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Technical Specification

**Digital cellular telecommunications system (Phase 2+) (GSM);
Universal Mobile Telecommunications System (UMTS);
Handover Requirements between UMTS and GSM
or other Radio Systems
(3G TS 22.129 version 3.2.0 Release 1999)**



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Foreword

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Foreword

This Technical Specification has been produced by the 3GPP.

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- y the second digit is incremented for all changes of substance, i.e. technical enhancements, corrections, updates, etc.
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1 Scope

The scope of this document includes service requirements for handover (terms are defined below) within UMTS systems and between UMTS, other IMT-2000 family members and 2nd generation systems. Particular emphasis has been placed on the description of requirements for handover between UMTS and GSM but requirements specific to other systems are incorporated as required.

UMTS is a "third generation" mobile cellular radio telecommunications system which provides telecommunication and information services to wireless terminals. Mobile cellular systems have the defining characteristic that they are capable of maintaining continuity of service to a wireless terminal as it moves between the radio coverage area, or "cells", associated with different base station sites. This functionality is called "handover". Handover can also occur due to change of radio resource providing a service without necessarily any change of the base stations involved. In particular, when the radio resources providing a service change from one of the UTRA radio access modes to the other (UTRA-FDD and UTRA-TDD), this is regarded as handover.

It is a key requirement of UMTS that it allows for dual or multi-mode (e.g. UMTS/GSM) terminals to handover traffic from UMTS to other radio systems such as GSM and vice versa. This document describes the service requirements for intra- and inter- system handover that shall be used by other SMG STCs to guide the implementation of UMTS-to-(e.g.) GSM handover specifications. It defines requirements for the enhancement of the GSM specifications to allow GSM-to-UMTS handover.

The following subject areas are within the scope of these service requirements:

- User perceived performance that may be influenced by handover;
- Operational requirements relating to handover;
- Security requirements.

The requirements set forth in this document are service requirements, in that they fulfil the following:

- The requirements are independent of the implementation of the UTRAN;
- The extent to which the requirements are met are in principle verifiable using observables that are not internal to the UTRAN.

1.1 Situations in which Service Requirements apply

The service requirements in this document are as far as possible independent of the implementation of the UTRA. They therefore apply to situations where handover would occur regardless of how the UTRA is implemented. Situations envisaged are:

- Handover within UMTS due to change of radio resource caused by UE movement between areas covered by different transmitters;
- Handover within UMTS due to change of UTRA radio access mode;
- Handover due to change of radio system (e.g. UMTS to GSM).

It is possible that handover (i.e. change of radio resource) will occur in other situations, for example the technical implementation of the UTRAN may necessitate it or O&M procedures initiated by the operator may force it.

Requirements for these situations are not within the scope of this document, with the exception of two remarks:

- Where the technical implementation of the UTRAN necessitates handover as a matter of normal operation (i.e. not related to the above situations), then services shall in no way be degraded or adversely affected;
- The service requirements for handover occurring in situations such as O&M activity are outside the scope of this document.

2 References

The following documents contain provisions that, 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.
- A non-specific reference to an ETS shall also be taken to refer to later versions published as an EN with the same number.

- [1] GSM 05.08: "GSM Digital cellular telecommunications system (Phase 2+); Radio subsystem link control".
- [2] 3G TS 22.043: "Support of Localised Service Area (SoLSA); Service description; Stage 1".
- [3] 3G TS 22.115: "Service aspects; Charging and Billing".
- [4] 3G TS 22.120: "3G Security; Security Principles and Objectives".
- [5] 3G TS 22.090: "Unstructured Supplementary Service Data (USSD) - Stage 1".

3 Definitions and Abbreviations

3.1 Definitions

For the purposes of the present document, the following definitions apply:

Connection mode (for a bearer service): characterises the type of association between two endpoints as required by the bearer service for the transfer of information. A bearer service is either connection-oriented or connectionless. In a connection oriented mode, a logical association called *connection* needs to be established between the source and the destination entities before information can be exchanged between them. Connection oriented bearer services lifetime is the period of time between the establishment and the release of the connection.

Connectionless (for a bearer service): In a connectionless bearer, no connection is established beforehand between the source and the destination entities; the source and destination network addresses need to be specified in each message. Transferred information cannot be guaranteed of ordered delivery. Connectionless bearer services lifetime is reduced to the transport of one message.

GSM coverage: an area where mobile cellular services are provided in accordance with GSM standards

UMTS coverage: an area where mobile cellular services are provided in accordance with UMTS standards.

Multi mode terminal: UE that can obtain service from at least one UTRA radio access mode, and one or more different systems such as GSM bands or possibly other radio systems such as IMT-2000 family members.

Handover: The process in which the radio access network changes the radio transmitters or radio access mode or radio system used to provide the bearer services, while maintaining a defined bearer service QoS.

Intra PLMN handover: Handover within the same network, i.e. having the same MCC-MNC regardless of radio access system. Note: this includes the case of UMTS <>GSM handover where MCC-MNC are the same in both cases.

Inter PLMN handover: Handover between different PLMNs, i.e. having different MCC-MNC.

Inter system handover: Handover between networks using different radio systems , e.g. UMTS – GSM.

UTRA Radio access mode: the selected UTRA radio access mode i.e. UTRA-FDD; UTRA-TDD.

Radio system: the selected 2nd or 3rd generation radio access technology, e.g. UMTS or GSM.

3.2 Abbreviations

For the purposes of the present document, the following abbreviations apply:

UE User equipment

4 General Principles governing handover requirements

This section describes the general principles governing the operation of UMTS when preparing for and executing handover both within UMTS and to another radio system such as GSM. It also describes the additional concepts required to be included in GSM to allow preparation for and handover to UMTS. As a principle, the requirements on handover characteristics should be according to the network to which the handover is made.

The handover matrix

handover possible?	to UMTS	to GSM-cs	to GSM-GPRS	to IMT2000 ≠ UMTS
From UMTS	1	1	1	x
From GSM-cs	1	oos	oos	oos
From GSM-GPRS	1	oos	oos	oos
From IMT2000 ≠ UMTS	x	oos	oos	oos

oos = out of scope of UMTS specifications

1= supporting standards required for UMTS release 99.

x= supporting standards required, not necessarily for release 99.

GSM-GPRS in the table refers to R97, R98 and R99 GPRS.

For UMTS release 99 means shall be defined which:

- 1) Enable handover to a GSM network from a UMTS network;
- 2) Enable handover to a UMTS network from a GSM network.

In both the cases above the GSM network may be operated by either the same network operator as the UMTS network or a different network operator.

Handover of real time PS services between UMTS and GPRS R99 is out of the scope of UMTS R99 phase 1 and shall be considered in subsequent phases. Service continuity of best effort packet services between UMTS and GPRS is required.

4.1 Requirements for Service Capabilities

UMTS standardises service capabilities, not services. As part of the service capabilities it is envisaged that applications may wish to respond to events related to handover that either has occurred, is about to occur or could potentially occur. The service capabilities described in this section should be available at least to UE hosted applications.

The following list of uses is exemplary and is not intended to be exhaustive:

- An application may wish to accept or reject offered QoS;
- An application may wish to cope to the effect that handover has on a service, for example facsimile retransmission;
- An application may wish to preferentially choose radio resources, for purposes such as SoLSA.

It is therefore required that the service capability set available to an application be able to provide an indication that handover has occurred or could occur with information about the type of handover and radio resources involved. The

service capabilities should support QoS negotiation.

4.1.1 Support of localised service area (SoLSA)

The UMTS service capability set shall support the Localised Service Area (LSA) concept. It shall facilitate the creation of applications that implement user-dependent radio resource selection based on LSA (e.g. when user is located at his office, radio coverage provided with indoor radio solutions should be preferred). This may cause handover to take place within UMTS or into other radio systems. Corresponding GSM feature has been specified in [2].

4.2 General Operational Considerations

4.2.1 Coverage environment

Mechanisms defined to support handover between UMTS and other radio systems (such as other IMT 2000 family members, or GSM) or UTRA radio access modes should effectively cope with a number of coverage scenarios:

- Limited UMTS coverage in a 'sea' of coverage provided by another radio system or UTRA radio access mode, or, vice-versa;
- Selective operation at a geographical boundary, with extensive UMTS coverage on one side and extensive coverage from another radio system on the other side;
- Geographically co-located areas of UMTS coverage and another radio system.

However the standards should impose no restrictions or assumptions on how an operator might deploy or operate the network in both GSM and UMTS.

4.2.2 Inter PLMN Handover Issues

Handovers between PLMNs should remain an optional feature to implement. It is envisaged that handover would take place due to changing radio conditions caused e.g. by movement of the terminal causing it to leave the coverage area of a PLMN.

The following networks may be involved with an inter-PLMN handover procedure. These concepts are illustrated in Annex A:

- The user's *home network*, i.e. the operator where the user's subscription may be found;
- The user's *visited network* where the subscriber user is currently registered, i.e. the network where the subscriber user has performed the last successful update location procedure. As long as the subscriber user is roaming within the home network, home and visited network are identical;
- The user's *serving network* covering the cell that serves the subscriber. After successful completion of the update location update procedure, the serving network is identical with the visited network. After an inter-PLMN handover, the visited network is different from the serving network until a location update procedure has been successfully completed (excepted the case that the subscriber returns into the visited network);
- The *target network* covering candidate target cell(s) for inter-PLMN handover. The target network has overlapping radio coverage with the serving network but not necessarily with the visited network.

The minimum requirements for inter-PLMN HO are:

- Continuity of an *active call* across the handover procedure, where this would be possible for intra-PLMN handover;
- Charging, billing and accounting for inter-PLMN handover should be according to the principles defined in [3]. For R'99 the mechanisms currently used in GSM should be provided as a minimum (charging for handover leg is based on visited network tariff, etc., settlement between operators is based on bulk metering, etc.);
- The ability to check with the home network whether the user is permitted to handover from the visited network to a target network;

- The decision whether the handover request is accepted must be taken by the target network;
- Invocation of the handover procedure only occurs if the target network provides the radio channel type required for the respective call;
- The avoidance of "network hopping", i.e. successive handover procedures between neighbouring networks for the same call;
- The possibility of user notification of inter-PLMN HO (e.g. possible tariff change) when it occurs.

For R99 there can only be one target PLMN for HO in addition to the serving PLMN for R99 in a given geographical area.

4.2.3 Charging and Network Management

Means shall be standardised which allow charging records to record the time of handover in the case of inter-PLMN operator handover. Charging records must be able to reflect the level of UTRA radio access, operation mode and network type after handover.

A capability to provide network management information relating to frequency of occurrence and type of handover should be defined.

4.2.4 Cost and efficiency

The UTRAN standards shall facilitate the cost-effective implementation both on the network and on the terminal side, of multi mode operation between GSM and UMTS. Impacts on the GSM network shall be minimised. Such handover shall not require user intervention.

4.2.5 Security

Security requirements relating to handover shall be elaborated in a separate document ([4]), but should embody the principle that handover shall not compromise the security of the network providing the new radio resources; the (possibly different) network providing the original radio resources; and the terminalUE. The security mechanisms should also cater for appropriate authentication processes and meet the requirements of national administrations in terms of lawful interception.

4.3 Performance Requirements

4.3.1 Temporary degradation of service caused by handover

Any degradation of service during intra UMTS handover or in the case of handover from UMTS to GSM, shall be no worse than during intra GSM handover.

The duration of the discontinuity experienced by PS and CS real time services should be shorter than that in the handover of GSM CS speech calls.

5 Requirements for Handover from UMTS to UMTS

5.1 Handover due to UE Movement

It should be possible to provide a technical implementation of handover such that there is no measurable impact on the quality of any service when handover due to UE movement occurs. This does not imply that all UMTS handovers will achieve this ideal. However, the standards shall define at least one UTRA radio access mode in which this is possible given the following:

- UE speed stays within limits for given service;

- UE stays constantly within UMTS coverage of a single UTRAN.

5.3 Handover between UTRA Radio Access Modes

The standards shall permit a technical implementation of handover between radio access modes, although there may be a temporary degradation of QoS on bearer services at the time of handover.

5.3 UMTS cell capacity

Consideration must be given services such as multimedia, which may involve use of multiple bearers. Due for example to cell loading, it may happen that a target cell cannot support the combination of bearer services provided by the current serving cell. Means shall be provided for the application(s) to indicate minimum acceptable QoS for services continuation after handover. Although all UMTS bearer services may not be handed over, the handover to another UMTS cell should not be precluded.

5.4 Handover of a Multicall

The handover event can trigger changes to individual calls in any multicall scenario.

Priority setting of CS Calls and PS Sessions shall influence the handover process. It shall be possible to handover all calls and sessions. If the target cell is not able to accommodate all calls/sessions, then the calls/sessions that are handed over shall be selected in following order and the calls/sessions that cannot be handed over will be released.

The selection criteria shall be based on the following order:

- i. The call of teleservice emergency call
- ii. If the user has set the priority, the call or session of highest priority marking. If there is more than one call or session of highest priority marking, then the call of teleservice telephony shall be chosen in preference to those of equal highest priority. If there are multiple calls where priority is the same, how to treat the calls depends on the operator.
- iii. The call of teleservice telephony
- iv. The call of any other type

If no single call can be selected according to the above criteria, handover shall be rejected.

A change in the availability of suitable radio resources may also occur for other reasons in addition to handover.

6 Requirements for Handover from UMTS to GSM

6.1 Operational Requirements

6.1.2 GSM bands

The standard shall support handover to any combination of GSM bands supported by the GSM standards.

6.2 Performance Requirements

The following service principles apply to performance requirements:

- When the UE performs handover to GSM then the service requirements of GSM that relate to handover between different cells in different location areas is taken as the benchmark. It is not the intention to set more stringent service requirements for UMTS to GSM handover than are already commonly accepted for handover within GSM.

6.2.1 Detection Time of Potential GSM Handover Candidates

Means shall be defined which allow the UE to achieve as good detection time performance as the GSM benchmark: i.e. to behave in such a way as to detect potential GSM handover candidates as quickly as a GSM mobile performing an intra GSM handover is required to do so.

6.2.2 Number of GSM handover candidates to detect

Means shall be available which allow UE to detect an equal number of GSM handover candidates relative to the GSM benchmark, i.e. to behave in such a way as to detect as many potential GSM handover candidates as a GSM mobile performing an intra GSM handover is required to do so.

6.2.3 Probability of Connection Loss

The service requirement is that it should be possible to hand over to GSM from UMTS with a probability of connection loss that fulfils the corresponding service requirement for intra GSM handover.

6.3 Specific Requirements for Individual Services from UMTS to GSM

6.3.1 Speech

Handover of a UMTS Speech channel to GSM shall result in a GSM speech teleservice connection. This requirement also applies to emergency calls:

- Any call based on the default UMTS speech codec shall be mapped to the FR GSM speech codec. In the case the terminal and the GSM network support AMR and /or EFR and/or HR, it shall be the operators choice to define the appropriate mapping.

Means shall be defined which make it possible to limit any temporary degradation on handover so it meets the performance specified by GSM service requirements for speech handover.

6.3.2 Short Message Service

There are no requirements related to handover for short message service.

6.3.3 Cell Broadcast

There are no requirements related to handover for cell broadcast.

6.3.4 USSD

The technical standards shall provide means to ensure that any handover that occurs during a USSD interaction need no more affect the service than intra-GSM handover.

6.3.5 Facsimile

It is not required that a facsimile transmission that is active between UE and network at the time of handover from UMTS to GSM completes successfully.

6.3.6 Data Bearer Services

Standards shall be defined to permit the possibility of handover of a UMTS connection oriented data bearer service to GSM, which shall result in an appropriate GSM/GPRS bearer service. The mapping between UMTS data bearer services and appropriate GSM/GPRS data bearer services will depend upon many factors such as data rate, delay constraints, error rate etc. Means shall be provided for the application to indicate minimum acceptable QoS for service

continuation after handover.

Means shall be defined (e.g. existing GSM flow control mechanisms) which make it possible to limit any temporary degradation on handover so it meets the performance specified by GSM service requirements for connection oriented data bearer service handover.

It is required to handover a user context between GPRS and UMTS. Independently of the used air interface, the user shall stay connected to an external network (internet, intranet).

6.3.7 Supplementary Services

Control and use of Supplementary Services to be according to GSM or UMTS standard as applicable at the time, although close synergy between these should be encouraged to ensure that handover has no effect on their correct operation or continuity of service.

Where a GSM supplementary services is supported in UMTS then the technical standards should allow handover to GSM to have no effect, at least where the GSM and UMTS networks have the same network operator.

6.4 Requirements on multiple bearer services handover from UMTS to GSM

Consideration must be given to services that may involve multiple bearer services. The mapping between UMTS data bearer services and GSM/GPRS bearer services will depend upon many factors such as data rate, delay constraints, error rate etc.. Means shall be provided for the application(s) to indicate minimum acceptable QoS for services continuation after handover. In the event certain UMTS bearer services cannot be handed over to GSM/GPRS, the handover of some of the bearers to maintain the service should not be precluded.

In the case where user equipped with a dual mode terminal is in 3G coverage and has multiple PDP contexts activated (for instance to support multimedia) then it is preferable to handover one PDP context, rather than dropping all of them.

As a first priority only the PDP contexts which have an associated QoS that can be supported by the 2G networks should be candidates for handover.

If there are still multiple PDP contexts as "handover candidates" then it shall be an operator choice which PDP context will be maintained. When roaming this decision shall be taken by the serving network. The operator may choose to either;

- a) Drop all of the PDP contexts.
- b) Choose one based upon criteria such as duration, amount of traffic transferred, etc.

In case of UMTS to GSM handover of a **Multicall** only one call can be handed over.

7 Requirements for Handover from GSM to UMTS

7.1 Operational Requirements

7.1.2 GSM bands

The standard shall support handover from any combination of GSM bands supported by the GSM standards.

7.2 Performance Requirements

The technical standards should ensure that it is possible to handover from GSM to UMTS in such a way that temporary degradations are no worse than GSM to GSM handovers.

7.3 Specific Requirements for Individual Service Handover from GSM to UMTS

7.3.1 Speech

AMR, EFR, FR and HR calls shall be mapped to the default UMTS speech codec.

7.3.2 Short Message Service

There are no requirements related to handover for short message service.

7.3.3 Cell Broadcast

There are no requirements related to handover for cell broadcast.

7.3.4 USSD

In GSM, USSD is a connection mode teleservice according to the definition above: in USSD the association between endpoints is called a 'transaction' ([5]). In GSM, USSD transaction from the UE can terminate at the local MSC, the VLR or the HLR. It is not required to standardise means to handover into UMTS of transactions with the local MSC. The need to standardise handover of transactions with the VLR and HLR is for further study.

7.3.5 Facsimile

It is not required that a facsimile transmission that is active between UE and network at the time of handover from GSM to UMTS completes successfully.

7.3.6 GSM Data Bearer Services

7.3.6.1 Circuit Switched Data

Note: The requirements in this section should not delay the release 99 standardisation process and may need review.

Standards shall be defined to permit the possibility of handover of a GSM circuit switched data bearer to UMTS which shall result in a UMTS connection oriented data bearer service. Means shall be provided for the application to indicate minimum acceptable QoS for service continuation after handover. If this cannot be provided by the UMTS network handover will not take place (which may result in call loss once the UE moves outside GSM coverage).

Means shall be defined which make it possible to limit any temporary degradation on handover so it meets the performance specified by GSM service requirements for circuit switched data handover.

7.3.6.2 Packet Switched Data

It is required to handover a user context between GPRS and UMTS. Independently of the used radio interface, the user shall stay connected to an external network (internet, intranet). Any change in the QoS shall be seen at the service access points as a network initiated renegotiation of QoS. If the supported QoS is not acceptable, the MS may terminate the connection/context.

Means shall be defined which make it possible to limit any temporary degradation on handover so it meets the performance specified by GSM service requirements for packet switched data handover.

7.3.7 Supplementary services

Where a GSM supplementary services is supported in the target UMTS network then the technical standards should allow handover from GSM to UMTS to have no effect on that service, at least where the GSM and UMTS networks have the same network operator.

7.4 Requirements on multiple bearer services handover from GSM to UMTS

Consideration must be given to services that may involve the use of multiple bearer services. For example Class A GPRS terminals will be capable of simultaneously supporting more than one data bearer services. The mapping between GSM/GPRS bearer services and UMTS bearer services will depend upon many factors such as data rate, delay constraints, error rate etc. Means shall be defined to allow handover of several data bearer services from GSM to UMTS. Means shall be defined for the application(s) to indicate minimum acceptable QoS for services continuation after handover.

8 Cross Phase Compatibility for R99

This section details the cross phase compatibility requirements relating to the service requirements in this document.

Note: when a change is introduced which affects the UMTS technical standards, it is said to be 'backward compatible' if existing equipment can continue to operate and perform correctly with equipment that conforms to the new implementation.

8.1 Compatibility with Existing Standards

There are no earlier releases of the UMTS standards for which backward compatibility is required.

Where the service and operational requirements in this document relate to a GSM PLMN, compatibility is required with GSM systems conforming to the R99 GSM standard.

8.2 Compatibility with Future UMTS Standards

It is envisaged that UMTS will evolve beyond R99, for example with the addition of new service requirements. The standards that define the technical implementation of R99 should be developed in such a way that it is practical to add the requirements in this section in a backward compatible manner.

8.2.1 Handover between Environments

UMTS is expected to provide coverage in a number of environments including fixed and mobile as described in the table below. The technical standards should not preclude the possibility of implementing these requirements in a backward compatible manner.

From \ To	Terrestrial Cellular	Fixed/Cordless	Satellite
Terrestrial Cellular	Yes (R99)	Yes	Yes
Fixed/Cordless	Yes	Yes	Yes
Satellite	Yes	Yes	No

8.3 Support of Multicall with Simultaneous Voice Calls

In the case where Multicall is used to support multiple voice calls a handover must be attempted for each bearer that is in use. In the case where not all bearers can be supported by the destination network the related voice calls shall be automatically put on hold. After the handover is completed, the subscriber shall be able to retrieve any held voice call by invoking the Call Hold service.

This requirement is dependent on the user subscribing to Call Hold.

This is only required if there is more than one simultaneous speech call and this is therefore not required for Release 99.

Annex B (informative): Open Points on Inter-Operator Handover

The requirements outlined below are likely to need further elaboration, although these may be outside the scope of service requirements.

B.2 Selection of Target Cells for Handover

A mechanism is envisaged to support the selection of the target cell for handover. The target cell may be part of the serving network or part of another network.

B.3 Network Information Exchange

A mechanism is envisaged to support the exchange of network information between different operators. Two categories of network information are identified:

- static information, for example, neighbour cell lists, interconnecting traffic and signalling links, etc.;
- dynamic information, for example real-time signalling information related to target cell selection, etc.

B.4 Service Requirements

FFS.

[There is a need to identify which services can be maintained during handover and the interactions of services across network boundaries]

B.5 Billing, Accounting and Charging Requirements

FFS.

Annex C (informative): Change history

Change history					
TSG_SA	TDoc. No.	CR. No.	Section affected	New version	Subject/Comments
SA#5, Kyongju, Korea	SP-99436	002 003 004 005 006		3.1.0	SMS handover requirement clarification GSM UMTS Handover Revised terminology to 22.129 For R99 there can only be one target PLMN for HO in addition to the serving PLMN for R99 in a given geographical area. from 489 - Clarification of the scope of mandatory requirements
SA#5, Kyongju, Korea	SP-99483	007 rev1			Removes all non-R99 requirements, by changing them into Cross phase compatibility requirements which apply to R99.
SA#6, Nice France	SP-99553	008		3.2.0	Editorial CR to 22.129
SA#6, Nice France	SP-99523	009 010	5.4 (New), 6.4, 7.4 8.3 (new)	3.2.0	3G/2G handover in the PS Domain Handover of a Multicall
SA#7, Nice France	SP-99521	011	4 ; 4.3 (new) ; 4.3.1 (new) ; 6.2.4	3.2.0	Performance requirements for real time services and requirements for handover between UMTS and GPRS

History

Document history		
V3.2.0	January 2000	Publication