



## **WiMAX Forum<sup>®</sup> Network Architecture**

Architecture Tenets, Reference Model and Reference Points

WiMAX Broadband Access Lawful Intercept: Overview

**WMF-T32-106-R015v01**

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## 1. Revision History

2

November 6, 2009	Initial version of Release 1.5.
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## 1    **2.    Document Scope**

2    This specification provides an overview of the WiMAX architecture in relation to Lawful Intercept (LI) for WiMAX  
3    based Broadband Access Services as stated in [1].

4    The material in this document is a conceptual overview of the LI service and LI model for WiMAX for both Voice,  
5    Data and IP associated signaling. This version of the document covers only packet data services. VoIP and other  
6    services are for further study.

7    Laws of individual nations and regional institutions, and sometimes licensing and operating conditions define a need  
8    to intercept telecommunications traffic and related information in modern telecommunications systems. It has to be  
9    noted that lawful interception shall always be done in accordance with the applicable national or regional laws and  
10   regulations.

11   See the following regional specifications for the specific LI reporting requirements and capabilities:

12        a) LAES FOR WIMAX ACCESS: PART 1 NORTH AMERICAN REGION [3].

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## 3. Abbreviations and Terminology

### 3.1 Abbreviations

ADMF	Administrative Function
ASN	Access Service Network [2]
ASN-GW	ASN Gateway
CF	Collection Function
CUI	Charging User Identifier
DF	Delivery Function
HA	Home Agent
AAA	Authentication, Authorization, and Accounting [2]
IAP	Intercept Access Point
LEMF	Law Enforcement Monitoring Function
LI	Lawful Intercept
MF	Mediation Function
MS	Mobile Station
NRM	Network Reference Model
VoIP	Voice over IP
WiMAX-SP	WiMAX Service Provider

### 3.2 Terminology

*For the purpose of this document, the terms and definitions presented in [2] apply, in addition to the terms and definitions found below.*

<b>AAA</b>	See [2].
<b>Administration Function</b>	Responsible for administrating a lawful authorization.
<b>ASN</b>	See [2].
<b>ASN-GW</b>	Gateway function connecting ASN and CSN. See [2].
<b>Authentication</b>	A method (e.g. based on username/password) by which a network confirms a subscriber's identity.
<b>Authorization</b>	The process by which a network grants access to resources to a user. Usually follows Authentication.
<b>Broadband Intercept Order</b>	A lawful authorization (e.g., court order) with jurisdiction that authorizes the interception of the broadband-based wire or electronic communications of an intercept subject.
<b>Communication</b>	Any wire, wireless, or electronic communication.

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<b>Collection Function/Law Enforcement Monitoring Function (CF/LEMF)</b>	Designated as the transmission destination for the results of interception relating to a particular intercept subject.
<b>Delivery Function (DF)</b>	The Delivery Function is responsible for delivering intercepted communications and information to one or more CF/LEMFs.
<b>Electronic Surveillance</b>	The statutory-based legal authorization, process, and associated technical capabilities and activities of LEAs related to the interception of wire, oral, or electronic communications while in transmission. As used herein, also includes the acquisition of communication identifying information. As used herein, <i>surveillance</i> refers to a single communication intercept.
<b>Home Agent (HA)</b>	Mobility anchor point in the CSN used in Client Mobile IP and Proxy Mobile IP.
<b>H-NSP</b>	See [2].
<b>Intercept</b>	The aural or other acquisition of the content of any wire, electronic, or oral communication through the use of any electronic, mechanical, or other device.
<b>Intercept Access Point (IAP)</b>	A point within an Telecommunications Services Provider domain where some of the communications or communications identifying information of an intercept subject's equipment, facilities and services are accessed.
<b>Intercept Subject</b>	A subscriber whose communications, communications identifying information, or both, have been lawfully authorized to be intercepted and delivered to a Law Enforcement Agency. The identification of the intercept subject is limited to identifiers used to access the particular equipment, facility, or communication service (e.g., network address, mobile identity, subscription identity).
<b>Lawful Authorization</b>	Permission granted to a LEA under certain conditions to intercept specified telecommunications and requiring co-operation from a network operator/access provider/service provider. Typically this refers to a warrant or order issued by a lawfully authorized body.
<b>Law Enforcement Agency (LEA)</b>	A government entity with the legal authority to conduct electronic surveillance (e.g., the Federal Bureau of Investigation or a state or local police department).
<b>Subject</b>	See <i>intercept subject</i>
<b>Surveillance</b>	See <i>electronic surveillance</i>

## 4. References

- 1 [1] WiMAX Forum Requirements and Recommendations for WiMAX Forum™ Mobility Profiles, Release 1.5,  
2 www.wimaxforum.org.
- 3 [2] WiMAX Forum, T32-001-R015v01, T32-002-R015v01, T32-003-R015v01, T32-004-R015v01, T32-005-  
4 R015v01, "Architecture Tenets, Reference Model and Reference Points" Part0 to Part3 and Abbreviations,  
5 Release 1.5.
- 6 [3] WiMAX Forum T33-107-R015v01, "Architecture, detailed Protocols and Procedures, WIMAX Lawful  
7 Intercept - NORTH AMERICAN REGION", Release 1.5.
- 8 [4] ETSI ES 201 158 ETSI Standard, Telecommunications security; Lawful Interception (LI); Requirements for  
9 network functions.
- 10 [5] ETSI TS 102 232-3 Technical Specification; Lawful Interception (LI); Handover Interface and Service-Specific  
11 Details (SSD) for IP delivery; Part 3: Service-specific details for internet access services.
- 12

## 5. Lawful Intercept Network Perspective

This section provides an overview of a network reference model for Lawful Intercept (LI), new functional entities and interface reference points that may be needed for enabling LI. See the North American specifications [3] for the North American view of the General Surveillance Model (Section 4.2.1), Intercept Access Points (Section 4.2.2), and specific LI requirements (Section 6.3). See the ETSI specifications [4] for the European view of the General Requirements (Section 4) and Handover Interface (Section 5) and see ETSI specification [5] for the European view of the Intercept Related Information (IRI) events (Section 6).

### 5.1 Network Reference Model

The LI network reference model for WiMAX consists of an Administrative Function (ADMf), Delivery Functions (DFs), Intercept Access Points (IAPs), and LEA Collection Functions (CFs). IAPs are co-located with one or more of the WiMAX network elements or interfaces. The ADMf and the DF may be co-located or may be separate entities, depending on the deployment scenario.

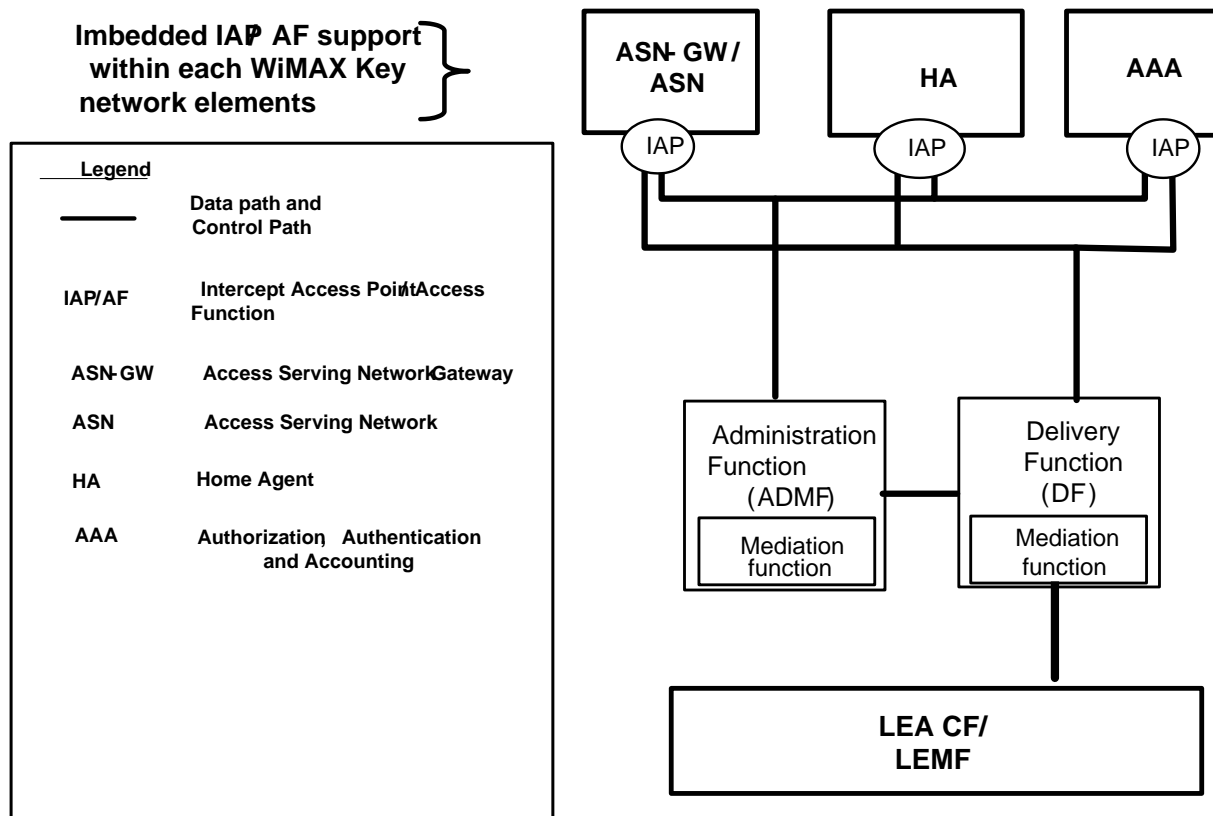


Figure 4-1 - Lawful Intercept Network Reference Model for WiMAX

Note that while IAPs are placed on network entities such as a ASN-GW/ASN, HA, and AAA, the placement of IAPs is implementation dependent and IAPs may be placed elsewhere in the WiMAX-SP's network such as on firewalls, routers, or interfaces between network elements (e.g., bearer path). Network elements not part of the WiMAX NRM are beyond the scope of this specification.

### 5.2 Functional Entities

#### 5.2.1 Administration Function (ADMf)

The ADMf performs the following functions:

## Lawful-Intercept-Overview

- 1           • Interfaces with LEAs, as necessary, to obtain information regarding Broadband Intercept Orders;
  - 2           • Interfaces with IAPs as necessary to enable (e.g., activation, deactivation, interrogation, as well as
  - 3           invocation) an intercept;
  - 4           • Interfaces with DFs as necessary to enable (e.g., activation, deactivation, interrogation, as well as
  - 5           invocation) an intercept;
  - 6           • Informs IAPs and DFs of changes to the observed subject's identity (e.g., CUI) as necessary; and
  - 7           • Ensures the privacy of each LEAs Intercept Order (i.e., ensures that one LEA is not aware of
  - 8           another LEAs intercept order)
- 9   . The ADMF may include a Mediation Function (MF). The MF performs the following functions:
- 10           • Formats information between the LEA and ADMF as described in national/regional specifications.

### 11   **5.2.2 Delivery Function (DF)**

12   The DF performs the following functions:

- 13           • Interfaces with IAPs as necessary to enable an intercept and obtain intercepted communications;
- 14           • Interfaces with an ADMF as necessary to enable an intercept; and
- 15           • Interfaces with CFs as necessary to deliver formatted intercepted communications.; and
- 16           • Ensures the privacy of each LEAs Intercept Order (i.e., ensures that one LEA is not aware of
- 17           another LEAs intercept order).

18   The DF may include a Mediation Function (MF). The MF performs the following functions:

- 19           • Formats the intercepted communications for delivery to a CF/LEMF.

### 20   **5.2.3 Collection Function/Law Enforcement Monitoring Function (CF/LEMF)**

21   CFs perform the following functions:

- 22           • Receives formatted intercepted communications from the DFs.

### 23   **5.2.4 Intercept Access Point (IAP)**

24   IAPs can be part of ASN or CSN, e.g., ASN Gateway (ASN-GW)/ASN, Authentication, Authorization and

25   Accounting (AAA) Server, or Home Agent (HA)

26   IAPs perform the following functions:

- 27           • Intercepts authorized subject communications and delivers the intercepted communications to
- 28           DFs;
- 29           • Interface with an ADMF and DFs as necessary to enable an intercept.

## 30   **5.3 Communication among Functional Entities**

### 31   **5.3.1 ADMF and IAPs**

32   The following may be exchanged as necessary:

- 33           • intercept subject identity;
- 34           • communications to be intercepted;
- 35           • lawful authorization identifier; and
- 36           • Other information to enable (e.g., activation, deactivation, interrogation, as well as invocation)
- 37           intercept.

### 1 **5.3.2 DFs and IAPs**

2 The IAPs send intercepted communications to DFs. The following may be exchanged as necessary:

- 3 • intercept subject identity;
- 4 • communications to be intercepted;
- 5 • lawful authorization identifier;
- 6 • correlation identifier; and
- 7 • Other information to enable (e.g., activation, deactivation, interrogation, as well as invocation)
- 8 intercept.

### 9 **5.3.3 ADMF and DFs**

10 The following may be exchanged as necessary:

- 11 • intercept subject identity;
- 12 • communications to be intercepted;
- 13 • lawful authorization identifier;
- 14 • CF information (e.g., network address of CF); and
- 15 • Other information to enable (e.g., activation, deactivation, interrogation, as well as invocation)
- 16 intercept.

### 17 **5.3.4 DFs and CFs**

18 Formatted intercepted communications is delivered from the DFs to the CFs.

## 19 **5.4 Intercept Information Associated with Various WiMAX Network Elements**

20 This section identifies subject communications events or communications status that may be detected by the IPAs at  
21 various WiMAX Network Elements and reported to the DFs as required by the regional LAES specifications:.

### 22 **5.4.1 AAA**

- 23 • HAAA/VAAA authentication and authorization event (e.g., RADIUS event such as Access
- 24 Attempt).

### 25 **5.4.2 HA**

- 26 • MIP4 registration event;
- 27 • MIP6 BU event;
- 28 • indication that the Subject is already ‘online’; and
- 29 • a Subject packet data session is already established.

### 30 **5.4.3 ASN-GW or ASN**

- 31 • successful or unsuccessful packet data session establishment event;
- 32 • packet data session termination event; and
- 33 • indication that the Subject is ‘online’.

## 1 **5.5 Lawful Intercept Identities**

### 2 **5.5.1 WiMAX identifiers**

3 For the purpose of this document, the identifiers presented in [2] apply.

### 4 **5.5.2 WiMAX Identity Hiding and LI**

5 WiMAX enables the service provider to hide the identity of the subscriber from various elements in the network and  
6 across the wireless link. As part of Authentication, a pseudo identity can be used by the MS (i.e., PseudoNAI)  
7 instead of the real subscription identity. In this case, the real subscription identity is only available in the home CSN  
8 AAA server but is not known to other network entities to e.g. identify a data session. This pseudo identity can be  
9 changed frequently. The service provider uses a Charging User Identifier (CUI) to correlate the various sessions for  
10 a single subscriber. The CUI is under the control of the H-NSP and is used as a longer lived identifier that is  
11 available to all of the network entities contributing to LI, regardless of the pseudo identity value.

12 If the service provider elects to use pseudo identities within the home network and with visited networks, the CUI is  
13 used to correlate subscriber's identity and intercepted information without the network elements actually knowing  
14 the subscriber's true identity. Based on the above described properties the CUI can serve as an intercept subject  
15 identifier in these cases. The CUI protects the subscriber's anonymity, while still providing a constant correlation  
16 value for detecting interception events and reporting to LEA.

17 An example of the procedures needed to use the CUI as the intercept subject identifier is as follows:

- 18 1. The LEA needs to take a legal warrant to the home service provider of the intercept subject. The request  
19 would include holding the CUI constant during the length of the warrant or, if the CUI is changed by the  
20 home service provider, the LEA is notified as quickly as possible. The home service provider would  
21 provide the value of the CUI to LEA. Note: The CUI is always distributed to the required network elements  
22 in the AAA path, not to provide any indication of the existence of a legal warrant.
  - 23 2. LEA would take the CUI and applicable legal warrants to the service providers that are to perform  
24 interception. The intercept subject's identity to these service providers would be the CUI. Any changes to  
25 the CUI would be relayed to these service providers by the LEA. Use of CUI among operators protects the  
26 intercept subject's identity as intended with the pseudo identity and yet provides a constant correlation  
27 identifier for detecting intercept events and reporting to LEA.
  - 28 3. All interceptions for the intercept subject would be reported to the LEA using the CUI.
  - 29 4. Once the Warrant expires or is withdrawn, the CUI information is no longer used by any of the service  
30 providers, home or visited. The home service provider may change the value of CUI according to normal  
31 operating procedures.
- 32