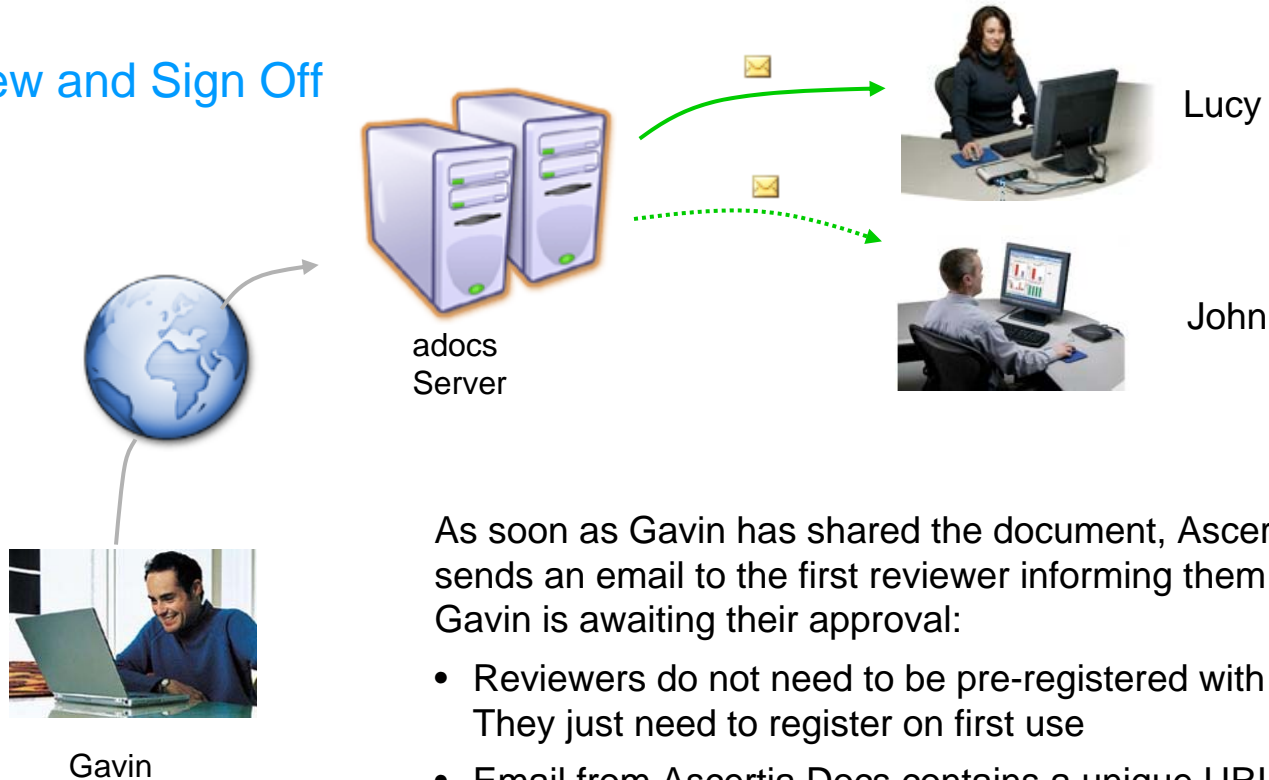
- define document passwords which must be entered by the reviewer before being allowed access to the document
- define specific access rights, e.g. ability to print the document. Access rights like “not open before (or after) date” etc. are also possible
- add notes for specific viewers which will be visible once the document is opened by the reviewed.

The document will be shared only upon pressing “Share” button.

Sharing of a particular document can be stopped at any time later.

## How does it work?

### Review and Sign Off

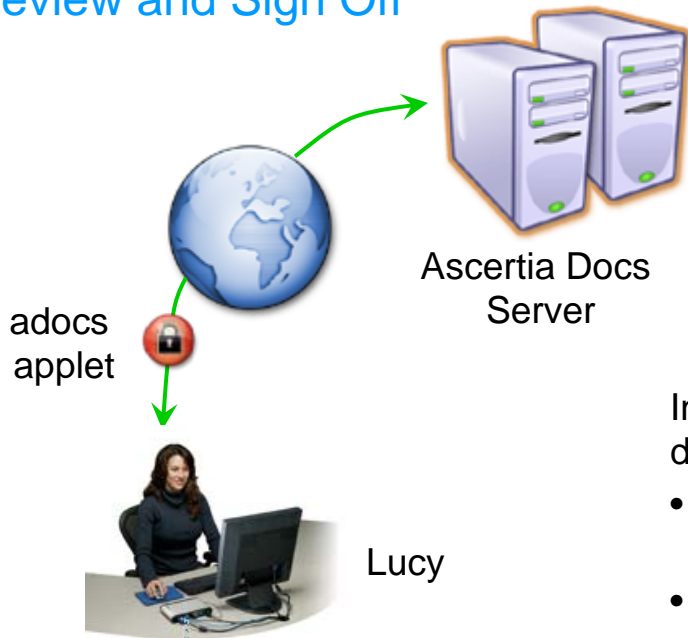


As soon as Gavin has shared the document, Ascertia Docs automatically sends an email to the first reviewer informing them that a document from Gavin is awaiting their approval:

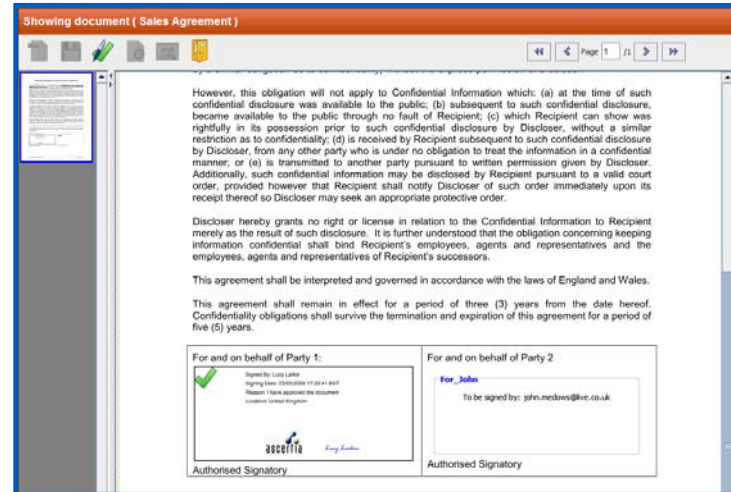
- Reviewers do not need to be pre-registered with Ascertia Docs  
They just need to register on first use
- Email from Ascertia Docs contains a unique URL for the reviewer to see the document online and then to sign it
- Any additional reviewers are only emailed once it is their turn to sign
- Gavin can see the sign-off progress at all times

# Review & Sign-off

## Review and Sign Off



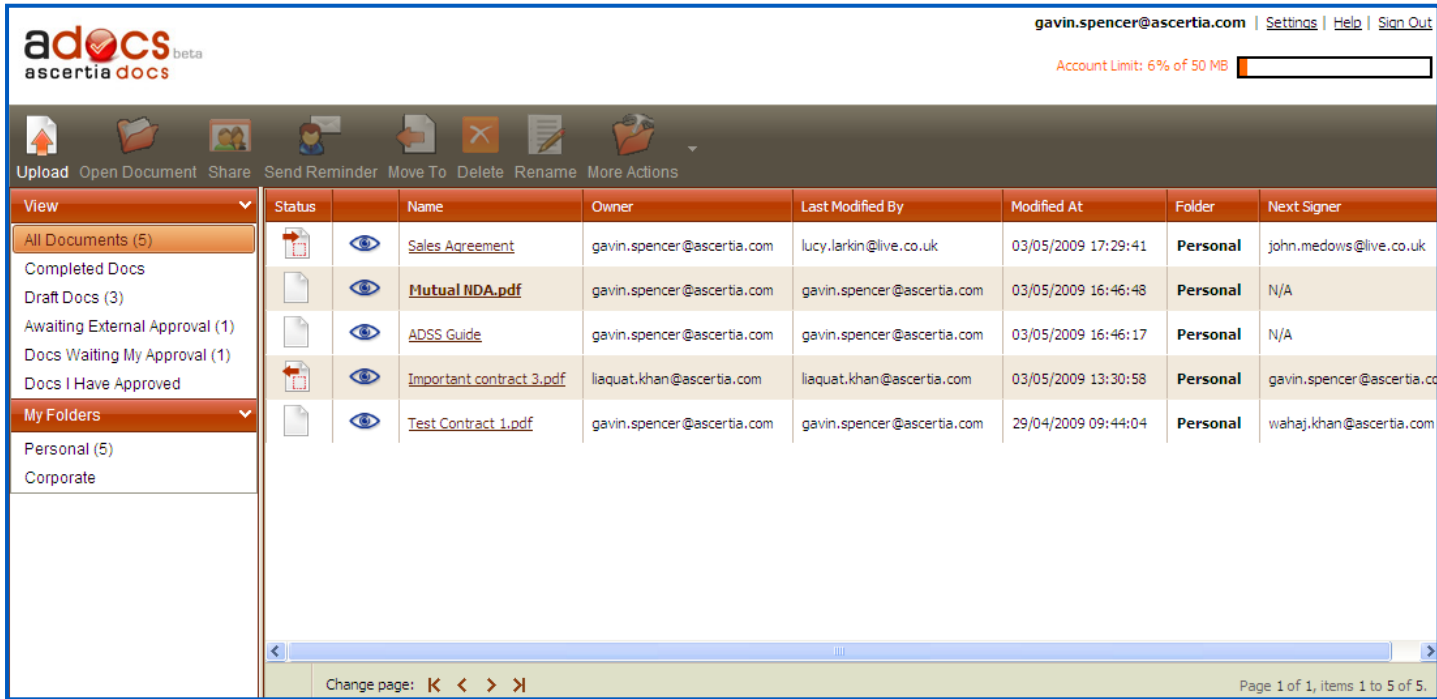
**Once Lucy signs the document, the next signer will be automatically emailed by Ascertia Docs, Gavin can see that Lucy has signed**








In order to view the document, the Ascertia Docs secure applet is download into Lucy's browser (IE, Firefox etc.).

- Lucy can review any notes from the Gavin as well as scroll through the document contents within the secure applet viewer
- Lucy can see any previous signatures and their trust status
- Lucy can sign by clicking on the blank signing field reserved for her. The actual signing operation will be done securely on the server. Signing using local keys and certificates is being added.
- Once all signers have digitally signed the document, Gavin will be notified by email






# Ascertia Docs main screen



The screenshot shows the 'adocs beta' interface for 'ascertia docs'. The user is logged in as 'gavin.spencer@ascertia.com' with a 'Settings | Help | Sign Out' menu. An account limit of '6% of 50 MB' is displayed. The main area contains a table of documents with columns for Status, Name, Owner, Last Modified By, Modified At, Folder, and Next Signer. A left sidebar shows navigation options like 'All Documents (5)', 'Draft Docs (3)', and 'My Folders'.

Status	Name	Owner	Last Modified By	Modified At	Folder	Next Signer
	<a href="#">Sales Agreement</a>	gavin.spencer@ascertia.com	lucy.larkin@live.co.uk	03/05/2009 17:29:41	Personal	john.medows@live.co.uk
	<a href="#">Mutual NDA.pdf</a>	gavin.spencer@ascertia.com	gavin.spencer@ascertia.com	03/05/2009 16:46:48	Personal	N/A
	<a href="#">ADSS Guide</a>	gavin.spencer@ascertia.com	gavin.spencer@ascertia.com	03/05/2009 16:46:17	Personal	N/A
	<a href="#">Important contract 3.pdf</a>	liaquat.khan@ascertia.com	liaquat.khan@ascertia.com	03/05/2009 13:30:58	Personal	gavin.spencer@ascertia.com
	<a href="#">Test Contract 1.pdf</a>	gavin.spencer@ascertia.com	gavin.spencer@ascertia.com	29/04/2009 09:44:04	Personal	wahaj.khan@ascertia.com

## Document Status Icons:

-  Draft document (unshared)
-  Document awaiting my approval
-  Document I have approved already
-  My document waiting for approval by someone else
-  My document fully signed-off

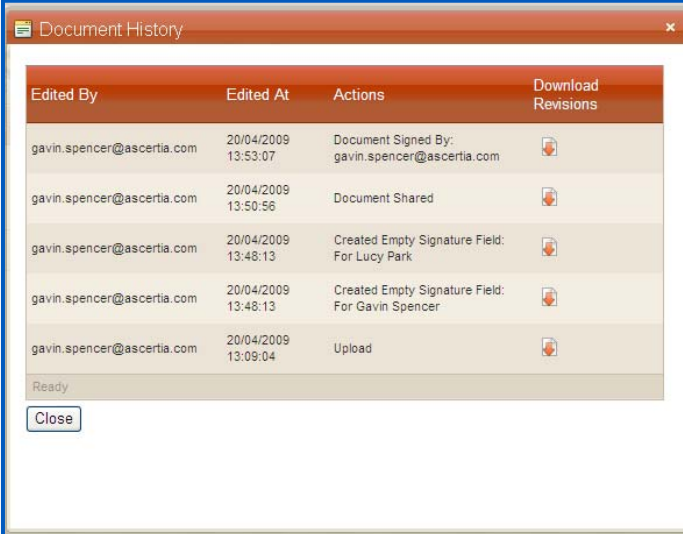
The main screen is shown when logging into adocs.






It is a central area to see all documents you have shared and their status, as well as documents shared by others which need your approval.

## Secure Document Audit Trail

- **Provides a secure history for each document**
  - When the document was shared
  - Who has viewed it and when
  - Who has signed it and when
  - Previous versions of the document can be download and viewed

**Document History facility is only available to the document owner**



Edited By	Edited At	Actions	Download Revisions
gavin.spencer@ascertia.com	20/04/2009 13:53:07	Document Signed By: gavin.spencer@ascertia.com	
gavin.spencer@ascertia.com	20/04/2009 13:50:56	Document Shared	
gavin.spencer@ascertia.com	20/04/2009 13:48:13	Created Empty Signature Field: For Lucy Park	
gavin.spencer@ascertia.com	20/04/2009 13:48:13	Created Empty Signature Field: For Gavin Spencer	
gavin.spencer@ascertia.com	20/04/2009 13:09:04	Upload	

Ready

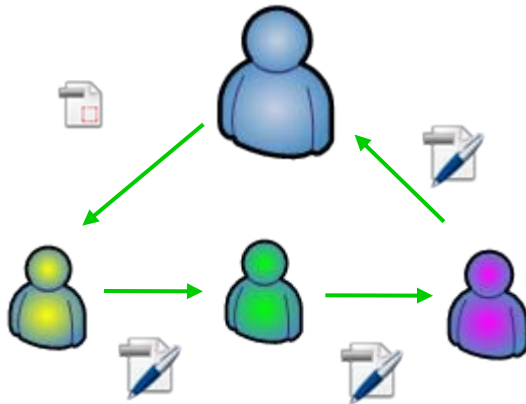
Close

## Security Management Features

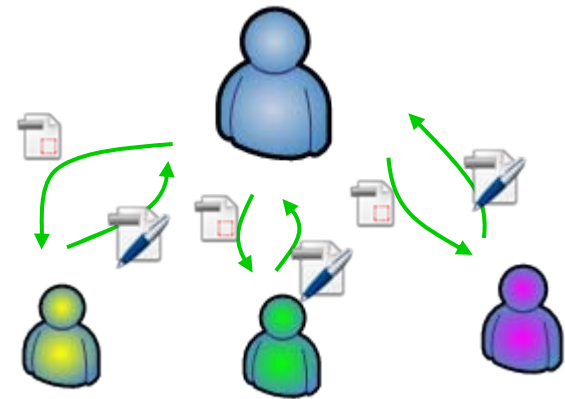
- **Secure audit log for user login data, document access and any changes**
- **All signing transactions kept in secure HMAC protected logs**
- **The use of a Hardware Security Module (HSM) for secure key generation and storage is supported**
- **Secure operator authentication, role-based access control and a dual control option**
- **Able to determine which certificate issuers to trust (e.g. only qualified certificates)**

## Two Signature Workflows

- **Two signature workflows are supported to allow a document to be signed by multiple signers**



The same document needs to be signed by all reviewers (e.g. for contract documents)



Each signer signs their own version of the document (e.g. HR forms)  
– this operation can be performed in parallel

**Ascertia Docs caters for both scenarios, the owner can define at time of sharing whether reviewers will sign the same document in turn or each will sign their own copy of the document separately.**

## Long-term signatures & archiving

- **Standard PDF signatures are used by default**
- **Other signature formats are supported**
  - With embedded timestamp to prove time of signing
  - With embedded signer certificate status information to prove signer's certificate was valid at time of signing
- **Long-term signature verification**
  - These can be verified in future even after signer certificate expiry or revocation
- **Ascertia Docs Notary Services**
  - Ascertia Docs can optionally notarise the documents (i.e. apply a trusted organisational level server-side signature with timestamp) as part of a secure long-term archiving process

## Local Signature Support

- **Local Signing Support**
  - In some environments users hold signing keys within Windows or within a smart card or USB token
- **Ascertia Docs v3.0**
  - Provides support local hashing and signing within the applet to enable local signing keys to be used
- **User Profiles**
  - At the time of registration a user selects whether they wish to use server-side keys or local smart card/token (or the choice is made by the administrator)

## Formats & Platforms

- **Signatures**
  - standard PDF signatures (verifiable using Adobe Reader)
  - Support available for PDF/A signatures also
- **Document types**
  - Various formats: PDF, DOC, DOCX, PPT, ODT, XLS, XLSX, PPTX, RTF etc.
  - These document formats are converted to PDF before signign
- **Client platform requirements**
  - Any client platform running IE 6 or 7 for FireFox 3
  - Other browsers expected to work but primary testing is on IE and Firefox
  - JRE 1.6 (Java 6) is required
- **Server requirements (if hosting in-house)**
  - Windows 2003 Server & SQL Server 2005
  - Windows 2008 / SQL Server 2008 available on request



## Ascertia Docs - Summary

- **The most advanced SaaS solution for managed document collaboration and approval**
- **Ask Ascertia for more information on how Ascertia Docs can be used**
- **Better still try it for yourself at <http://docs.ascertia.com>**

***Ascertia - the trust solution experts***



**adocs** beta  
ascertia docs

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*Identity Proven, Trust Delivered*

info@ascertia.com

www.ascertia.com

