

ETSI TS 133 401 V12.16.0 (2016-01)



**Digital cellular telecommunications system (Phase 2+);
Universal Mobile Telecommunications System (UMTS);
LTE;
3GPP System Architecture Evolution (SAE);
Security architecture
(3GPP TS 33.401 version 12.16.0 Release 12)**



Reference

RTS/TSGS-0333401vcg0

Keywords

GSM,LTE,SECURITY,UMTS

ETSI

650 Route des Lucioles
F-06921 Sophia Antipolis Cedex - FRANCE

Tel.: +33 4 92 94 42 00 Fax: +33 4 93 65 47 16

Siret N° 348 623 562 00017 - NAF 742 C
Association à but non lucratif enregistrée à la
Sous-Préfecture de Grasse (06) N° 7803/88

Important notice

The present document can be downloaded from:
<http://www.etsi.org/standards-search>

The present document may be made available in electronic versions and/or in print. The content of any electronic and/or print versions of the present document shall not be modified without the prior written authorization of ETSI. In case of any existing or perceived difference in contents between such versions and/or in print, the only prevailing document is the print of the Portable Document Format (PDF) version kept on a specific network drive within ETSI Secretariat.

Users of the present document should be aware that the document may be subject to revision or change of status.
Information on the current status of this and other ETSI documents is available at
<http://portal.etsi.org/tb/status/status.asp>

If you find errors in the present document, please send your comment to one of the following services:
<https://portal.etsi.org/People/CommitteeSupportStaff.aspx>

Copyright Notification

No part may be reproduced or utilized in any form or by any means, electronic or mechanical, including photocopying and microfilm except as authorized by written permission of ETSI.

The content of the PDF version shall not be modified without the written authorization of ETSI.
The copyright and the foregoing restriction extend to reproduction in all media.

© European Telecommunications Standards Institute 2016.
All rights reserved.

DECT™, PLUGTESTS™, UMTS™ and the ETSI logo are Trade Marks of ETSI registered for the benefit of its Members.
3GPP™ and **LTE™** are Trade Marks of ETSI registered for the benefit of its Members and
of the 3GPP Organizational Partners.
GSM® and the GSM logo are Trade Marks registered and owned by the GSM Association.

Intellectual Property Rights

IPRs essential or potentially essential to the present document may have been declared to ETSI. The information pertaining to these essential IPRs, if any, is publicly available for **ETSI members and non-members**, and can be found in ETSI SR 000 314: *"Intellectual Property Rights (IPRs); Essential, or potentially Essential, IPRs notified to ETSI in respect of ETSI standards"*, which is available from the ETSI Secretariat. Latest updates are available on the ETSI Web server (<https://ipr.etsi.org/>).

Pursuant to the ETSI IPR Policy, no investigation, including IPR searches, has been carried out by ETSI. No guarantee can be given as to the existence of other IPRs not referenced in ETSI SR 000 314 (or the updates on the ETSI Web server) which are, or may be, or may become, essential to the present document.

Foreword

This Technical Specification (TS) has been produced by ETSI 3rd Generation Partnership Project (3GPP).

The present document may refer to technical specifications or reports using their 3GPP identities, UMTS identities or GSM identities. These should be interpreted as being references to the corresponding ETSI deliverables.

The cross reference between GSM, UMTS, 3GPP and ETSI identities can be found under
<http://webapp.etsi.org/key/queryform.asp>.

Modal verbs terminology

In the present document "**shall**", "**shall not**", "**should**", "**should not**", "**may**", "**need not**", "**will**", "**will not**", "**can**" and "**cannot**" are to be interpreted as described in clause 3.2 of the [ETSI Drafting Rules](#) (Verbal forms for the expression of provisions).

"**must**" and "**must not**" are **NOT** allowed in ETSI deliverables except when used in direct citation.

Contents

Intellectual Property Rights	2
Foreword.....	2
Modal verbs terminology.....	2
Foreword.....	8
1 Scope	9
2 References	9
3 Definitions, symbols and abbreviations	10
3.1 Definitions.....	10
3.2 Symbols.....	12
3.3 Abbreviations	12
3.4 Conventions.....	13
4 Overview of Security Architecture.....	14
5 Security Features	14
5.1 User-to-Network security	14
5.1.0 General.....	14
5.1.1 User identity and device confidentiality	15
5.1.2 Entity authentication	15
5.1.3 User data and signalling data confidentiality	15
5.1.3.1 Ciphering requirements	15
5.1.3.2 Algorithm Identifier Values	15
5.1.4 User data and signalling data integrity.....	16
5.1.4.1 Integrity requirements	16
5.1.4.2 Algorithm Identifier Values	16
5.2 Security visibility and configurability	17
5.3 Security requirements on eNodeB	17
5.3.1 General.....	17
5.3.2 Requirements for eNB setup and configuration.....	17
5.3.3 Requirements for key management inside eNB	18
5.3.4 Requirements for handling User plane data for the eNB	18
5.3.4a Requirements for handling Control plane data for the eNB.....	18
5.3.5 Requirements for secure environment of the eNB	18
5.4 Void.....	19
6 Security Procedures between UE and EPC Network Elements	19
6.0 General	19
6.1 Authentication and key agreement	19
6.1.1 AKA procedure.....	19
6.1.2 Distribution of authentication data from HSS to serving network.....	20
6.1.3 User identification by a permanent identity	21
6.1.4 Distribution of IMSI and authentication data within one serving network domain	22
6.1.5 Distribution of IMSI and authentication data between different serving network domains.....	23
6.1.6 Distribution of IMSI and UMTS authentication vectors between MMEs or between MME and SGSN	23
6.2 EPS key hierarchy	23
6.3 EPS key identification	26
6.4 Handling of EPS security contexts	27
6.5 Handling of NAS COUNTs.....	27
7 Security Procedures between UE and EPS Access Network Elements.....	29
7.0 General	29
7.1 Mechanism for user identity confidentiality.....	29
7.2 Handling of user-related keys in E-UTRAN	29
7.2.1 E-UTRAN key setting during AKA	29

7.2.2	E-UTRAN key identification	29
7.2.3	E-UTRAN key lifetimes	30
7.2.4	Security mode command procedure and algorithm negotiation.....	30
7.2.4.1	Requirements for algorithm selection	30
7.2.4.2	Procedures for AS algorithm selection.....	31
7.2.4.2.1	Initial AS security context establishment	31
7.2.4.2.2	X2-handover.....	31
7.2.4.2.3	S1-handover.....	31
7.2.4.2.4	Intra-eNB handover	31
7.2.4.3	Procedures for NAS algorithm selection.....	31
7.2.4.3.1	Initial NAS security context establishment	31
7.2.4.3.2	MME change	32
7.2.4.4	NAS security mode command procedure.....	32
7.2.4.5	AS security mode command procedure.....	33
7.2.4a	Algorithm negotiation for unauthenticated UEs in LSM.....	34
7.2.5	Key handling at state transitions to and away from EMM-DEREGISTERED.....	35
7.2.5.1	Transition to EMM-DEREGISTERED.....	35
7.2.5.2	Transition away from EMM-DEREGISTERED.....	36
7.2.5.2.1	General	36
7.2.5.2.2	With existing native EPS NAS security context.....	36
7.2.5.2.3	With run of EPS AKA	37
7.2.6	Key handling in ECM-IDLE to ECM-CONNECTED and ECM-CONNECTED to ECM-IDLE transitions.....	37
7.2.6.1	ECM-IDLE to ECM-CONNECTED transition.....	37
7.2.6.2	Establishment of keys for cryptographically protected radio bearers	37
7.2.6.3	ECM-CONNECTED to ECM-IDLE transition.....	38
7.2.7	Key handling for the TAU procedure when registered in E-UTRAN	38
7.2.8	Key handling in handover.....	38
7.2.8.1	General	38
7.2.8.1.1	Access stratum.....	38
7.2.8.1.2	Non access stratum	40
7.2.8.2	Void.....	40
7.2.8.3	Key derivations for context modification procedure	40
7.2.8.4	Key derivations during handovers.....	40
7.2.8.4.1	Intra-eNB Handover	40
7.2.8.4.2	X2-handover	40
7.2.8.4.3	S1-Handover.....	41
7.2.8.4.4	UE handling.....	41
7.2.9	Key-change-on-the fly	42
7.2.9.1	General	42
7.2.9.2	K _{eNB} re-keying.....	42
7.2.9.3	KeNB refresh	43
7.2.9.4	NAS key re-keying.....	43
7.2.10	Rules on Concurrent Running of Security Procedures	43
7.3	UP security mechanisms	44
7.3.1	UP confidentiality mechanisms	44
7.3.2	UP integrity mechanisms	44
7.4	RRC security mechanisms.....	45
7.4.1	RRC integrity mechanisms	45
7.4.2	RRC confidentiality mechanisms	45
7.4.3	K _{eNB} * and Token Preparation for the RRConnectionRe-establishment Procedure	45
7.5	Signalling procedure for periodic local authentication.....	46
8	Security mechanisms for non-access stratum signalling	47
8.0	General	47
8.1	NAS integrity mechanisms	47
8.1.1	NAS input parameters and mechanism.....	47
8.1.2	NAS integrity activation	48
8.2	NAS confidentiality mechanisms	48
9	Security interworking between E-UTRAN and UTRAN.....	48
9.1	RAU and TAU procedures	48

9.1.1	RAU procedures in UTRAN	48
9.1.2	TAU procedures in E-UTRAN	50
9.2	Handover	51
9.2.1	From E-UTRAN to UTRAN	51
9.2.2	From UTRAN to E-UTRAN	52
9.2.2.1	Procedure	52
9.2.2.2	Derivation of NAS keys and K_{eNB} during Handover from UTRAN to E-UTRAN	56
9.3	Recommendations on AKA at IRAT-mobility to E-UTRAN	56
9.4	Attach procedures	57
9.4.1	Attach in UTRAN	57
10	Security interworking between E-UTRAN and GERAN	57
10.1	General	57
10.2	RAU and TAU procedures	58
10.2.1	RAU procedures in GERAN	58
10.2.2	TAU procedures in E-UTRAN	58
10.3	Handover	58
10.3.1	From E-UTRAN to GERAN	58
10.3.2	From GERAN to E-UTRAN	58
10.3.2.1	Procedures	58
10.4	Recommendations on AKA at IRAT-mobility to E-UTRAN	58
10.5	Attach procedures	59
10.5.1	Attach in GERAN	59
11	Network Domain Control Plane protection	59
12	Backhaul link user plane protection	59
13	Management plane protection over the S1 interface	60
14	SRVCC between E-UTRAN and Circuit Switched UTRAN/GERAN	61
14.1	From E-UTRAN to Circuit Switched UTRAN/GERAN	61
14.2	Emergency call in SRVCC from E-UTRAN to circuit switched UTRAN/GERAN	62
14.3	SRVCC from circuit switched UTRAN/GERAN to E-UTRAN	62
14.3.1	Procedure	62
15	Security Aspects of IMS Emergency Session Handling	65
15.1	General	65
15.2	Security procedures and their applicability	66
15.2.1	Authenticated IMS Emergency Sessions	66
15.2.1.1	General	66
15.2.1.2	UE and MME share a current security context	66
15.2.2	Unauthenticated IMS Emergency Sessions	67
15.2.2.1	General	67
15.2.2.2	UE and MME share no security context	68
15.2.3	Void	69
15.2.4	Key generation procedures for unauthenticated IMS Emergency Sessions	69
15.2.4.1	General	69
15.2.4.2	Handover	69
A	Annex A (normative): Key derivation functions	70
A.1	KDF interface and input parameter construction	70
A.1.1	General	70
A.1.2	FC value allocations	70
A.2	K_{ASME} derivation function	70
A.3	K_{eNB} derivation function	71
A.4	NH derivation function	71
A.5	K_{eNB}^* derivation function	71
A.6	Void	71
A.7	Algorithm key derivation functions	72

A.8	K_{ASME} to CK' , IK' derivation at handover.....	72
A.9	NAS token derivation for inter-RAT mobility	73
A.10	K''_{ASME} from CK , IK derivation during handover	73
A.11	K''_{ASME} from CK , IK derivation during idle mode mobility	73
A.12	K_{ASME} to CK_{SRVCC} , IK_{SRVCC} derivation	74
A.13	K_{ASME} to CK' , IK' derivation at idle mobility	74
A.14	(Void)	74
A.15	Derivation of $S-K_{eNB}$ for dual connectivity	74
Annex B (normative): Algorithms for ciphering and integrity protection		75
B.0	Null ciphering and integrity protection algorithms	75
B.1	128-bit ciphering algorithm.....	75
B.1.1	Inputs and outputs	75
B.1.2	128-EEA1	76
B.1.3	128-EEA2.....	76
B.1.4	128-EEA3	76
B.2	128-Bit integrity algorithm.....	77
B.2.1	Inputs and outputs	77
B.2.2	128-EIA1	77
B.2.3	128-EIA2	77
B.2.4	128-EIA3	78
Annex C (informative): Algorithm test data		79
C.1	128-EEA2.....	79
C.1.1	Test Set 1	79
C.1.2	Test Set 2.....	80
C.1.3	Test Set 3.....	81
C.1.4	Test Set 4.....	81
C.1.5	Test Set 5.....	82
C.1.6	Test Set 6.....	83
C.2	128-EIA2	86
C.2.1	Test Set 1	87
C.2.2	Test Set 2	88
C.2.3	Test Set 3	89
C.2.4	Test Set 4	90
C.2.5	Test Set 5	91
C.2.6	Test Set 6	92
C.2.7	Test Set 7	94
C.2.8	Test Set 8	96
C.3	128-EEA1	108
C.4	128-EIA1	108
C.4.1	Test Set 1	108
C.4.2	Test Set 2	109
C.4.3	Test Set 3	109
C.4.4	Test Set 4	109
C.4.5	Test Set 5	110
C.4.6	Test Set 6	110
C.4.7	Test Set 7	110
Annex D (normative): Security for Relay Node Architectures		113
D.1	Introduction	113
D.2	Solution	113

D.2.1	General	113
D.2.2	Security Procedures	113
D.2.3	USIM Binding Aspects	116
D.2.4	Enrolment procedures for RNs	116
D.2.5	Secure management procedures for RNs	117
D.2.6	Certificate and subscription handling	117
D.3	Secure channel profiles	119
D.3.1	General	119
D.3.2	APDU secure channel profile	119
D.3.3	Key agreement based on certificate exchange	119
D.3.3.1	TLS profile	119
D.3.3.2	Common profile for RN and UICC certificate	119
D.3.3.3	RN certificate profile	120
D.3.3.4	UICC certificate profile	120
D.3.4	Key agreement for pre-shared key (psk) case	120
D.3.5	Identities used in key agreement	121
Annex E	Dual connectivity	122
E.1	Introduction	122
E.2	Dual connectivity offload architecture	123
E.2.1	Protection of the X2 reference point	123
E.2.2	Addition and modification of DRB in SeNB	123
E.2.3	Activation of encryption/decryption	123
E.2.4	Derivation of keys for the DRBs in the SeNB	125
E.2.4.1	SCG Counter maintenance	125
E.2.4.2	Security key derivation	125
E.2.4.3	Negotiation of security algorithms	126
E.2.5	S-K _{eNB} update	126
E.2.5.1	S-K _{eNB} update triggers	126
E.2.5.2	S-K _{eNB} update procedure	126
E.2.6	Handover procedures	126
E.2.7	Periodic local authentication procedure	126
E.2.8	Radio link failure recovery	127
E.2.9	Avoiding key stream reuse caused by DRB type change	127
Annex F (informative):	Change history	128
History	133	

Foreword

This Technical Specification has been produced by the 3rd Generation Partnership Project (3GPP).

The contents of the present document are subject to continuing work within the TSG and may change following formal TSG approval. Should the TSG modify the contents of the present document, it will be re-released by the TSG with an identifying change of release date and an increase in version number as follows:

Version x.y.z

where:

- x the first digit:
 - 1 presented to TSG for information;
 - 2 presented to TSG for approval;
 - 3 or greater indicates TSG approved document under change control.
- y the second digit is incremented for all changes of substance, i.e. technical enhancements, corrections, updates, etc.
- z the third digit is incremented when editorial only changes have been incorporated in the document.

1 Scope

The present document specifies the security architecture, i.e., the security features and the security mechanisms for the Evolved Packet System and the Evolved Packet Core, and the security procedures performed within the evolved Packet System (EPS) including the Evolved Packet Core (EPC) and the Evolved UTRAN (E-UTRAN).

2 References

The following documents contain provisions which, through reference in this text, constitute provisions of the present document.

- References are either specific (identified by date of publication, edition number, version number, etc.) or non-specific.
- For a specific reference, subsequent revisions do not apply.
- For a non-specific reference, the latest version applies. In the case of a reference to a 3GPP document (including a GSM document), a non-specific reference implicitly refers to the latest version of that document *in the same Release as the present document*.

[1] 3GPP TR 21.905: "Vocabulary for 3GPP Specifications".

[2] 3GPP TS 23.401: "General Packet Radio Service (GPRS) enhancements for Evolved Universal Terrestrial Radio Access Network (E-UTRAN) access".

[3] 3GPP TS 23.003: "Numbering, addressing and identification".

[4] 3GPP TS 33.102: "3G security; Security architecture".

[5] 3GPP TS 33.210: "3G security; Network Domain Security (NDS); IP network layer security".

[6] 3GPP TS 33.310: "Network Domain Security (NDS); Authentication Framework (AF)".

[7] IETF RFC 4303: "IP Encapsulating Security Payload (ESP)".

[8] 3GPP TS 33.220: "Generic Authentication Architecture (GAA); Generic bootstrapping architecture".

[9] 3GPP TS 24.301: "Non-Access-Stratum (NAS) protocol for Evolved Packet System (EPS); Stage 3".

[10] – [11] Void.

[12] 3GPP TS 36.323: "Evolved Universal Terrestrial Radio Access (E-UTRA); Packet Data Convergence Protocol (PDCP) specification"

[13] 3GPP TS 31.102: "Characteristics of the Universal Subscriber Identity Module (USIM) application".

[14] 3GPP TS 35.215: "Confidentiality and Integrity Algorithms UEA2 & UIA2; Document 1: UEA2 and UIA2 specifications"

[15] NIST: "Advanced Encryption Standard (AES) (FIPS PUB 197) "

[16] NIST Special Publication 800-38A (2001): "Recommendation for Block Cipher Modes of Operation".

[17] NIST Special Publication 800-38B (2001): "Recommendation for Block Cipher Modes of Operation: The CMAC Mode for Authentication".

[18] – [20] Void.

[21] 3GPP TS 36.331: "Evolved Universal Terrestrial Radio Access (E-UTRA) Radio Resource Control (RRC); Protocol specification".

[22] 3GPP TS 23.216: "Single Radio Voice Call Continuity (SRVCC); Stage 2".