

ETSI TS 132 511 V13.1.0 (2018-01)



**Universal Mobile Telecommunications System (UMTS);
LTE;
Telecommunication management;
Automatic Neighbour Relation (ANR) management;
Concepts and requirements
(3GPP TS 32.511 version 13.1.0 Release 13)**



Reference

RTS/TSGS-0532511vd10

Keywords

LTE,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

<https://portal.etsi.org/TB/ETSIDeliverableStatus.aspx>

If you find errors in the present document, please send your comment to one of the following services:

<https://portal.etsi.org/People/CommiteeSupportStaff.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.

© ETSI 2018.

All rights reserved.

DECT™, **PLUGTESTS™**, **UMTS™** and the ETSI logo are trademarks of ETSI registered for the benefit of its Members.

3GPP™ and **LTE™** are trademarks of ETSI registered for the benefit of its Members and of the 3GPP Organizational Partners.

oneM2M logo is protected for the benefit of its Members.

GSM® and the GSM logo are trademarks registered and owned by the GSM Association.

Intellectual Property Rights

Essential patents

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.

Trademarks

The present document may include trademarks and/or tradenames which are asserted and/or registered by their owners. ETSI claims no ownership of these except for any which are indicated as being the property of ETSI, and conveys no right to use or reproduce any trademark and/or tradename. Mention of those trademarks in the present document does not constitute an endorsement by ETSI of products, services or organizations associated with those trademarks.

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.....	4
Introduction	4
1 Scope	5
2 References	5
3 Definitions and abbreviations.....	5
3.1 Definitions	5
3.2 Abbreviations	6
4 Concepts and background	6
5 Requirements.....	6
5.1 Business level requirements	6
5.1.1 Void	7
5.1.1.1 Void.....	7
5.1.1.2 Void.....	7
5.1.1.3 Void.....	7
5.2 Specification level requirements	7
5.2.1 Void	7
5.2.2 Void	7
5.2.3 Void	7
5.2.4 Use cases.....	7
5.2.4.1 Management of fully automatic ANR function.....	7
5.2.4.2 Manual start of the ANR function by operator.....	8
5.2.4.3 Handling of noX2 attribute	8
5.2.4.4 Manual stop of the ANR function by operator.....	9
5.2.5 Requirements	10
5.2.5.1 ANR function management in E-UTRAN	10
5.2.5.2 ANR function management in UTRAN.....	11
Annex A (informative): Change history	13
History	14

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.

Introduction

The present document is part of a TS-family covering the 3rd Generation Partnership Project Technical Specification Group Services and System Aspects, Telecommunication management; as identified below:

32.511: "Automatic Neighbour Relation (ANR) management; Concepts and requirements".

1 Scope

The present document describes the concepts and requirements for the management of Automatic Neighbour Relation (ANR) in UTRAN and E-UTRAN across the Itf-N. The ANR management is a key feature of Self Organizing Networks (SON) [4].

The NCR concept and background information are described in clause 4.
The requirements for management of NCR are defined in clause 5.

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 32.101: "Telecommunication management; Principles and high level requirements".
 - [3] 3GPP TS 32.102: "Telecommunication management; Architecture".
 - [4] 3GPP TR 32.816: "Telecommunication management; Study on Management of Evolved Universal Terrestrial Radio Access Network (E-UTRAN) and Evolved Packet Core (EPC)".
 - [5] 3GPP TS 32.501 "Telecommunication management; Self-Configuration of Network Elements; Concepts and requirements".
 - [6] 3GPP TS 36.300 "Evolved Universal Terrestrial Radio Access (E-UTRA) and Evolved Universal Terrestrial Radio Access Network (E-UTRAN); Overall description; Stage 2".
 - [7] 3GPP TS 32.301 "Telecommunication management; Configuration Management (CM); Notification Integration Reference Point (IRP); Requirements".
 - [8] 3GPP TS 25.484 "Automatic Neighbour Relation (ANR) for UTRAN; Stage 2".
-

3 Definitions and abbreviations

For the purposes of the present document, the terms and definitions given in TS 32.101 [2], TS 32.102 [3] and TS 21.905 [1] and the following apply. A term defined in the present document takes precedence over the definition of the same term, if any, in TS 32.101 [2], TS 32.102 [3] and TS 21.905 [1], in that order.

3.1 Definitions

For the purposes of the present document, the terms and definitions given in TR 21.905 [1] and the following apply. A term defined in the present document takes precedence over the definition of the same term, if any, in TR 21.905 [1].

ANR function: The ANR function in E-UTRAN is described in TS 36.300 [6], section 22.3.2a. The ANR function in UTRAN is described in TS 25.484 [8].

Neighbour Cell Relation: The Neighbour Cell Relation (NCR) in E-UTRAN is defined in TS 36.300 [6] section 22.3.2a. The Neighbour Cell Relation in UTRAN is defined in TS 25.484 [8].

Searchlist: List of frequencies and supporting information to be used for neighbour cell measurements. The Searchlist contains entries for E-UTRAN and supported IRATs.

3.2 Abbreviations

For the purposes of the present document, the abbreviations given in TR 21.905 [1] and the following apply. An abbreviation defined in the present document takes precedence over the definition of the same abbreviation, if any, in TR 21.905 [1].

ANR	Automatic Neighbour Relation
eNB	eNodeB or evolved NodeB
NCR	Neighbour Cell Relation
NCRT	Neighbour Cell Relation Table
UC	Use Case

4 Concepts and background

For E-UTRAN, the ANR function in the eNB relates to the Use Cases **Establishment of new eNB in network** and **Optimisation of the neighbourhood list** in [4].

- For **Establishment of new eNB in network**. If the operator so chooses, the OAM system adds and configures NCRs before the eNB goes into operation.
- For **Optimisation of the neighbourhood list**, the ANR function deals with automatic NCR additions and removals. It minimizes the need for planning and configuring NCRs. If the operator so chooses, the OAM system adds and configures NCRs or removes NCRs after the eNB goes into operation.

For UTRAN, the ANR function concept and overall description is documented in TS 25.484 [8].

- The ANR function in RNC allows OAM system to manage the NCRT. OAM system can add and delete NCRs and also change the attributes of the NCRs. The OAM system is informed about changes in the NCRT made by ANR function.

5 Requirements

5.1 Business level requirements

REQ-ANR-CON-001 NCRs shall be set up and optimized with no or minimal human intervention.

REQ-ANR-CON-002 For E-UTRAN, initial status of the newly created NCR by ANR function shall be such that HO is allowed, X2 connection setup is allowed, and the NCR is allowed to be removed by ANR function in eNB.

REQ-ANR-CON-003 E-UTRAN ANR supports management of NCRs from E-UTRAN to E-UTRAN, from E-UTRAN to UTRAN, from E-UTRAN to CDMA2000 and from E-UTRAN to GERAN.

REQ-ANR-CON-004 For UTRAN, initial status of the newly created NCR by ANR function shall be such that HO is allowed and the NCR is allowed to be removed by ANR function in RNC.

REQ-ANR-CON-005 UTRAN ANR supports management of NCRs from UTRAN to UTRAN, from UTRAN to E-UTRAN and from UTRAN to GERAN.

5.1.1 Void

5.1.1.1 Void

5.1.1.2 Void

5.1.1.3 Void

5.2 Specification level requirements

5.2.1 Void

5.2.2 Void

5.2.3 Void

5.2.4 Use cases

5.2.4.1 Management of fully automatic ANR function

Use Case Stage	Evolution / Specification	<<Uses>> Related use
Goal (*)	The goal is that the IRPManager may add and remove NCRs and that it may change attributes of the NCRs	
Actors and Roles (*)	- IRPManager as user	
Telecom resources	- ANR function - eNB or RNC	
Assumptions		
Pre conditions	- The ANR function in eNB or RNC is active; - The cell may or may not have Neighbour Cell Relations configured by O&M; - For E-UTRAN, the eNB has finished Use Case <i>Self-configuration of a new eNodeB</i> [5]; - For UTRAN, the RNC is properly installed and running.	
Begins when	This Use Case begins when all pre conditions have been met.	
Step 1 (*) (M)	- If the IRPManager finds out that an unsuitable Neighbour Cell Relation has been added by ANR, the IRPManager may "Blacklist" that particular Neighbour Cell Relation. - If the IRPManager finds out that a desired Neighbour Cell Relation has not been added by ANR, the IRPManager may "Whitelist" that particular Neighbour Cell Relation. - The IRPManager may uncheck the noRemove attribute from any present Neighbour Cell Relation.	
Ends when (*)	This Use Case ends when the eNB or RNC is taken out of service or when the ANR function is stopped.	
Exceptions	One of the steps identified above fails and retry is unsuccessful.	
Post Conditions		
Traceability (*)	REQ-ANR-CON-001	

5.2.4.2 Manual start of the ANR function by operator

Use Case Stage	Evolution / Specification	<<Uses>> Related use
Goal (*)	The ANR function in eNB or RNC can be enabled by IRPManager.	
Actors and Roles (*)	- IRPManager as user	
Telecom resources	- ANR function - eNB or RNC	
Assumptions		
Pre conditions	- The ANR function is not active; - The eNB or RNC may have Neighbour Cell Relations. The NCRs may be configured by O&M or be may have been added by ANR function if ANR function has been active previously.	
Begins when	The Use Case begins when the IRP Manager starts the ANR function.	
Step 1 (*) (M)	The IRPManager enables the ANR function in eNB or RNC.	
Ends when (*)	Ends when all steps identified above are completed or when an exception occurs	
Exceptions	One of the steps identified above fails and retry is unsuccessful.	
Post Conditions	The ANR function in eNB or RNC is enabled by IRPManager successfully or unsuccessfully.	
Traceability (*)	REQ-ANR-FUN-10, REQ-ANR-FUN-26	

5.2.4.3 Handling of noX2 attribute

Use Case 1

IRPManager needs to be able to forbid and allow the establishment of X2 interfaces from the source macro eNBs to a target eNB. IRPManager is aware that the target eNB cannot support X2 connections. This UC on how noX2 is used relates to node level rather than cell level.

Use Case 2

IRPManager needs to be able to allow and forbid the establishment of X2 interfaces from the source HeNBs to a target macro eNB. This UC supports the case when a potentially large number of HeNBs in the vicinity of a macro eNB, X2 establishment requests from HeNB might saturate the physical ports of the macro eNB (not in terms of bandwidth saturation but rather the saturation in terms of the number of simultaneous establishment requests supported). This UC on how noX2 is used relates to node level rather than Cell level.

Use Case 3

IRPManager needs to be able to forbid the establishment of the X2 interface from (IRPManager's) operator's eNB to another operator's eNB or to an eNB that belongs to another unwanted PLMN. This UC supports the case when the IP address of the target eNB cannot be obtained or the X2 handovers to another unwanted PLMN are not allowed. This UC on how noX2 is used relates to node level rather than cell level.

Use Case 4

IRPManager needs to be able to ask for the release of the X2 interface improperly established by eNB. This UC supports the case when the serving eNB has established an X2 interface (e.g., by ANR) before IRPManager had a chance to forbid the establishment of that X2 interface. The IRPManager needs to be able to ask the serving eNB to release the X2 interface to the target eNB. This UC on how noX2 is used relates to node level rather than cell level.

5.2.4.4 Manual stop of the ANR function by operator

Use Case Stage	Evolution / Specification	<<Uses>> Related use
Goal (*)	The ANR function in eNB or RNC can be disabled by IRPManager.	
Actors and Roles (*)	- IRPManager as user	
Telecom resources	- ANR function - eNB or RNC	
Assumptions		
Pre conditions	- The ANR function is active	
Begins when	The Use Case begins when the IRPManager makes a decision to disable the ANR function.	
Step 1 (*) (M)	The IRPManager disables the ANR function in eNB or RNC.	
Ends when (*)	Ends when all steps identified above are completed or when an exception occurs.	
Exceptions	One of the steps identified above fails and retry is unsuccessful.	
Post Conditions	The ANR function in eNB or RNC is disabled by IRPManager successfully or unsuccessfully. All existing NCRs, whether created by ANR or otherwise are unaltered.	
Traceability (*)	REQ-ANR-FUN-10, REQ-ANR-FUN-26	

5.2.5 Requirements

5.2.5.1 ANR function management in E-UTRAN

The business level requirements in section 5.1 are decomposed into the following specification level requirements, applicable for E-UTRAN:

REQ-ANR-FUN-01 An IRPManager shall be able to request that HO be allowed from source cell to target cell.

REQ-ANR-FUN-02 An IRPManager shall be able to request that HO be prohibited from source cell to target cell.

REQ-ANR-FUN-03 An IRPManager shall be able to request that HO be allowed from source cell to target cell and that no other entity than an IRPManager can remove that request. This is termed as HO white-listing.

REQ-ANR-FUN-04 An IRPManager shall be able to request that HO be prohibited from source cell to target cell and that no other entity than an IRPManager can remove that request. This is termed as HO black-listing.

REQ-ANR-FUN-05 An IRPAgent shall inform the IRPManager about success or failure of IRPManager operations to allow HO, prohibit HO, HO white-list and HO black-list.

REQ-ANR-FUN-06 An IRPManager shall be able to request establishment of an X2 connection from one eNB to another eNB.

REQ-ANR-FUN-07 An IRPManager shall be able to request the release of an X2 connection between two eNBs.

REQ-ANR-FUN-08 An IRPManager shall be able to request that X2 interface from one eNB to another eNB be established if the X2 interface is not established and that the release of X2 interface be prohibited. No other entity than an IRPManager can remove that request. This is termed as X2 white-listing.

REQ-ANR-FUN-09 An IRPManager shall be able to request that X2 interface from one eNB to another eNB be released if the X2 interface is established and that the establishment of the X2 interface be prohibited. No other entity than an IRPManager can remove that request. This is termed as X2 black-listing.

REQ-ANR-FUN-10 Operator shall be able to disable/enable one eNB or multiple eNB's ANR function when needed.

REQ-ANR-FUN-11 void

REQ-ANR-FUN-12 An IRPManager shall be able to add and configure new NCRs in the eNB.

REQ-ANR-FUN-13 An IRPManager shall be able to remove NCRs in the eNB

REQ-ANR-FUN-14 An IRPAgent shall inform the IRPManager about changes to the NCR according to TS 32.301 [7].

REQ-ANR-FUN-15 A Searchlist is needed for each cell. The IRPManager should be able to configure the Searchlist.

REQ-ANR-FUN-16 An IRPAgent shall inform the IRPManager about the newly added and removed NCRs according to TS 32.301 [7].

REQ-ANR-FUN-17 An IRPManager shall be able to retrieve ANR related attribute values on cell level, identifying:

- Source cell & target cell;
- NCR status (locked, unlocked);
- HO status (allowed, prohibited).

Editor's note:

The 'locked' NCR status indicates that the NCR shall not be removed by the ANR function.

The 'unlocked' NCR status indicates that the NCR may be removed by the ANR function.

The 'allowed' HO status indicates that handovers are allowed for this NCR.

The 'prohibited' HO status indicates that handovers are prohibited for this NCR.

The combination of 'locked' NCR status and 'allowed' HO status is a 'whitelisted' relation.

The combination of 'locked' NCR status and 'prohibited' HO status is a 'blacklisted' relation

REQ-ANR-FUN-18 The IRPAgent shall support a capability allowing the IRPManager to determine whether the X2 interface between two eNodeBs is established or not established.

REQ-ANR-FUN-19 IRPManager shall be able to request that the source eNB be prohibited to use X2 interface for HOs to a target eNB even if the X2 interface exists between the eNBs. No other entity than an IRPManager can remove that request. This is termed as X2HO black-listing.

REQ-ANR-FUN-20 The IRPAgent shall support a capability allowing the IRPManager to retrieve the X2 whitelisted and blacklisted eNBs.

5.2.5.2 ANR function management in UTRAN

The business level requirements in section 5.1 are decomposed into the following specification level requirements, applicable for UTRAN:

REQ-ANR-FUN-21 The IRPAgent shall support a capability allowing the IRPManager to request that HO be allowed from source cell to target cell.

REQ-ANR-FUN-22 The IRPAgent shall support a capability allowing the IRPManager to request that HO be prohibited from source cell to target cell.

REQ-ANR-FUN-23 The IRPAgent shall support a capability allowing the IRPManager to request that HO be allowed from source cell to target cell and that no other entity than an IRPManager can remove that request. This is termed as HO white-listing.

REQ-ANR-FUN-24 The IRPAgent shall support a capability allowing the IRPManager to request that HO be prohibited from source cell to target cell and that no other entity than an IRPManager can remove that request. This is termed as HO black-listing.

REQ-ANR-FUN-25 The IRPAgent shall inform the IRPManager about success or failure of IRPManager operations to allow HO, prohibit HO, HO white-list and HO black-list.

REQ-ANR-FUN-26 The IRPAgent shall support a capability allowing the IRPManager to disable/enable ANR function in RNC when needed.

REQ-ANR-FUN-27 The IRPAgent shall support a capability allowing the IRPManager to add and configure new NCRs in the RNC.

REQ-ANR-FUN-28 The IRPAgent shall support a capability allowing the IRPManager to remove NCRs in the RNC.

REQ-ANR-FUN-29 The IRPAgent shall inform the IRPManager about changes to the NCR according to TS 32.301 [7].

REQ-ANR-FUN-30 The IRPAgent shall inform the IRPManager about the newly added and removed NCRs according to TS 32.301 [7].

REQ-ANR-FUN-31 The IRPAgent shall support a capability allowing the IRPManager to retrieve ANR related attribute values on cell level, identifying:

- Source cell & target cell;
- NCR status (locked, unlocked);
- HO status (allowed, prohibited).

NOTE:

The 'locked' NCR status indicates that the NCR shall not be removed by the ANR function.

The 'unlocked' NCR status indicates that the NCR may be removed by the ANR function.

The 'allowed' HO status indicates that handovers are allowed for this NCR.

The 'prohibited' HO status indicates that handovers are prohibited for this NCR.

The combination of 'locked' NCR status and 'allowed' HO status is a 'whitelisted' relation.

The combination of 'locked' NCR status and 'prohibited' HO status is a 'blacklisted' relation.

Annex A (informative): Change history

Change history							
Date	Meeting	TDoc	CR	Rev	Cat	Subject/Comment	New version
2008-12						Submitted to SA#42 for information and approval	8.0.0
2009-03	SP-43	SP-090213	001	1		Remove solution related terms and inconsistencies in Requirement specification and add clarifications	8.1.0
2009-06	SP-44	SP-090290	002	--		Clarify requirement REQ-ANR-FUN-18	8.2.0
2009-12	-	-	-	-		Update to Rel-9 version (MCC)	9.0.0
2011-03	-	-	-	-		Update to Rel-10 version (MCC)	10.0.0
2011-06	SP-52	SP-110293	009	1		Introducing ANR use cases for UTRAN	11.0.0
2011-09	SP-53	SP-110540	010	--		Introducing ANR concepts and requirements for UTRAN	11.1.0
2012-09	SP-57	SP-120574	011	--		Clean-up changes for ANR management concepts and requirements	11.2.0
2014-10	-	-	-	-		Update to Rel-12 version (MCC)	12.0.0
2016-01	-	-	-	-		Update to Rel-13 version (MCC)	13.0.0
2018-01	SA#78	SP-170972	0017	1	A	Alignment with RAN specification	13.1.0

History

Document history		
V13.0.0	February 2016	Publication
V13.1.0	January 2018	Publication