



PKCS #11 Cryptographic Token Interface Profiles Version 2.40

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Related work:

This specification is related to:

- *PKCS #11 Cryptographic Token Interface Base Specification Version 2.40*. Edited by Susan Gleeson and Chris Zimman. Latest version. <http://docs.oasis-open.org/pkcs11/pkcs11-base/v2.40/pkcs11-base-v2.40.html>.
- *PKCS #11 Cryptographic Token Interface Current Mechanisms Specification Version 2.40*. Edited by Susan Gleeson and Chris Zimman. Latest version. <http://docs.oasis-open.org/pkcs11/pkcs11-curr/v2.40/pkcs11-curr-v2.40.html>.
- *PKCS #11 Cryptographic Token Interface Historical Mechanisms Specification Version 2.40*. Edited by Susan Gleeson and Chris Zimman. Latest version. <http://docs.oasis-open.org/pkcs11/pkcs11-hist/v2.40/pkcs11-hist-v2.40.html>.
- *PKCS #11 Cryptographic Token Interface Usage Guide Version 2.40*. Edited by John Leiseboer and Robert Griffin. Latest version. <http://docs.oasis-open.org/pkcs11/pkcs11-ug/v2.40/pkcs11-ug-v2.40.html>.

Abstract:

This document is intended for developers and architects who wish to design systems and applications that conform to the PKCS #11 Cryptographic Token Interface standard.

The PKCS #11 Cryptographic Token Interface standard documents an API for devices that may hold cryptographic information and may perform cryptographic functions.

Status:

This document was last revised or approved by the OASIS PKCS 11 TC on the above date. The level of approval is also listed above. Check the “Latest version” location noted above for possible later revisions of this document. Any other numbered Versions and other technical work produced by the Technical Committee (TC) are listed at https://www.oasis-open.org/committees/tc_home.php?wg_abbrev=pkcs11#technical.

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1 Introduction

1.1 Description of this Document

OASIS requires a conformance section in an approved committee specification ([PKCS11-Base] [TCPROC], section 2.18 Work Product Quality, paragraph 8a):

A specification that is approved by the TC at the Public Review Draft, Committee Specification or OASIS Standard level must include a separate section, listing a set of numbered conformance clauses, to which any implementation of the specification must adhere in order to claim conformance to the specification (or any optional portion thereof).

This document intends to meet this OASIS requirement on conformance clauses for providers and consumers of cryptographic services via PKCS #11 ([PKCS11-Base] Section 6 (PKCS#11 Implementation Conformance) through profiles that define the use of PKCS #11 data types, objects, functions and mechanisms within specific contexts of provider and consumer interaction. These profiles define a set of normative constraints for employing PKCS #11 within a particular environment or context of use. They may, optionally, require the use of specific PKCS #11 functionality or in other respects define the processing rules to be followed by profile actors.

For normative definition of the elements of PKCS #11 specified in these profiles, see the PKCS #11 Cryptographic Token Interface Base Specification ([PKCS11-Base]), and the PKCS #11 Cryptographic Token Interface Current Mechanisms ([PKCS11-Curr]). Illustrative guidance for the implementation of providers and consumers of PKCS #11 is provided in the PKCS #11 Cryptographic Token Interface Usage Guide ([PKCS11-UG]).

1.2 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 [RFC2119].

1.3 Normative References

- [PKCS11-Base]** *PKCS #11 Cryptographic Token Interface Base Specification Version 2.40.* Edited by Susan Gleeson and Chris Zimman. 23 December 2014. Candidate OASIS Standard 01. <http://docs.oasis-open.org/pkcs11/pkcs11-base/v2.40/cos01/pkcs11-base-v2.40-cos01.html>. Latest version: <http://docs.oasis-open.org/pkcs11/pkcs11-base/v2.40/pkcs11-base-v2.40.html>.
- [PKCS11-Curr]** *PKCS #11 Cryptographic Token Interface Current Mechanisms Specification Version 2.40.* Edited by Susan Gleeson and Chris Zimman. 23 December 2014. Candidate OASIS Standard 01. <http://docs.oasis-open.org/pkcs11/pkcs11-curr/v2.40/cos01/pkcs11-curr-v2.40-cos01.html>. Latest version: <http://docs.oasis-open.org/pkcs11/pkcs11-curr/v2.40/pkcs11-curr-v2.40.html>.
- [PKCS11-Hist]** *PKCS #11 Cryptographic Token Interface Historical Mechanisms Specification Version 2.40.* Edited by Susan Gleeson and Chris Zimman. 23 December 2014. Candidate OASIS Standard 01. <http://docs.oasis-open.org/pkcs11/pkcs11-hist/v2.40/cos01/pkcs11-hist-v2.40-cos01.html>. Latest version: <http://docs.oasis-open.org/pkcs11/pkcs11-hist/v2.40/pkcs11-hist-v2.40.html>.
- [RFC2119]** Bradner, S., “Key words for use in RFCs to Indicate Requirement Levels”, BCP 14, RFC 2119, March 1997. <http://www.ietf.org/rfc/rfc2119.txt>.
- [TCPROC]** OASIS, *Technical Committee (TC) Process, Version 31 January 2013, 31 January 2013*, <https://www.oasis-open.org/policies-guidelines/tc-process>.

46 **1.4 Non-Normative References**

47 **[PKCS11-UG]** *PKCS #11 Cryptographic Token Interface Usage Guide Version 2.40*. Edited by
48 John Leiseboer and Robert Griffin. 16 November 2014. OASIS Committee Note
49 02. [http://docs.oasis-open.org/pkcs11/pkcs11-ug/v2.40/cn02/pkcs11-ug-v2.40-](http://docs.oasis-open.org/pkcs11/pkcs11-ug/v2.40/cn02/pkcs11-ug-v2.40-cn02.html)
50 [cn02.html](http://docs.oasis-open.org/pkcs11/pkcs11-ug/v2.40/cn02.html). Latest version: [http://docs.oasis-open.org/pkcs11-](http://docs.oasis-open.org/pkcs11/pkcs11-ug/v2.40/pkcs11-ug-v2.40.html)
51 [ug/v2.40/pkcs11-ug-v2.40.html](http://docs.oasis-open.org/pkcs11/pkcs11-ug/v2.40/pkcs11-ug-v2.40.html).
52

53 2 Profiles

54 2.1 PKCS #11 Profiles

55 This document defines a selected set of conformance clauses which form PKCS #11 Profiles. The PKCS
56 11 TC also welcomes proposals for new profiles. PKCS 11 TC members are encouraged to submit these
57 proposals to the PKCS 11 TC for consideration for inclusion in a future version of this TC-approved
58 document. However, some OASIS members MAY simply wish to inform the committee of profiles or other
59 work related to PKCS #11.

60 2.2 Guidelines for Specifying Conformance Clauses

61 This section provides a checklist of issues that SHALL be addressed by each clause.

- 62 1. Implement functionality as mandated by **[PKCS11-Base] Section 6** (PKCS#11 Implementation
63 Conformance)
- 64 2. Specify the list of additional data types that SHALL be supported
- 65 3. Specify the list of additional objects that SHALL be supported
- 66 4. Specify the list of additional functions that SHALL be supported
- 67 5. Specify the list of additional mechanisms that SHALL be supported

68

69 2.3 Guidelines for Validating Conformance to PKCS #11 Profiles

70 A PKCS #11 provider implementation SHALL claim conformance to a specific provider profile only if it
71 instruments all required data types, objects, functions and mechanisms of that profile

- 72 • All data types specified as required in that profile
- 73 • All objects specified as required in that profile
- 74 • All functions specified as required in that profile
- 75 • All mechanisms specified as required in that profile

76 A PKCS #11 consumer implementation SHALL claim conformance to a specific consumer profile only
77 if it instruments all required data types, objects, functions and mechanisms of that profile

- 78 • All data types specified as required in that profile
- 79 • All objects specified as required in that profile
- 80 • All functions specified as required in that profile
- 81 • All mechanisms specified as required in that profile

82

83 3 Conformance

84 3.1 Purpose of this Section

85 The following subsections describe currently-defined profiles related to the use of PKCS #11. The profiles
86 define classes of PKCS #11 functionality to which an implementation can declare conformance.

87 3.2 Baseline Consumer Clause

88 A PKCS #11 consumer calls a PKCS #11 provider implementation of the PKCS #11 API in order to use
89 the cryptographic functionality from that provider.

90

91 This profile specifies the most basic functionality that would be expected of a conformant PKCS #11
92 consumer – the ability to consume information via the cryptographic services offered by a provider.

93 3.2.1 Implementation Conformance

94 An implementation is a conforming Baseline Consumer Clause if it meets the conditions as outlined in the
95 following section.

96 3.2.2 Conformance of a PKCS #11 Baseline Consumer

97 An implementation conforms to this specification as a Baseline Consumer if it meets the following
98 conditions:

- 99 1. Supports the conditions required by the PKCS #11 conformance clauses ([PKCS11-Base]
100 Section 6 (PKCS#11 Implementation Conformance))
- 101 2. Supports the following data types:
 - 102 a. CK_VERSION ([PKCS11-Base] 3.1)
 - 103 b. CK_INFO ([PKCS11-Base] 3.1)
 - 104 c. CK_SLOT_ID ([PKCS11-Base] 3.2)
 - 105 d. CK_SLOT_INFO ([PKCS11-Base] 3.2)
 - 106 e. CK_TOKEN_INFO ([PKCS11-Base] 3.2)
 - 107 f. CK_SESSION_HANDLE ([PKCS11-Base] 3.3)
 - 108 g. CK_USER_TYPE ([PKCS11-Base] 3.3)
 - 109 h. CK_SESSION_INFO ([PKCS11-Base] 3.3)
 - 110 i. CK_OBJECT_HANDLE ([PKCS11-Base] 3.4)
 - 111 j. CK_OBJECT_CLASS ([PKCS11-Base] 3.4)
 - 112 k. CK_ATTRIBUTE_TYPE ([PKCS11-Base] 3.4)
 - 113 l. CK_ATTRIBUTE ([PKCS11-Base] 3.4)
 - 114 m. CK_RV ([PKCS11-Base] 3.6)
 - 115 n. CK_FUNCTION_LIST ([PKCS11-Base] 3.6)
 - 116 o. CK_C_INITIALIZE_ARGS ([PKCS11-Base] 3.7)
- 117 3. Supports the following objects:
 - 118 a. CKA_CLASS ([PKCS11-Base] 4.2)
 - 119 b. CKA_VALUE ([PKCS11-Base])
- 120 4. Supports the following functions:
 - 121 a. C_GetFunctionList ([PKCS11-Base] 5.4)
 - 122 b. C_Initialize ([PKCS11-Base] 5.4)
 - 123 c. C_Finalize ([PKCS11-Base] 5.4)
 - 124 d. C_GetInfo ([PKCS11-Base] 5.4)
 - 125 e. C_GetSlotList ([PKCS11-Base] 5.5)

- 126 f. C_GetSlotInfo ([PKCS11-Base] 5.5)
- 127 g. C_GetTokenInfo ([PKCS11-Base] 5.5)
- 128 h. C_OpenSession ([PKCS11-Base] 5.6)
- 129 i. C_CloseSession ([PKCS11-Base] 5.6)
- 130 5. Supports the following mechanisms:
- 131 a. None specified
- 132 6. Supports Error Handling ([PKCS11-Base] 5.1) for any supported object, function or mechanism
- 133 7. Optionally supports any clause within [PKCS11-Base] that is not listed above
- 134 8. Optionally supports extensions outside the scope of this standard (e.g., vendor defined
- 135 extensions, conformance clauses) that do not contradict any PKCS #11 requirements

136 3.3 Baseline Provider Clause

137 A PKCS #11 provider makes cryptographic functionality available to a consuming application in terms of
138 the PKCS #11 API.

139 This profile specifies the most basic functionality that would be expected of a conformant PKCS #11
140 provider – the ability to provide information about the capabilities of the cryptographic services provided.

141 3.3.1 Implementation Conformance

142 An implementation is a conforming Baseline Provider if it meets the conditions as outlined in the following
143 section.

144 3.3.2 Conformance of a PKCS #11 Baseline Provider

145 An implementation conforms to this specification as a Baseline Provider if it meets the following
146 conditions:

- 147 1. Supports the conditions required by the PKCS #11 conformance clauses ([PKCS11-Base]
148 Section 6 (PKCS#11 Implementation Conformance))
- 149 2. Supports the following data types:
 - 150 a. CK_VERSION ([PKCS11-Base] 3.1)
 - 151 b. CK_INFO ([PKCS11-Base] 3.1)
 - 152 c. CK_SLOT_ID ([PKCS11-Base] 3.2)
 - 153 d. CK_SLOT_INFO ([PKCS11-Base] 3.2)
 - 154 e. CK_TOKEN_INFO ([PKCS11-Base] 3.2)
 - 155 f. CK_SESSION_HANDLE ([PKCS11-Base] 3.3)
 - 156 g. CK_USER_TYPE ([PKCS11-Base] 3.3)
 - 157 h. CK_SESSION_INFO ([PKCS11-Base] 3.3)
 - 158 i. CK_OBJECT_HANDLE ([PKCS11-Base] 3.4)
 - 159 j. CK_OBJECT_CLASS ([PKCS11-Base] 3.4)
 - 160 k. CK_ATTRIBUTE_TYPE ([PKCS11-Base] 3.4)
 - 161 l. CK_ATTRIBUTE ([PKCS11-Base] 3.4)
 - 162 m. CK_RV ([PKCS11-Base] 3.6)
 - 163 n. CK_FUNCTION_LIST ([PKCS11-Base] 3.6)
 - 164 o. CK_C_INITIALIZE_ARGS ([PKCS11-Base] 3.7)
- 165 3. Supports the following objects:
 - 166 a. CKA_CLASS ([PKCS11-Base] 4.2)
 - 167 b. CKA_TOKEN ([PKCS11-Base] 4.2)
 - 168 c. CKA_VALUE ([PKCS11-Base])
 - 169 d. CKA_ID ([PKCS11-Base])
 - 170 e. CKA_PRIVATE ([PKCS11-Base] x.y)
 - 171 f. CKA_MODIFIABLE ([PKCS11-Base])
 - 172 g. CKA_LABEL ([PKCS11-Base])
- 173 4. Supports the following functions:

- 174 a. C_GetFunctionList ([PKCS11-Base] 5.4)
 - 175 b. C_Initialize ([PKCS11-Base] 5.4)
 - 176 c. C_Finalize ([PKCS11-Base] 5.4)
 - 177 d. C_GetInfo ([PKCS11-Base] 5.4)
 - 178 e. C_GetSlotList ([PKCS11-Base] 5.5)
 - 179 f. C_GetSlotInfo ([PKCS11-Base] 5.5)
 - 180 g. C_GetTokenInfo ([PKCS11-Base] 5.5)
 - 181 h. C_OpenSession ([PKCS11-Base] 5.6)
 - 182 i. C_CloseSession ([PKCS11-Base] 5.6)
 - 183 j. C_GetSessionInfo ([PKCS11-Base] 5.6)
 - 184 k. C_FindObjectsInit ([PKCS11-Base] 5.6)
 - 185 l. C_FindObjects ([PKCS11-Base] 5.6)
 - 186 m. C_FindObjectsFinal ([PKCS11-Base] 5.6)
 - 187 n. C_GetAttributeValue ([PKCS11-Base] 5.7)
- 188 5. Supports the following mechanisms:
 - 189 a. None specified
 - 190 6. Supports Error Handling ([PKCS11-Base] 5.1) for any supported object, function or mechanism
 - 191 7. Optionally supports any clause within [PKCS11-Base] that is not listed above
 - 192 8. Optionally supports extensions outside the scope of this standard (e.g., vendor defined
 - 193 extensions, conformance clauses) that do not contradict any PKCS #11 requirements

194 3.4 Extended Consumer Clause

195 This profile builds on the PKCS#11 Baseline Consumer profile to add support for mechanism-based
196 usage.

197 3.4.1 Implementation Conformance

198 An implementation is a conforming Extended Consumer if it meets the conditions as outlined in the
199 following section.

200 3.4.2 Conformance of a PKCS #11 Extended Consumer

201 An implementation conforms to this specification as Extended Consumer if it meets the following
202 conditions:

- 203 1. Supports the conditions required by the PKCS11 conformance clauses ([PKCS11-Base] Section
- 204 6 (PKCS#11 Implementation Conformance)
- 205 2. Supports the conditions required by the PKCS11 Baseline Consumer clauses section 3.2
- 206 3. Supports the following additional data types:
- 207 a. CK_MECHANISM_TYPE ([PKCS11-Base] 3.4)
- 208 b. CK_MECHANISM ([PKCS11-Base] 3.4)
- 209 4. Supports the following additional objects:
- 210 a. None specified
- 211 5. Supports the following additional functions:
- 212 a. C_GetMechanismList ([PKCS11-Base] 5.5)
- 213 b. C_GetMechanismInfo ([PKCS11-Base] 5.5)
- 214 6. Supports the following additional mechanisms:
- 215 a. None specified
- 216 7. Supports Error Handling ([PKCS11-Base] 5.1) for any supported object, function or mechanism
- 217 8. Optionally supports any clause within [PKCS11-Base] that is not listed above
- 218 9. Optionally supports extensions outside the scope of this standard (e.g., vendor defined
- 219 extensions, conformance clauses) that do not contradict any PKCS #11 requirements

220 **3.5 Extended Provider Clause**

221 This profile builds on the PKCS#11 Baseline Provider to add support for mechanism-based usage.

222 **3.5.1 Implementation Conformance**

223 An implementation is a conforming Extended Provider if it meets the conditions as outlined in the
224 following section.

225 **3.5.2 Conformance of a PKCS #11 Extended Provider**

226 An implementation conforms to this specification as Extended Provider if it meets the following conditions:

- 227 1. Supports the conditions required by the PKCS #11 conformance clauses ([PKCS11-Base]
228 Section 6 (PKCS#11 Implementation Conformance)
- 229 2. Supports the conditions required by the PKCS #11 Baseline Provider clauses section 3.3.
- 230 3. Supports the following additional data types:
 - 231 a. CK_MECHANISM_TYPE ([PKCS11-Base] 3.4)
 - 232 b. CK_MECHANISM ([PKCS11-Base] 3.4)
 - 233
- 234 4. Supports the following additional objects:
 - 235 a. None specified
- 236 5. Supports the following additional functions:
 - 237 a. C_GetMechanismList ([PKCS11-Base] 5.5)
 - 238 b. C_GetMechanismInfo ([PKCS11-Base] 5.5)
 - 239 c. C_Login ([PKCS11-Base] 5.6)
 - 240 d. C_Logout ([PKCS11-Base] 5.6)
- 241 6. Supports the following additional mechanisms:
 - 242 a. None specified
- 243 7. Supports Error Handling ([PKCS11-Base] 5.1) for any supported object, function or mechanism
- 244 8. Optionally supports any clause within [PKCS11-Base] that is not listed above
- 245 9. Optionally supports extensions outside the scope of this standard (e.g., vendor defined
246 extensions, conformance clauses) that do not contradict any PKCS #11 requirements

247 **3.6 Authentication Token Clause**

248 This profile builds on the PKCS #11 Baseline Provider and/or Baseline Consumer profiles to provide for
249 use in the context of an authentication token.

250 **3.6.1 Implementation Conformance**

251 An implementation is a conforming Authentication Token if it meets the conditions as outlined in the
252 following section.

253 **3.6.2 Conformance of a Authentication Token**

254 An implementation conforms to this specification as an Authentication Token if it meets the following
255 conditions:

- 256 1. If the implementation is a consumer then it SHALL support the conditions required by the PKCS
257 #11 Baseline Consumer Clause (Section 3.2)
- 258 2. If the implementation is a provider then it SHALL support the conditions required by the PKCS
259 #11 Baseline Provider Clause (Section 3.3)
- 260 3. Supports the following objects:

- 261 a. CKO_PRIVATE_KEY
262 b. CKO_PUBLIC_KEY
263 4. Supports the following functions:
264 a. C_Login
265 b. C_Logout
266 c. C_SignInit
267 d. C_Sign and/or C_SignUpdate and C_SignFinal
268 5. Supports the following mechanisms:
269 a. None specified
270 6. Optionally supports any clause within [PKCS11-Base] that is not listed above
271 7. Optionally supports extensions outside the scope of this standard (e.g., vendor defined
272 extensions, conformance clauses) that do not contradict any PKCS #11 requirements.
273

274 Appendix A. Acknowledgments

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276 acknowledged:

277

278 **Participants:**

279

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284 Anthony Berglas, Cryptsoft

285 Joseph Brand, Semper Fortis Solutions LLC

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297 Valerie Fenwick, Oracle

298 Terry Fletcher, SafeNet, Inc.

299 Susan Gleeson, Oracle

300 Sven Gossel, Charismathics

301 John Green, QuintessenceLabs

302 Robert Griffin, EMC

303 Paul Grojean, Individual

304 Peter Gutmann, Individual

305 Dennis E. Hamilton, Individual

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343 Ryan Smith, Futurex
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345 Oscar So, Oracle
346 Graham Steel, Cryptosense
347 Michael Stevens, QuintessenceLabs
348 Michael StJohns, Individual
349 Jim Susoy, P6R
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Appendix B. Revision History

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Revision	Date	Editor	Changes Made
wd01	20-Mar-2013	Tim Hudson	Template provided by OASIS
wd02	3-Apr-2013	Tim Hudson	Initial draft
wd03	18-Sep-2013	Tim Hudson	Updated draft matching current drafts of the specification
wd04	27-Oct-2013	Robert Griffin	Final participant list and other editorial changes for Committee Specification Draft
wd04a	27-Oct-2013	Tim Hudson	Deleted no longer valid comment and corrected unknown section reference.
csd01	30-Oct-2013	OASIS	Committee Specification Draft
wd05	25-Feb-2014	Tim Hudson / Robert Griffin	Incorporated changes from v2.40 public review
csd02	23-Apr-2014	OASIS	Committee Specification Draft
csd02a	Sep 3 2013	Robert Griffin	Updated revision history and participant list in preparation for Committee Specification ballot

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