

## **Universal Mobile Telecommunications System (UMTS); Formal Analysis of the 3G Authentication Protocol (3GPP TR 33.902 version 4.0.0 Release 4)**



---

**Reference**

RTR/TSGS-0333902Uv4

---

**Keywords**

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**

Individual copies of the present document can be downloaded from:

<http://www.etsi.org>

The present document may be made available in more than one electronic version or in print. In any case of existing or perceived difference in contents between such versions, the reference version is the Portable Document Format (PDF). In case of dispute, the reference shall be the printing on ETSI printers of the 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, send your comment to:

[editor@etsi.fr](mailto:editor@etsi.fr)

---

**Copyright Notification**

No part may be reproduced except as authorized by written permission.  
The copyright and the foregoing restriction extend to reproduction in all media.

© European Telecommunications Standards Institute 2001.  
All rights reserved.

---

## 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 (<http://www.etsi.org/legal/home.htm>).

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 Report (TR) 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 [www.etsi.org/key](http://www.etsi.org/key).

---

# Contents

Intellectual Property Rights .....	2
Foreword.....	2
Foreword.....	4
1 Scope .....	5
2 References .....	5
3 Definitions and Abbreviations.....	5
4 Formal analyses.....	5
4.1 Formal analysis of the 3G authentication protocol with modified sequence number management.....	5
4.2 Formal analysis of the 3G authentication and key agreement protocol.....	5
<b>Annex A: Formal Analysis of the 3G Authentication Protocol with Modified Sequence Number Management .....</b>	<b>6</b>
<b>Annex B: Formal analysis of 3G authentication and key agreement protocol .....</b>	<b>7</b>
<b>Annex C: Change history .....</b>	<b>8</b>
History .....	9

---

# Foreword

This Technical Specification has been produced by the 3<sup>rd</sup> 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

This report contains formal analyses of the authentication and key agreement (AKA) protocol specified in 3G TS 33.102. These analyses are carried out using various means of formal logic suitable for demonstrating security and correctness properties of the AKA protocol.

The structure of this technical specification is as follows:

clause 2 lists the references used in this specification;

clause 3 lists the definitions and abbreviations used in this specification;

clause 4 refers to the main body of this report. The main body is only referred to because it is not available in Word-, but only in pdf-format. The corresponding .pdf-documents are attached to this document.

---

# 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*.

All references are specific (identified by date of publication, edition number, version number, etc.) and are contained in the subsections of section 4 of this document.

---

# 3 Definitions and Abbreviations

All definitions and abbreviations are contained in the subsections of section 4 of this document.

---

# 4 Formal analyses

## 4.1 Formal analysis of the 3G authentication protocol with modified sequence number management

Annex A (TR\_33902\_Annex\_A.pdf) contains a formal analysis of the 3GPP mechanism using a technique called Temporal Logic of Actions (TLA). The analysis seeks to prove that the 3GPP mechanism, if correctly implemented, will not "crash" or fall into failure scenarios.

## 4.2 Formal analysis of the 3G authentication and key agreement protocol

The formal analysis contained in Annex B (TR\_33902\_Annex\_B.pdf) complements the TLA-based formal analysis contained in Annex A. An enhanced BAN logic is used to prove that the 3GPP authentication and key agreement protocol meets the required security goals.

---

Annex A:  
Formal Analysis of the 3G Authentication Protocol with  
Modified Sequence Number Management

---

Annex B:  
Formal analysis of 3G authentication and key agreement  
protocol



---

## Annex C: Change history

Change history					
TSG SA#	Version	CR	Tdoc SA	New Version	Subject/Comment
SA#05	0.1.0			3.0.0	Approved at SA#5 and placed under TSG SA Change Control
SA#06	3.0.0	001	SP-99589	3.1.0	Formal analysis of the 3G authentication protocol
09- 2001	3.1.0		-	4.0.0	Updated to Rel-4 for completeness of Rel-4 specification set (no technical changes)

---

# History

<b>Document history</b>		
V4.0.0	September 2001	Publication