3GPP TSG-RAN WG3 #115-e R3-222913

Online, 21th February– 3rd March 2022

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| *CR-Form-v12.0* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
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|  | **38.300** | **CR** |  | **rev** |  | **Current version:** | **16.8.0** |  |
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| *For* [***HE******LP***](http://www.3gpp.org/3G_Specs/CRs.htm#_blank)*on using this form: comprehensive instructions can be found at* [*http://www.3gpp.org/Change-Requests*](http://www.3gpp.org/Change-Requests)*.* | | | | | | | | |
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| ***Proposed change affects:*** | UICC apps |  | ME |  | Radio Access Network | **x** | Core Network | **X** |

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| ***Title:*** | BLCR to 38.300: addition of SON features enhancement | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Source to WG:*** | CMCC, Nokia, Nokia Shanghai Bell | | | | | | | | | |
| ***Source to TSG:*** |  | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | NR\_ENDC\_SON\_MDT\_enh-Core | | | | |  | ***Date:*** | | | 2022-03-06 |
|  |  | | | |  | |  | | |  |
| ***Category:*** |  |  | | | | | ***Release:*** | | |  |
|  | *Use one of the following categories:* ***F*** *(correction)* ***A*** *(mirror corresponding to a change in an earlier release)* ***B*** *(addition of feature),* ***C*** *(functional modification of feature)* ***D*** *(editorial modification)*  Detailed explanations of the above categories can be found in 3GPP [TR 21.900](http://www.3gpp.org/ftp/Specs/html-info/21900.htm). | | | | | | | | *Use one of the following releases: Rel-8 (Release 8) Rel-9 (Release 9) Rel-10 (Release 10) Rel-11 (Release 11) Rel-12 (Release 12)* *Rel-13 (Release 13) Rel-14 (Release 14) Rel-15 (Release 15) Rel-16 (Release 16)* | |
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| ***Reason for change:*** | | Add the support of SON enhancement for NR | | | | | | | | |
|  | |  | | | | | | | | |
| ***Summary of change:*** | | Add support for inter-system energy saving  Add support for inter-system load balancing  MRO: add support for CHO and PSCell change failure  Add support for coverage and capacity optimisation  Add support for PCI optimization  **TPs:**  **RAN3 #109-e:**   * Add the following sections: * Support for Coverage and Capacity Optimisation * Support for PCI Optimisation * Include the agreed TP in R3-205694   **RAN3 #110-e:**   * Include the agreed TP in R3-207008, R3-207228, R3-207162   **RAN3 #111-e:**   * Include the agreed TP in R3-211303, R3-211161   **RAN3 #112-e:**   * Include the agreed TP in R3-212817   **RAN3 #113-e:**   * Include the agreed TP in R3-214319   **RAN3 #114bis-e:**  Include the agreed TP in R3-221292, R3-221308  **RAN3 #115-e:**  Include the agreed TP in R3-222621, R3-222729, R3-222761, R3-222765 | | | | | | | | |
|  | |  | | | | | | | | |
| ***Consequences if not approved:*** | | NR SON features enhancement are not supported | | | | | | | | |
|  | |  | | | | | | | | |
| ***Clauses affected:*** | | 15.4.2.1 (new), 15.4.2.2 (new), 15.4.3, 15.5.1.1, 15.5.1.2, 15.5.1.x (new), 15.5.2.2.2 (new), 15.5.2.x (new), 15.5.x (new), 15.5.y (new) | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **Y** | **N** |  | | | |  | | |
| ***Other specs*** | |  | **X** | Other core specifications | | | | TS/TR ... CR ... | | |
| ***affected:*** | |  | **x** | Test specifications | | | | TS/TR ... CR ... | | |
| ***(show related CRs)*** | |  | **x** | O&M Specifications | | | | TS/TR ... CR ... | | |
|  | |  | | | | | | | | |
| ***Other comments:*** | |  | | | | | | | | |
|  | |  | | | | | | | | |
| ***This CR's revision history:*** | |  | | | | | | | | |

**--------------------------------------------------Start of the change---------------------------------------------------**

15.4 Support for Energy Saving

15.4.1 General

The aim of this function is to reduce operational expenses through energy savings.

The function allows, for example in a deployment where capacity boosters can be distinguished from cells providing basic coverage, to optimize energy consumption enabling the possibility for an E-UTRA or NR cell providing additional capacity via single or dual connectivity, to be switched off when its capacity is no longer needed and to be re-activated on a need basis.

15.4.2 Solution description

#### 15.4.2.1 Intra-system energy saving

The solution builds upon the possibility for the NG-RAN node owning a capacity booster cell to autonomously decide to switch-off such cell to lower energy consumption (inactive state). The decision is typically based on cell load information, consistently with configured information. The switch-off decision may also be taken by O&M.

The NG-RAN node may initiate handover actions in order to off-load the cell being switched off and may indicate the reason for handover with an appropriate cause value to support the target node in taking subsequent actions, e.g. when selecting the target cell for subsequent handovers.

All neighbour NG-RAN nodes are informed by the NG-RAN node owning the concerned cell about the switch-off actions over the Xn interface, by means of the NG-RAN node Configuration Update procedure.

All informed nodes maintain the cell configuration data, e.g., neighbour relationship configuration, also when a certain cell is inactive. If basic coverage is ensured by NG-RAN node cells, NG-RAN node owning non-capacity boosting cells may request a re-activation over the Xn interface if capacity needs in such cells demand to do so. This is achieved via the Cell Activation procedure. During switch off time period of the boost cell, the NG-RAN node may prevent idle mode UEs from camping on this cell and may prevent incoming handovers to the same cell.

The NG-RAN node receiving a request should act accordingly. The switch-on decision may also be taken by O&M. All peer NG-RAN nodes are informed by the NG-RAN node owning the concerned cell about the re-activation by an indication on the Xn interface.

#### 15.4.2.2 Inter-system energy saving

The solution builds upon the possibility for the NG-RAN node owning a capacity booster cell to autonomously decide to switch-off such cell to dormant state. The decision is typically based on cell load information, consistently with configured information. The switch-off decision may also be taken by O&M. The NG-RAN node indicates the switch-off action to the eNB over NG interface and S1 interface. The NG-RAN node could also indicates the switch-on action to the eNB over NG interface and S1 interface.

The eNB providing basic coverage may request a NG-RAN node’s cell re-activation based on its own cell load information or neighbour cell load information, the switch-on decision may also be taken by O&M. The eNB requests a NG-RAN node’s cell re-activation and receives the NG-RAN node’s cell re-activation reply from the NG-RAN node over the S1 interface and NG interface. Upon reception of the re-activation request, the NG-RAN node’s cell should remain switched on at least until expiration of the minimum activation time. The minimum activation time may be configured by O&M or be left to the NG-RAN node’s implementation.

15.4.3 O&M requirements

Operators should be able to configure the energy saving function.

The configured information should include:

- The ability of an NG-RAN node to perform autonomous cell switch-off;

- The ability of an NG-RAN node to request the re-activation of a configured list of inactive cells owned by a peer NG-RAN node.

O&M may also configure

- policies used by the NG-RAN node for cell switch-off decision;

- policies used by peer NG-RAN nodes for requesting the re-activation of an inactive cell.

- The minimum time an NG-RAN node's cell should remain activated upon reception of a re-activation request from an eNB.

## 15.5 Self-optimisation

### 15.5.1 Support for Mobility Load Balancing

#### 15.5.1.1 General

The objective of mobility load balancing is to distribute load evenly among cells and among areas of cells, or to transfer part of the traffic from congested cell or from congested areas of cells, or to offload users from one cell, cell area, carrier or RAT to achieve network energy saving. This can be done by means of optimization of cell reselection/handover parameters and handover actions. The automation of such optimisation can provide high quality user experience, while simultaneously improving the system capacity and also to minimize human intervention in the network management and optimization tasks.

Intra-RAT, intra-system inter-RAT and inter-system load balancing scenarios are supported.

In general, support for mobility load balancing consists of one or more of following functions:

- Load reporting for intra-RAT and intra-system inter-RAT load balancing;

- Load balancing action based on handovers;

- Adapting handover and/or reselection configuration;

- Load reporting for inter-system load balancing

#### 15.5.1.2 Load reporting for intra-RAT and intra-system inter-RAT load balancing

The load reporting function is executed by exchanging load information over the Xn/X2/F1/E1 interfaces.

The following load related information should be supported which consists of:

- Radio resource usage (per-cell and per SSB area PRB usage: DL/UL GBR PRB usage, DL/UL non-GBR PRB usage, DL/UL total PRB usage, and DL/UL scheduling PDCCH CCE usage) ; PRB usage for slice(s): DL/UL GBR PRB usage, DL/UL non-GBR PRB usage, and DL/UL Total PRB allocation);

- TNL capacity indicator (UL/DL TNL offered capacity and available capacity);

- Cell Capacity Class value (UL/DL relative capacity indicator);

- Capacity value (per cell, per SSB area and per slice: UL/DL available capacity);

- HW capacity indicator (offered throughput and available throughput over E1, percentage utilisation over F1);

- RRC connections (number of RRC connections, and available RRC Connection Capacity);

- Number of active UEs.

To achieve load reporting function, Resource Status Reporting Initiation & Resource Status Reporting procedures are used.

15.5.1.3 Load balancing action based on handovers

The source cell may initiate handover due to load. The target cell performs admission control for the load balancing handovers. A handover preparation related to a mobility load balancing action is distinguishable from other handovers, so that the target cell is able to apply appropriate admission control.

#### 15.5.1.4 Adapting handover and/or reselection configuration

This function enables requesting of a change of handover and/or reselection parameters at target cell. The source cell that initialized the load balancing estimates if it is needed to change mobility configuration in the source and/or target cell. If the amendment is needed, the source cell initializes mobility negotiation procedure toward the target cell.

The source cell informs the target cell about the new mobility setting and provides cause for the change (e.g. load balancing related request). The proposed change is expressed by the means of the difference (delta) between the current and the new values of the handover trigger. The handover trigger is the cell specific offset that corresponds to the threshold at which a cell initialises the handover preparation procedure. Cell reselection configuration may be amended to reflect changes in the HO setting. The target cell responds to the information from the source cell. The allowed delta range for HO trigger parameter may be carried in the failure response message. The source cell should consider the responses before executing the planned change of its mobility setting.

All automatic changes on the HO and/or reselection parameters must be within the range allowed by OAM.

#### 15.5.1.x Load reporting for inter-system load balancing

The load reporting function for inter-system load balancing is executed by exchanging load information between NG-RAN and E-UTRAN. Both event-triggered and periodic inter-system load reporting are supported. Event-triggered inter-system load reports are sent when the reporting node detects crossing of cell load thresholds.

The following load related information should be supported:

- Cell Capacity Class value (UL/DL relative capacity indicator);

- Capacity value (per cell: UL/DL available capacity);

- RRC connections (number of RRC connections, and available RRC Connection Capacity);

- Number of active UEs.

- PRB usage (per cell: UL/DL)

NGAP procedures used for inter-system load balancing are Uplink RAN Configuration Transfer and Downlink RAN Configuration Transfer.

S1AP procedures used for inter-system load balancing are eNB Configuration Transfer and MME Configuration Transfer.

*Omit unchanged part*

#### 15.5.2.2 Connection failure

##### 15.5.2.2.1 General

For analysis of connection failures, the UE makes the RLF Report available to the network.

The UE stores the latest RLF Report, including both LTE and NR RLF report until the RLF report is fetched by the network or for 48 hours after the connection failure is detected.

The UE only indicates RLF report availability and only provides the RLF report to the network if the current RPLMN is a PLMN that was present in the UE's EPLMN List or was the RPLMN at the time the connection failure was detected. In case RLF happens in an E-UTRA cell, the UE makes the LTE RLF Report available to NG-RAN nodes and eNB(s), and in case RLF happens in an NR cell the UE makes the NR RLF Report available to gNB(s).

If the LTE RLF Report is reported to a NG-RAN node, and the last serving node is an E-UTRAN node, the NG-RAN node may transfer it to the E-UTRAN node by triggering the Uplink RAN configuration transfer procedure over NG and the E-UTRAN node can take this into account as defined in TS 36.300 [2].

##### 15.5.2.2.2 Connection failure due to intra-system mobility

One of the functions of Mobility Robustness Optimization is to detect connection failures that occur due to Too Early or Too Late Handovers, or Handover to Wrong Cell. These problems are defined as follows:

- Intra-system Too Late Handover: an RLF occurs after the UE has stayed for a long period of time in the cell; the UE attempts to re-establish the radio link connection in a different cell.

- Intra-system Too Early Handover: an RLF occurs shortly after a successful handover from a source cell to a target cell or a handover failure occurs during the handover procedure; the UE attempts to re-establish the radio link connection in the source cell.

- Intra-system Handover to Wrong Cell: an RLF occurs shortly after a successful handover from a source cell to a target cell or a handover failure occurs during the handover procedure; the UE attempts to re-establish the radio link connection in a cell other than the source cell and the target cell.

In the definition above, the "successful handover" refers to the UE state, namely the successful completion of the RA procedure.

In case of CHO, the Too Late Handover, Too Early Handover and Handover to Wrong Cell in the definition above means Too Late CHO Execution, Too Early CHO Execution and CHO Execution to Wrong Cell.

**Detection mechanism**

A failure indication may be initiated after a UE attempts to re-establish the radio link connection at NG-RAN node B after a failure at NG-RAN node A. NG-RAN node B may initiate the Failure Indication procedure towards multiple NG-RAN nodes if they control cells which use the PCI signalled by the UE during the re-establishment procedure. The NG-RAN node receiving this selects the UE context that matches the received Failure Cell ID and C-RNTI, and, if available, uses the shortMAC-I to confirm this identification, by calculating the shortMAC-I and comparing it to the received IE.

A failure indication may also be sent to the node last serving the UE when the NG-RAN node fetches the RLF REPORT from UE by triggering:

- The Failure Indication procedure over Xn;

- The Uplink RAN configuration transfer procedure and Downlink RAN configuration transfer procedure over NG.

The detailed detection mechanisms for too late handover, too early handover and handover to wrong cell are carried out through the following in the NG-RAN node that served the UE before the reported connection failure:

- Intra-system Too Late Handover: there is no recent handover for the UE prior to the connection failure e.g. the UE reported timer is absent or larger than the configured threshold (e.g. Tstore\_UE\_cntxt), or if CHO is configured but the CHO execution is not initiated for the UE prior to the connection failure, e.g. the UE reported timer is absent or larger than the configured threshold (e.g. Tstore\_UE\_cntxt), or if DAPS HO is configured but an RLF is detected in the source cell with successful DAPS HO.

- Intra-system Too Early Handover: there is a recent handover for the UE prior to the connection failure e.g. the UE reported timer is smaller than the configured threshold (e.g. Tstore\_UE\_cntxt), and the first re-establishment attempt cell/the cell UE attempts to re-connect is the cell that served the UE at the last handover initialisation or fall back to the source cell configuration in case of DAPS HO.

- Intra-system Handover to Wrong Cell: there is a recent handover for the UE prior to the connection failure e.g. the UE reported timer is smaller than the configured threshold (e.g. Tstore\_UE\_cntxt), and the first re-establishment attempt cell/the cell UE attempts to re-connect/the cell UE attempts CHO recovery is neither the cell that served the UE at the last handover initialisation nor the cell that served the UE where the RLF happened or the cell that the handover was initialized toward.

The "UE reported timer" above indicates the time elapsed since the last handover initialisation until connection failure or the time elapsed since the CHO execution until connection failure.

In case of Too Early Handover or Handover to Wrong Cell, the NG-RAN node receiving the failure indication may inform the NG-RAN node controlling the cell where the mobility configuration caused the failure by means of the Handover Report procedure over Xn or the Uplink RAN Configuration Transfer procedure over NG. This may include the RLF report.

**Retrieval of information needed for problem analysis**

In order to retrieve relevant information collected at the network side as part of the UE context, the UE provides C-RNTI used in the last serving cell. If the cause for the failure is identified as a "Too Early HO" or a "HO to Wrong Cell", the NG-RAN node controlling the last serving cell shall, include in the HANDOVER REPORT message the C-RNTI used in the source cell of the last completed handover before the failure. If the NG RAN node controlling that source cell provided the Mobility Information, it is also included in the HANDOVER REPORT message. If used, the Mobility Information is prepared at the source NG RAN node of a handover and may refer to or identify any handover-related data at this NG RAN node.

**Handling multiple reports from a single failure event**

In case the RRC re-establishment fails and the RRC connection setup succeeds, MRO evaluation of intra-RAT mobility connection failures may be triggered twice for the same failure event. In this case, only one failure event should be counted.

#### 15.5.2.x PSCell change failure

##### 15.5.2.x.1 General

For analysis of PSCell change failures, the UE makes the SCG Failure Information available to the MN. If the MN can perform an initial analysis, it transfers the SCG Failure Information together with the analysis results to the relevant SN which is responsible for the PSCell change failures (see the section 13.x in TS 37.340 [21]). Otherwise, the MN transfers the SCG Failure Information to the last serving SN. If needed, the MN transfer the SCG Failure Information to the source SN (see the section 13.x in TS 37.340 [21]).

*Omit unchanged part*

### 15.5.x Support for Coverage and Capacity Optimisation

#### 15.5.X.1 General

The objective of NR Coverage and Capacity Optimization (CCO) function is to detect and mitigate coverage and cell edge interference issues.

#### 15.5.X.2 OAM requirements

Each NG-RAN node may be configured with *alternative coverage configurations* by OAM. The alternative coverage configurations contain relevant radio parameters and may also include a range for how each parameter is allowed to be adjusted.

#### 15.5.X.3 Dynamic coverage configuration changes

An NG-RAN node may autonomously adjust within and switch between coverage configurations. When a change is executed, a NG-RAN node may notify its neighbour NG-RAN nodes using the NG-RAN NODE CONFIGURATION UPDATE message with the list of cells and SSBs with modified coverage included. The list contains the CGI of each modified cell with its coverage state indicator and optionally the SSB index of each modified SSB with its coverage state indicator.

The indicator may be used at the receiving NG-RAN node to adjust the functions of the Mobility Robustness Optimisation, e.g. by using the indicator to retrieve a previously stored Mobility Robustness Optimisation state. The indicator may also be used at the receiving NG-RAN node to adopt CCO configurations matching with neighbouring cells configurations.

If the list includes indication about planned reconfiguration and possibly a list of replacing cells, the receiving NG-RAN node may use this to avoid connection or re-establishment failures during the reconfiguration. Also, if the sending NG-RAN node adds cells in inactive state, the receiving NG-RAN node may use this information to avoid connection or re-establishment failures. The receiving NG-RAN node may also use the notification to reduce the impact on mobility. The receiving NG-RAN node should avoid triggering handovers towards cell(s) that are indicated to be inactive.

### 15.5.y Support for PCI Optimisation

The PCI Optimization Function in split gNB case is specified in TS 38.401 [4].

#### 15.5.y.1 Centralized PCI Assignment

For centralized PCI assignment in gNB, the OAM assigns a single PCI for each NR cell in the gNB, and the gNB selects this value as the PCI of the NR cell.

#### 15.5.y.2 Distributed PCI Assignment

For distributed PCI assignment in gNB, the OAM assigns a list of PCIs for each NR cell in the gNB, and the gNB selects a PCI value from the list of PCIs. The gNB may restrict this list by removing some PCIs that are reported by UEs, reported over the Xn interface by neighboring gNBs, and/or acquired through other methods, e.g. detected over the air using a downlink receiver.

**-----------------------------------------------------End of the change-----------------------------------------------------**