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Technical Committee:

OASIS PKCS 11 TC

Chairs:

Robert Griffin (robert.griffin@rsa.com), EMC Corporation
Valerie Fenwick (valerie.fenwick@oracle.com), Oracle

Editor:

Tim Hudson (tjh@cryptsoft.com), Cryptsoft Pty Ltd.

Related work:

This specification is related to:

- *PKCS #11 Cryptographic Token Interface Base Specification Version 2.40*. 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*. 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*. 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*. 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 specification.

The PKCS #11 Cryptographic Token Interface specification 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.

Technical Committee members should send comments on this specification to the Technical Committee’s email list. Others should send comments to the Technical Committee by using the “Send A Comment” button on the Technical Committee’s web page at <http://www.oasis-open.org/committees/pkcs11/>.

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1 Introduction

OASIS requires a conformance section in an approved committee specification ([PKCS11-SPEC] [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 PKCS11 ([PKCS11-SPEC] Section 6 (PKCS#11 Implementation Conformance) through profiles that define the use of PKCS11 data types, objects, functions and mechanisms within specific contexts of provider and consumer interaction. These profiles define a set of normative constraints for employing PKCS11 within a particular environment or context of use. They may, optionally, require the use of specific PKCS11 functionality or in other respects define the processing rules to be followed by profile actors.

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

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 [RFC2119].

1.2 Normative References

- [PKCS11-CMECH] *PKCS #11 Cryptographic Token Interface Current Mechanisms Specification Version <<VERSION>>. <<DATE>>. OASIS Working Draft, <<URI>>*
- [PKCS11-HMECH] *PKCS #11 Cryptographic Token Interface Historical Mechanisms Specification Version <<VERSION>>. <<DATE>>, OASIS Working Draft, <<URI>>*
- [PKCS11-SPEC] *PKCS #11 Cryptographic Token Interface Base Specification Version <<VERSION>>. <<DATE>>. OASIS Working Draft, <<URI>>*
- [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>.*

1.3 Non-Normative References

- [PKCS11-UG] *PKCS #11 Cryptographic Token Interface Usage Guide Specification Version <<VERSION>>. <<DATE>>. OASIS Working Draft, <<URI>>*

2 Profiles

This document defines a selected set of conformance clauses which form PKCS11 Profiles. The PKCS11 TC also welcomes proposals for new profiles. PKCS11 TC members are encouraged to submit these proposals to the PKCS11 TC for consideration for inclusion in a future version of this TC-approved document. However, some OASIS members may simply wish to inform the committee of profiles or other work related to PKCS11.

2.1 Guidelines for Specifying Conformance Clauses

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

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

2.2 Guidelines for Validating Conformance to PKCS11 Profiles

A PKCS11 provider implementation SHALL claim conformance to a specific provider profile only if it instruments all required data types, objects, functions and mechanisms of that profile

- All data types specified as required in that profile
- All objects specified as required in that profile
- All functions specified as required in that profile
- All mechanisms specified as required in that profile

A PKCS11 consumer implementation SHALL claim conformance to a specific consumer profile only if it instruments all required data types, objects, functions and mechanisms of that profile

- All data types specified as required in that profile
- All objects specified as required in that profile
- All functions specified as required in that profile
- All mechanisms specified as required in that profile

3 Conformance

The following subsections describe currently-defined profiles related to the use of PKCS11.

3.1 Baseline Consumer Clause

This profile builds on the Baseline ProviPKCS11 consumer conformance clauses to provide some of the most basic functionality that would be expected of a conformant PKCS11 consumer – the ability to consume information via the cryptographic services offered by a provider.

3.1.1 Implementation Conformance

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

3.1.2 Conformance of a PKCS11 Baseline Consumer

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

1. Supports the conditions required by the PKCS11 conformance clauses ([PKCS11-SPEC] Section 6 (PKCS#11 Implementation Conformance))
2. Supports the following data types:
 - a. CK_VERSION ([PKCS11-SPEC] 3.1)
 - b. CK_INFO ([PKCS11-SPEC] 3.1)
 - c. CK_SLOT_ID ([PKCS11-SPEC] 3.2)
 - d. CK_SLOT_INFO ([PKCS11-SPEC] 3.2)
 - e. CK_TOKEN_INFO ([PKCS11-SPEC] 3.2)
 - f. CK_SESSION_HANDLE ([PKCS11-SPEC] 3.3)
 - g. CK_USER_TYPE ([PKCS11-SPEC] 3.3)
 - h. CK_SESSION_INFO ([PKCS11-SPEC] 3.3)
 - i. CK_OBJECT_HANDLE ([PKCS11-SPEC] 3.4)
 - j. CK_OBJECT_CLASS ([PKCS11-SPEC] 3.4)
 - k. CK_ATTRIBUTE_TYPE ([PKCS11-SPEC] 3.4)
 - l. CK_ATTRIBUTE ([PKCS11-SPEC] 3.4)
 - m. CK_RV ([PKCS11-SPEC] 3.6)
 - n. CK_FUNCTION_LIST ([PKCS11-SPEC] 3.6)
 - o. CK_C_INITIALIZE_ARGS ([PKCS11-SPEC] 3.7)
3. Supports the following objects:
 - a. CKA_CLASS ([PKCS11-SPEC] 4.2)
 - b. CKA_VALUE ([PKCS11-SPEC])
4. Supports the following functions:
 - a. C_GetFunctionList ([PKCS11-SPEC] 5.4)
 - b. C_Initialize ([PKCS11-SPEC] 5.4)
 - c. C_Finalize ([PKCS11-SPEC] 5.4)
 - d. C_GetInfo ([PKCS11-SPEC] 5.4)
 - e. C_GetSlotList ([PKCS11-SPEC] 5.5)
 - f. C_GetSlotInfo ([PKCS11-SPEC] 5.5)
 - g. C_GetTokenInfo ([PKCS11-SPEC] 5.5)
 - h. C_OpenSession ([PKCS11-SPEC] 5.6)
 - i. C_CloseSession ([PKCS11-SPEC] 5.6)
5. Supports the following mechanisms:
 - a. None specified

6. Supports Error Handling ([PKCS11-SPEC] 5.1) for any supported object, function or mechanism
7. Optionally supports any clause within [PKCS11-SPEC] that is not listed above
8. Optionally supports extensions outside the scope of this standard (e.g., vendor defined extensions, conformance clauses) that do not contradict any PKCS11 requirements

3.2 Baseline Provider Clause

This profile builds on the PKCS11 provider conformance clauses to provide some of the most basic functionality that would be expected of a conformant PKCS11 provider – the ability to provide information about the capabilities of the cryptographic services provided.

3.2.1 Implementation Conformance

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

3.2.2 Conformance of a PKCS11 Baseline Provider

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

1. Supports the conditions required by the PKCS11 conformance clauses ([PKCS11-SPEC] Section 6 (PKCS#11 Implementation Conformance))
2. Supports the following data types:
 - a. CK_VERSION ([PKCS11-SPEC] 3.1)
 - b. CK_INFO ([PKCS11-SPEC] 3.1)
 - c. CK_SLOT_ID ([PKCS11-SPEC] 3.2)
 - d. CK_SLOT_INFO ([PKCS11-SPEC] 3.2)
 - e. CK_TOKEN_INFO ([PKCS11-SPEC] 3.2)
 - f. CK_SESSION_HANDLE ([PKCS11-SPEC] 3.3)
 - g. CK_USER_TYPE ([PKCS11-SPEC] 3.3)
 - h. CK_SESSION_INFO ([PKCS11-SPEC] 3.3)
 - i. CK_OBJECT_HANDLE ([PKCS11-SPEC] 3.4)
 - j. CK_OBJECT_CLASS ([PKCS11-SPEC] 3.4)
 - k. CK_ATTRIBUTE_TYPE ([PKCS11-SPEC] 3.4)
 - l. CK_ATTRIBUTE ([PKCS11-SPEC] 3.4)
 - m. CK_RV ([PKCS11-SPEC] 3.6)
 - n. CK_FUNCTION_LIST ([PKCS11-SPEC] 3.6)
 - o. CK_C_INITIALIZE_ARGS ([PKCS11-SPEC] 3.7)
3. Supports the following objects:
 - a. CKA_CLASS ([PKCS11-SPEC] 4.2)
 - b. CKA_TOKEN ([PKCS11-SPEC] 4.2)
 - c. CKA_VALUE ([PKCS11-SPEC])
 - d. CKA_ID ([PKCS11-SPEC])
 - e. CKA_PRIVATE ([PKCS11-SPEC] x.y)
 - f. CKA_MODIFIABLE ([PKCS11-SPEC])
 - g. CKA_LABEL ([PKCS11-SPEC])
4. Supports the following functions:
 - a. C_GetFunctionList ([PKCS11-SPEC] 5.4)
 - b. C_Initialize ([PKCS11-SPEC] 5.4)
 - c. C_Finalize ([PKCS11-SPEC] 5.4)
 - d. C_GetInfo ([PKCS11-SPEC] 5.4)
 - e. C_GetSlotList ([PKCS11-SPEC] 5.5)
 - f. C_GetSlotInfo ([PKCS11-SPEC] 5.5)
 - g. C_GetTokenInfo ([PKCS11-SPEC] 5.5)

- h. C_OpenSession ([PKCS11-SPEC] 5.6)
 - i. C_CloseSession ([PKCS11-SPEC] 5.6)
 - j. C_GetSessionInfo ([PKCS11-SPEC] 5.6)
 - k. C_FindObjectsInit ([PKCS11-SPEC] 5.6)
 - l. C_FindObjects ([PKCS11-SPEC] 5.6)
 - m. C_FindObjectsFinal ([PKCS11-SPEC] 5.6)
 - n. C_GetAttributeValue ([PKCS11-SPEC] 5.7)
5. Supports the following mechanisms:
 - a. None specified
 6. Supports Error Handling ([PKCS11-SPEC] 5.1) for any supported object, function or mechanism
 7. Optionally supports any clause within [PKCS11-SPEC] that is not listed above
 8. Optionally supports extensions outside the scope of this standard (e.g., vendor defined extensions, conformance clauses) that do not contradict any PKCS11 requirements

3.3 Extended Consumer Clause

This profile builds on the baseline consumer clause to add support for mechanism based usage.

3.3.1 Implementation Conformance

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

3.3.2 Conformance of a PKCS11 Extended Provider

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

1. Supports the conditions required by the PKCS11 conformance clauses ([PKCS11-SPEC] Section 6 (PKCS#11 Implementation Conformance))
2. Supports the conditions required by the PKCS11 Baseline Consumer clauses section 3.1
3. Supports the following additional data types:
 - a. CK_MECHANISM_TYPE ([PKCS11-SPEC] 3.4)
 - b. CK_MECHANISM ([PKCS11-SPEC] 3.4)
4. Supports the following additional objects:
 - a. None specified
5. Supports the following additional functions:
 - a. C_GetMechanismList ([PKCS11-SPEC] 5.5)
 - b. C_GetMechanismInfo ([PKCS11-SPEC] 5.5)
6. Supports the following additional mechanisms:
 - a. None specified
7. Supports Error Handling ([PKCS11-SPEC] 5.1) for any supported object, function or mechanism
8. Optionally supports any clause within [PKCS11-SPEC] that is not listed above
9. Optionally supports extensions outside the scope of this standard (e.g., vendor defined extensions, conformance clauses) that do not contradict any PKCS11 requirements

3.4 Extended Provider Clause

This profile builds on the baseline provider clause to add support for mechanism based usage.

3.4.1 Implementation Conformance

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

3.4.2 Conformance of a PKCS11 Extended Provider

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

1. Supports the conditions required by the PKCS11 conformance clauses ([PKCS11-SPEC] Section 6 (PKCS#11 Implementation Conformance))
2. Supports the conditions required by the PKCS11 Baseline Provider clauses section 3.2.
3. Supports the following additional data types:
 - a. CK_MECHANISM_TYPE ([PKCS11-SPEC] 3.4)
 - b. CK_MECHANISM ([PKCS11-SPEC] 3.4)
4. Supports the following additional objects:
 - a. None specified
5. Supports the following additional functions:
 - a. C_GetMechanismList ([PKCS11-SPEC] 5.5)
 - b. C_GetMechanismInfo ([PKCS11-SPEC] 5.5)
 - c. C_Login ([PKCS11-SPEC] 5.6)
 - d. C_Logout ([PKCS11-SPEC] 5.6)
6. Supports the following additional mechanisms:
 - a. None specified
7. Supports Error Handling ([PKCS11-SPEC] 5.1) for any supported object, function or mechanism
8. Optionally supports any clause within [PKCS11-SPEC] that is not listed above
9. Optionally supports extensions outside the scope of this standard (e.g., vendor defined extensions, conformance clauses) that do not contradict any PKCS11 requirements

3.5 Authentication Token Clause

This profile builds on the PKCS11 provider and consumer conformance clauses to provide for use in the context of an authentication token.

3.5.1 Implementation Conformance

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

3.5.2 Conformance of a Authentication Token

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

1. If the implementation is a consumer then it SHALL support the conditions required by the PKCS11 Baseline Consumer Clause (Section 3.1)
2. If the implementation is a provider then it SHALL support the conditions required by the PKCS11 Baseline Provider Clause (Section 3.2)
3. Supports the following objects:
 - a. CKO_PRIVATE_KEY
 - b. CKO_PUBLIC_KEY
4. Supports the following functions:
 - a. C_Login
 - b. C_Logout
 - c. C_SignInit
 - d. C_Sign and/or C_SignUpdate and C_SignFinal

5. Supports the following mechanisms:
 - a. None specified
6. Optionally supports any clause within [PKCS11-SPEC] that is not listed above
7. Optionally supports extensions outside the scope of this standard (e.g., vendor defined extensions, conformance clauses) that do not contradict any PKCS11 requirements.

Appendix A. Acknowledgments

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Participants:

Gil Abel, Athena Smartcard Solutions, Inc.
Warren Armstrong, QuintessenceLabs
Peter Bartok, Venafi, Inc.
Anthony Berglas, Cryptsoft
Kelley Burgin, National Security Agency
Robert Burns, Thales e-Security
Wan-Teh Chang, Google Inc.
Hai-May Chao, Oracle
Janice Cheng, Vormetric, Inc.
Sangrae Cho, Electronics and Telecommunications Research Institute (ETRI)
Doron Cohen, SafeNet, Inc.
Fadi Cotran, Futurex
Tony Cox, Cryptsoft
Christopher Duane, EMC
Chris Dunn, SafeNet, Inc.
Valerie Fenwick, Oracle
Terry Fletcher, SafeNet, Inc.
Susan Gleeson, Oracle
Sven Gossel, Charismathics
Robert Griffin, EMC
Paul Grojean, Individual
Peter Gutmann, Individual
Dennis E. Hamilton, Individual
Thomas Hardjono, M.I.T.
Tim Hudson, Cryptsoft
Gershon Janssen, Individual
Seunghun Jin, Electronics and Telecommunications Research Institute (ETRI)
Andrey Jivsov, Symantec Corp.
Greg Kazmierczak, Wave Systems Corp.
Mark Knight, Thales e-Security
Darren Krahn, Google Inc.
Alex Krasnov, Infineon Technologies AG
Dina Kurktchi-Nimeh, Oracle
Mark Lambiase, SecureAuth Corporation

Lawrence Lee, GoTrust Technology Inc.
John Leiseboer, QuintessenceLabs
Hal Lockhart, Oracle
Robert Lockhart, Thales e-Security
Dale Moberg, Axway Software
Darren Moffat, Oracle
Valery Osheter, SafeNet, Inc.
Sean Parkinson, EMC
Rob Philpott, EMC
Mark Powers, Oracle
Ajai Puri, SafeNet, Inc.
Robert Relyea, Red Hat
Saikat Saha, Oracle
Subhash Sankuratipati, NetApp
Johann Schoetz, Infineon Technologies AG
Rayees Shamsuddin, Wave Systems Corp.
Radhika Siravara, Oracle
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Oscar So, Oracle
Michael Stevens, QuintessenceLabs
Michael StJohns, Individual
Sander Temme, Thales e-Security
Kiran Thota, VMware, Inc.
Walter-John Turnes, Gemini Security Solutions, Inc.
Stef Walter, Red Hat
Jeff Webb, Dell
Magda Zdunkiewicz, Cryptsoft
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Appendix B. Revision History

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.