

# ETSI TS 125 410 V4.1.0 (2001-06)

---

*Technical Specification*

## **Universal Mobile Telecommunications System (UMTS); UTRAN Iu Interface: General Aspects and Principles (3GPP TS 25.410 version 4.1.0 Release 4)**



---

**Reference**

RTS/TSGR-0325410Uv4R1

---

**Keywords**

UMTS

**ETSI**

650 Route des Lucioles  
F-06921 Sophia Antipolis Cedex - FRANCE

---

Tel.: +33 4 92 94 42 00 Fax: +33 4 93 65 47 16

Siret N° 348 623 562 00017 - NAF 742 C  
Association à but non lucratif enregistrée à la  
Sous-Préfecture de Grasse (06) N° 7803/88

---

**Important notice**

Individual copies of the present document can be downloaded from:

<http://www.etsi.org>

The present document may be made available in more than one electronic version or in print. In any case of existing or perceived difference in contents between such versions, the reference version is the Portable Document Format (PDF). In case of dispute, the reference shall be the printing on ETSI printers of the PDF version kept on a specific network drive within ETSI Secretariat.

Users of the present document should be aware that the document may be subject to revision or change of status. Information on the current status of this and other ETSI documents is available at <http://www.etsi.org/tb/status/>

If you find errors in the present document, send your comment to:  
editor@etsi.fr

---

**Copyright Notification**

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

© European Telecommunications Standards Institute 2001.

All rights reserved.

---

## Intellectual Property Rights

IPRs essential or potentially essential to the present document may have been declared to ETSI. The information pertaining to these essential IPRs, if any, is publicly available for **ETSI members and non-members**, and can be found in ETSI SR 000 314: "*Intellectual Property Rights (IPRs); Essential, or potentially Essential, IPRs notified to ETSI in respect of ETSI standards*", which is available from the ETSI Secretariat. Latest updates are available on the ETSI Web server (<http://www.etsi.org/ipr>).

Pursuant to the ETSI IPR Policy, no investigation, including IPR searches, has been carried out by ETSI. No guarantee can be given as to the existence of other IPRs not referenced in ETSI SR 000 314 (or the updates on the ETSI Web server) which are, or may be, or may become, essential to the present document.

---

## Foreword

This Technical Specification (TS) has been produced by the ETSI 3<sup>rd</sup> Generation Partnership Project (3GPP).

The present document may refer to technical specifications or reports using their 3GPP identities, UMTS identities or GSM identities. These should be interpreted as being references to the corresponding ETSI deliverables.

The cross reference between GSM, UMTS, 3GPP and ETSI identities can be found under [www.etsi.org/key](http://www.etsi.org/key).

# Contents

Foreword.....	5
1 Scope .....	6
2 References .....	6
3 Definitions and abbreviations.....	6
3.1 Definitions .....	6
3.2 Abbreviations .....	7
4 General Aspects.....	8
4.1 UTRAN Architecture .....	8
4.1.1 I <sub>u</sub> Interface Architecture .....	8
4.1.2 I <sub>u</sub> connection principles .....	9
4.2 I <sub>u</sub> Interface General Principles.....	9
4.3 I <sub>u</sub> Interface Specification Objectives .....	9
4.4 I <sub>u</sub> Interface Capabilities .....	9
4.5 I <sub>u</sub> Interface Characteristics .....	10
4.5.1 Use of Transport Network User Plane as Signalling Bearer.....	10
4.5.1.1 Use of SCCP .....	10
4.5.1.1.1 General .....	10
4.5.1.1.2 SCCP connection establishment.....	11
4.5.1.1.3 SCCP connection release.....	12
4.5.1.1.4 General SCCP Abnormal Conditions .....	12
4.5.2 Use of Transport Network User Plane as User Data Bearer .....	13
4.5.2.1 Use of AAL2.....	13
4.5.2.2 Use of GTP-U .....	13
4.5.3 Use of Transport Network User Plane on Iu-BC .....	13
5 Functions of the I <sub>u</sub> Interface Protocols & Functional Split .....	13
5.1 General .....	13
5.2 RAB management Functions.....	14
5.2.1 RAB establishment, modification and release function.....	14
5.2.2 RAB characteristics mapping to Uu bearers function.....	15
5.2.3 RAB characteristics mapping to Iu transport bearers .....	15
5.2.4 RAB queuing, pre-emption and priority function .....	15
5.3 Radio Resource Management over Iu.....	15
5.3.1 Radio resource admission control.....	15
5.3.2 Broadcast information management .....	15
5.4 I <sub>u</sub> link Management functions .....	16
5.4.1 I <sub>u</sub> Signalling Link Management function.....	16
5.4.2 ATM Virtual Connection Management function.....	16
5.4.3 AAL2 connection establish and release function.....	16
5.4.4 AAL5 management function.....	16
5.4.5 GTP-U tunnels management function.....	16
5.4.6 TCP Management Function .....	16
5.4.7 Buffer Management .....	16
5.5 I <sub>u</sub> U-plane (RNL) Management Functions .....	17
5.5.1 I <sub>u</sub> U-plane frame protocol mode selection function .....	17
5.5.2 I <sub>u</sub> U-plane frame protocol initialisation .....	17
5.6 Mobility Management Functions .....	17
5.6.1 Location information update function.....	17
5.6.2 Handover and Relocation functions.....	17
5.6.2.1 Inter RNC hard HO function, Iur not used or not available .....	17
5.6.2.2 Serving RNS Relocation function .....	17
5.6.2.3 Inter system Handover (e.g. GSM-UMTS) function.....	17
5.6.3 Paging Triggering .....	17
5.7 Security Functions .....	18
5.7.1 Data Confidentiality.....	18

5.7.1.1	Radio interface ciphering function .....	18
5.7.1.2	Ciphering key management function .....	18
5.7.2	Data integrity .....	18
5.7.2.1	Integrity checking .....	18
5.7.2.2	Integrity key management .....	18
5.8	Service and Network Access Functions .....	18
5.8.1	Core Network signalling data transfer function .....	18
5.8.2	Data Volume Reporting .....	18
5.8.3	UE Tracing .....	18
5.8.4	Location reporting function .....	18
5.9	Co-ordination Functions .....	18
5.9.1	Paging Co-ordination function .....	18
6	I <sub>u</sub> Interface Protocol Structure .....	19
6.1	General .....	19
6.2	I <sub>u</sub> -CS .....	19
6.3	I <sub>u</sub> -BC .....	20
6.4	I <sub>u</sub> -PS .....	21
7	Other I <sub>u</sub> Interface Specifications .....	22
7.1	UTRAN I <sub>u</sub> Interface: Layer 1 (UMTS 25.411) .....	22
7.2	UTRAN I <sub>u</sub> Interface: Signalling Transport (UMTS 25.412) .....	22
7.3	UTRAN I <sub>u</sub> Interface: RANAP Specification (UMTS 25.413) .....	22
7.4	UTRAN I <sub>u</sub> Interface: Data Transport and Transport Signalling (UMTS 25.414) .....	22
7.5	UTRAN I <sub>u</sub> Interface: CN-UTRAN User Plane Protocol (UMTS 25.415) .....	23
7.6	UTRAN I <sub>u</sub> Interface: Service Area Broadcast Protocol SABP (UMTS 25.419) .....	23
7.7	Summary .....	23
<b>Annex A (informative): Change history .....</b>		<b>24</b>

---

## Foreword

This Technical Specification (TS) has been produced by the 3<sup>rd</sup> Generation Partnership Project (3GPP).

The contents of the present document are subject to continuing work within the TSG and may change following formal TSG approval. Should the TSG modify the contents of the present document, it will be re-released by the TSG with an identifying change of release date and an increase in version number as follows:

Version x.y.z

where:

- x the first digit:
  - 1 presented to TSG for information;
  - 2 presented to TSG for approval;
  - 3 or greater indicates TSG approved document under change control.
- y the second digit is incremented for all changes of substance, i.e. technical enhancements, corrections, updates, etc.
- z the third digit is incremented when editorial only changes have been incorporated in the document.

---

# 1 Scope

The present document is an introduction to the UMTS 25.41x series of Technical Specifications that define the Iu interface for the interconnection of Radio Network Controller (RNC) component of the UMTS Terrestrial Radio Access Network (UTRAN) to the Core Network of the UMTS system.

---

# 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 TS 25.401: "UTRAN Overall Description".
- [2] 3GPP TS 23.930: "Iu Principles".
- [3] 3GPP TS 23.110: "UMTS Access Stratum; Services and Functions".
- [4] 3GPP TS 25.411: "UTRAN Iu Interface: Layer 1".
- [5] 3GPP TS 25.412: "UTRAN Iu Interface: Signalling Transport".
- [6] 3GPP TS 25.413: "UTRAN Iu Interface: RANAP Signalling".
- [7] 3GPP TS 25.414: "UTRAN Iu Interface: Data Transport & Transport Signalling".
- [8] 3GPP TS 25.415: "UTRAN Iu Interface: CN-RAN User Plane Protocol".
- [9] ITU-T Recommendation Q.711 (7/96): "Functional description of the signalling connection control part".
- [10] ITU-T Recommendation Q.712 (7/96): "Definition and function of signalling connection control part messages".
- [11] ITU-T Recommendation Q.713 (7/96): "Signalling connection control part formats and codes".
- [12] ITU-T Recommendation Q.714 (7/96): "Signalling connection control part procedures".
- [13] 3GPP TS 23.003: "Numbering, Addressing and Identification".
- [14] 3GPP TS 25.419: "UTRAN Iu Interface: Service Area Broadcast Protocol SABP".
- [15] 3GPP TS 23.153: "Out of Band Transcoder Control – Stage 2".

---

# 3 Definitions and abbreviations

## 3.1 Definitions

For the purposes of the present document, the terms and definitions given in [1] apply.

## 3.2 Abbreviations

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

3G-MSC	3 <sup>rd</sup> Generation Mobile Switching Centre
3G-SGSN	3 <sup>rd</sup> Generation Serving GPRS Support Node
AAL	ATM Adaptation Layer
ATM	Asynchronous Transfer Mode
BC	Broadcast
BSSMAP	Base Station Subsystem Management Application Part
CBS	Cell Broadcast Service
CC	Connection Confirm
CN	Core Network
CR	Connection Release
CREF	Connection Refusal
CS	Circuit Switched
GT	Global Title
GTP-U	GPRS Tunnelling Protocol
IMSI	International Mobile Subscriber Identity
IP	Internet Protocol
ISDN	Integrated Services Digital Network
LA	Location Area
NAS	Non Access Stratum
O&M	Operation and Maintenance
PS	Packet Switched
PSTN	Public Switched Telephone Network
PVC	Permanent Virtual Circuit
QoS	Quality of Service
RA	Routing Area
RAB	Radio Access Bearer
RANAP	Radio Access Network Application Part
RLP	Radio Link Protocol
RNC	Radio Network Controller
RNL	Radio Network Layer
RRC	Radio Resource Control
SA	Service Area
SABP	Service Area Broadcast Protocol
SAP	Service Access Point
SCCP	Signalling Connection Control Part
SPC	Signalling Point Code
SRNS	Serving Radio Network Subsystem
SSN	Sub-System Number
SVC	Switched Virtual Circuit
TCP	Transmission Control Protocol
UE	User Equipment
UDP	User Datagram Protocol
UP	User Plane
URA	UTRAN Registration Area
UTRAN	UMTS Terrestrial Radio Access Network
VC	Virtual Circuit



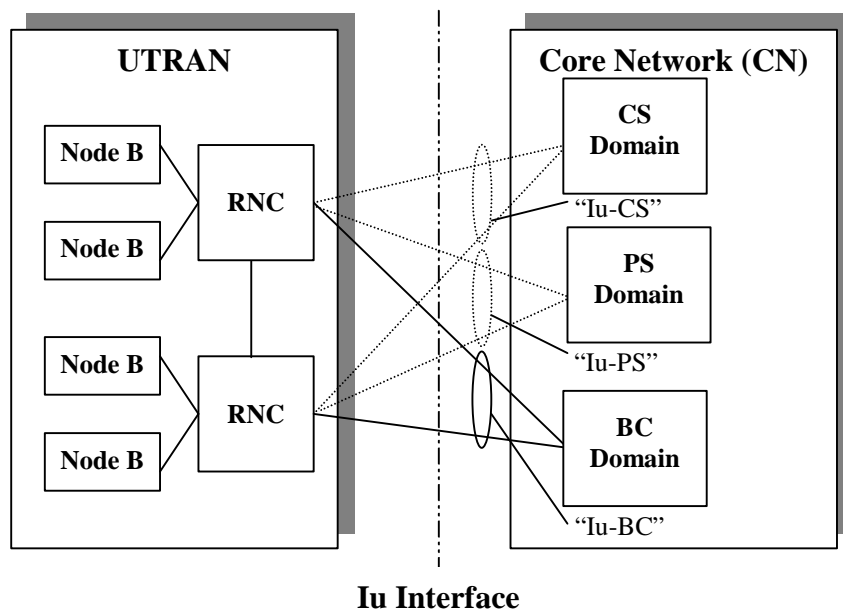
## 4 General Aspects

### 4.1 UTRAN Architecture

#### 4.1.1 Iu Interface Architecture

The overall UMTS architecture and UTRAN architectures are described in [1]. This subclause specifies only the architecture of the Iu interface, and shall not constrain the network architecture of either Core or Radio Access Networks.

The I<sub>u</sub> interface is specified at the boundary between the Core Network and UTRAN. Figure 4.1 depicts the logical division of the I<sub>u</sub> interface. From the I<sub>u</sub> perspective, the UTRAN access point is an RNC.



**Figure 4.1: I<sub>u</sub> Interface Architecture**

The Iu interface towards the PS-domain of the core network is called Iu-PS, and the Iu interface towards the CS-domain is called Iu-CS. The differences between Iu-CS and Iu-PS are treated elsewhere in this specification. The Iu interface to the Broadcast domain is called Iu-BC.

There shall not be more than one Iu interface (Iu-CS) towards the CS domain and one Iu interface (Iu-PS) towards the PS-domain from any one RNC. There may be multiple Iu interfaces (Iu-BC) from an RNC towards the Broadcast domain.

In the separated core network architecture, this means that there shall be separate signalling and user data connections towards the PS and CS domains – this applies in both transport and radio network layers.

In the combined architecture, there shall be separate connections in the user plane towards the PS and CS domains (in both transport and radio network layers). In the control plane, there shall be separate SCCP connections to the two logical domains.

In either architecture, there can be several RNCs within UTRAN and so UTRAN may have several I<sub>u</sub> access points towards the Core Network. As a minimum, each I<sub>u</sub> access point (in UTRAN or CN) shall independently fulfil the requirements of the relevant Iu specifications (25.41x series – see clause 7).

## 4.1.2 I<sub>u</sub> connection principles

The I<sub>u</sub> interface has a hierarchical architecture where one higher layer entity controls several lower layer entities. The hierarchy for the CN - UTRAN signalling connection end points is described below:

- Each CN Access Point may be connected to one or more UTRAN Access Points.
- For the PS and CS domains, each UTRAN Access Point shall not be connected to more than one CN Access Point per CN domain.
- For the BC domain, each UTRAN Access Point may be connected to one or more CN Access Points.

## 4.2 I<sub>u</sub> Interface General Principles

From a UTRAN perspective, maximising the commonality of the various protocols that flow on the I<sub>u</sub> interface is desirable. This means at the minimum that:

- A common set of radio access bearer services will be offered by UTRAN to the Core Network nodes, regardless of their type (e.g. 3G-MSC or 3G-SGSN).

There will be a common functional split between UTRAN and the Core Network nodes, regardless of their type (e.g. 3G-MSC or 3G-SGSN).

Signalling in the radio network control plane shall not depend on the specific choice of transport layers.

## 4.3 I<sub>u</sub> Interface Specification Objectives

The following objectives are partly derived from [2].

The I<sub>u</sub> interface shall be specified such that it can support:

- the interconnection of RNCs with Core Network Access Points within a single PLMN.
- the interconnection of RNCs with Core Network Access Points irrespective of the manufacturer of any of the elements.
- all UMTS services.

The I<sub>u</sub> interface shall facilitate the use of the same RNC, MSC or SGSN in all PLMNs.

The I<sub>u</sub> interface shall facilitate the sharing of transport technology between I<sub>u</sub>-PS and I<sub>u</sub>-BC.

The I<sub>u</sub> interface shall allow interworking to the GSM Core Network.

Independence between the protocol layers and between control and user planes shall be maintained on the I<sub>u</sub> interface.

The I<sub>u</sub> interface shall allow independent evolution of technologies within the Core, Radio Access and Transport Networks.

The I<sub>u</sub> interface shall allow separate evolution of O&M facilities.

The I<sub>u</sub> interface shall be standardised as an open and multi-vendor interface.

The I<sub>u</sub> interface specifications shall facilitate the migration of some services from the CS-domain to the PS-domain. In particular, the RANAP protocol shall be common to both PS and CS domains, and the I<sub>u</sub> user plane protocol(s) shall be independent of the core network domain (PS or CS), except where a specific feature is only required for one domain.

## 4.4 I<sub>u</sub> Interface Capabilities

The following capabilities are derived from the requirements described in [2].

The I<sub>u</sub> interface supports:

- procedures to establish, maintain and release Radio Access Bearers;
- procedures to perform intra-system handover, inter-system handover and SRNS relocation;
- procedures to support the Cell Broadcast service;
- a set of general procedures, not related to a specific UE;
- the separation of each UE on the protocol level for user specific signalling management;
- the transfer of NAS signalling messages between UE and CN;
- location services by transferring requests from the CN to UTRAN, and location information from UTRAN to CN. The location information may comprise a geographical area identifier or global co-ordinates with uncertainty parameters;
- simultaneous access to multiple CN domains for a single UE;
- mechanisms for resource reservation for packet data streams.

## 4.5 I<sub>u</sub> Interface Characteristics

### 4.5.1 Use of Transport Network User Plane as Signalling Bearer

#### 4.5.1.1 Use of SCCP

##### 4.5.1.1.1 General

The SCCP is used to support signalling messages between the CNs and the RNC. One user function of the SCCP, called Radio Access Network Application Part (RANAP), is defined. The RANAP uses one signalling connection per active UE and CN for the transfer of layer 3 messages.

Both connectionless and connection-oriented procedures are used to support the RANAP. TS 25.413 explains whether connection oriented or connectionless services should be used for each layer 3 procedure.

RANAP may use SSN, SPC and/or GT and any combination of them as addressing schemes for the SCCP. Which of the available addressing scheme to use for the SCCP is an operator matter.

When GT addressing is utilised, the following settings shall be used:

- SSN Indicator = 1 (RANAP SSN as defined in [13] shall always be included).
- Global Title Indicator = 0100 (GT includes translation type, numbering plan, encoding scheme and nature of address indicator).
- Translation Type = 0000 0000 (not used).
- Numbering Plan = 0001 (E.163/4).
- Nature of Address Indicator = 000 0100 (International Significant Number).
- Encoding Scheme = 0001 or 0010 (BCD, odd or even).
- Routing indicator = 0 or 1 (route on GT or PC/SSN).

When used, the GT shall be the E.164 address of the relevant node.

The following subclauses describe the use of SCCP connections for RANAP transactions. Subclause 4.5.1.2 describes the connection establishment procedures. Subclause 4.5.1.3 describes the connection release procedures. Subclause 4.5.1.4 describes abnormal conditions.

#### 4.5.1.1.2 SCCP connection establishment

A new SCCP connection is established when information related to the communication between a UE and the network has to be exchanged between RNC and CN, and no SCCP connection exists between the CN and the RNC involved, for the concerned UE.

Various SCCP connection establishment cases have to be distinguished:

- i) RNC Initiated SCCP Signalling Connection;
- ii) CN Initiated SCCP Signalling Connection.

The above cases are the only cases currently identified for SCCP connection establishment. Others may emerge in the future.

##### 4.5.1.1.2.1 Establishment procedure in case i

The SCCP signalling connection establishment is initiated, by the RNC, at the reception of the first layer 3 non access stratum message from the UE.

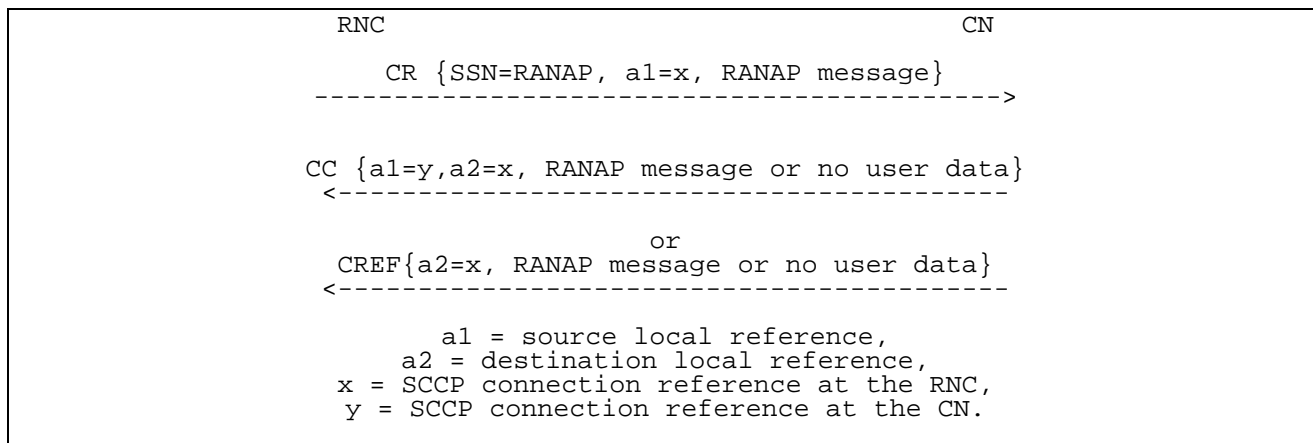
#### Initiation

The RNC sends SCCP connection request message to the Core Network. A RANAP message is included in the user data field of the SCCP connection request message.

#### Termination

- **successful outcome**
  - The SCCP connection confirm message, which may optionally contain a connection oriented RANAP message in the user data field, is returned to the RNC.
- **unsuccessful outcome**
  - If the SCCP signalling connection establishment fails, an SCCP connection refusal message will be sent back to the RNC. This message may contain a RANAP message in the user data field.

For more information on how the RANAP procedure Initial UE message is handled, please see the elementary procedure Initial UE message in TS 25.413 [6].



**Figure 4.2: Setting-up of RNC Initiated SCCP Signalling Connection**

##### 4.5.1.1.2.2 Establishment procedure in case ii

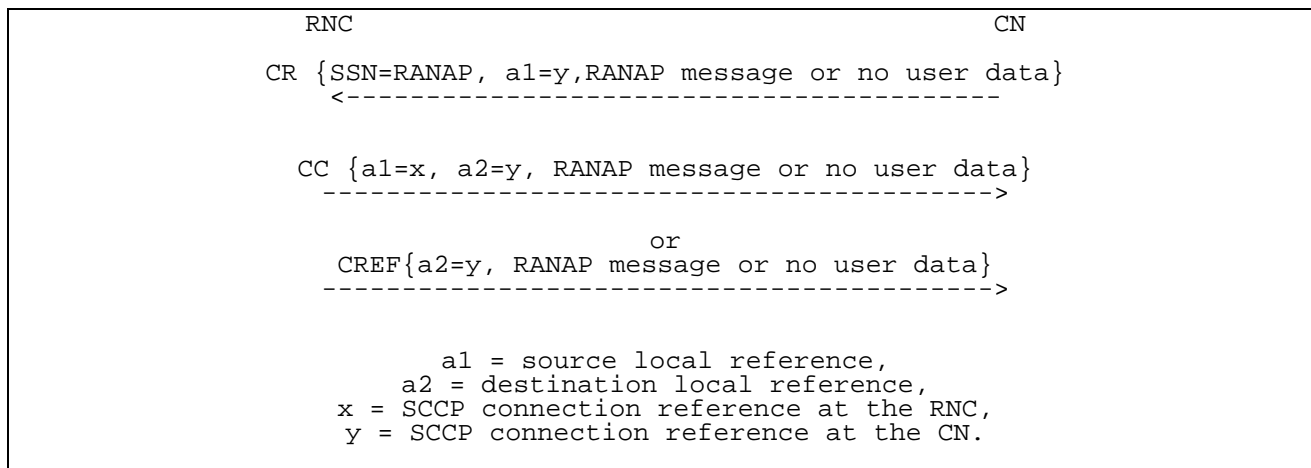
The SCCP signalling connection establishment is initiated, by the Core Network, in connection with performing a Relocation.

#### Initiation

The Core Network initiates the connection establishment by sending an SCCP connection request message to the RNC. Optionally, a RANAP message may be included in the user data field of the SCCP connection request message.

### Termination

- **successful outcome**
  - The SCCP connection confirm message, which may optionally contain a connection oriented RANAP message in the user data field, is returned to the Core Network.
- **unsuccessful outcome**
  - If the SCCP signalling connection establishment fails, an SCCP connection refusal message will be sent back to the Core Network. This message may contain a RANAP message in the user data field.



**Figure 4.3: Setting-up of CN Initiated SCCP Signalling Connection**

#### 4.5.1.1.3 SCCP connection release

This procedure is always initiated at the Core Network side.

An SCCP connection is released when the CN realises that a given signalling connection is no longer required.

The CN sends a SCCP Released message.

#### 4.5.1.1.4 General SCCP Abnormal Conditions

If a user-out-of-service information or signalling-point-inaccessible information is received by the RANAP, no new attempt to establish SCCP connections towards the affected point code will be started until the corresponding user-in-service information or signalling-point-accessible information is received.

When a user-out-of-service information or signalling-point-inaccessible is received by the RNC, an optional timer may be started. When the timer expires, all the SCCP connections towards the affected point code will be released. When the user-in-service or signalling-point-accessible is received, the timer is stopped.

If for any reason an SCCP connection is released, the optional timer expires or a connection refusal is received while any of the RANAP procedures are being performed or while a dedicated resource is still allocated, the following actions are taken:

#### At RNC:

- Any RNC procedure relating to that connection is abandoned.
- The UTRAN resources allocated to the connection are released.

#### At Core Network:

- The resources associated with the SCCP connection are cleared as soon as possible.

## 4.5.2 Use of Transport Network User Plane as User Data Bearer

### 4.5.2.1 Use of AAL2

AAL2 is used as the user data bearer towards the CS domain.

Q.2630.2 is used as the protocol for dynamically setup AAL-2 connections over Iu towards the CS domain. Q.2630.2 adds new optional capabilities to Q.2630.1.

### 4.5.2.2 Use of GTP-U

GTP-U is used as the user data bearer towards the PS domain.

RANAP Signalling is used to establish, modify and release the GTP-U tunnels towards the PS domain.

## 4.5.3 Use of Transport Network User Plane on Iu-BC

TCP/IP is used as the bearer for the radio network layer protocol over I<sub>u</sub>-BC.

The TCP connection is normally established by the CN using standard TCP procedures.

A new TCP connection is established by the RNC only when there is information (e.g. failure or restart indications) that needs to be sent from RNC to the CN, and there is no existing TCP connection. The RNC shall establish the connection using standard TCP procedures.

The node that established the connection shall release the TCP connection.

---

# 5 Functions of the I<sub>u</sub> Interface Protocols & Functional Split

## 5.1 General

This subclause defines the functional split between the core network and the UMTS radio access network. In addition, the possible interaction between the functions is defined. The functional split is shown in table 5.1.

Table 5.1: Iu interface functional split

Function	UTRAN	CN
<b>RAB management functions:</b>		
RAB establishment, modification and release	X	X
RAB characteristics mapping I <sub>u</sub> transmission bearers	X	
RAB characteristics mapping Uu bearers	X	
RAB queuing, pre-emption and priority	X	X
<b>Radio Resource Management functions:</b>		
Radio Resource admission control	X	
Broadcast Information	X	X
<b>I<sub>u</sub> link Management functions:</b>		
I <sub>u</sub> signalling link management	X	X
ATM VC management	X	X
AAL2 establish and release	X	X
AAL5 management	X	X
GTP-U Tunnels management	X	X
TCP Management	X	X
Buffer Management	X	
<b>I<sub>u</sub> U-plane (RNL) Management:</b>		
I <sub>u</sub> U-plane frame protocol management		X
I <sub>u</sub> U-plane frame protocol initialization	X	
<b>Mobility management functions:</b>		
Location information reporting	X	X
Handover and Relocation		
Inter RNC hard HO, Iur not used or not available	X	X
Serving RNS Relocation (intra/inter MSC)	X	X
Inter system hard HO (UMTS-GSM)	X	X
Paging Triggering		X
<b>Security Functions:</b>		
Data confidentiality		
Radio interface ciphering	X	
Ciphering key management		X
User identity confidentiality	X	X
Data integrity		
Integrity checking	X	
Integrity key management		X
<b>Service and Network Access functions:</b>		
CN Signalling data	X	X
Data Volume Reporting	X	
UE Tracing	X	X
Location reporting	X	X
<b>I<sub>u</sub> Co-ordination functions:</b>		
Paging co-ordination	X	X

## 5.2 RAB management Functions

### 5.2.1 RAB establishment, modification and release function

The RAB, Radio Access Bearer, is defined to be set-up between UE and CN. Depending on subscription, service, requested QoS etc. different types of RABs will be used. It is the CN that controls towards the UTRAN the establishment, modification or release of a RAB.

The RAB identity is allocated by CN by mapping the value for the NAS Binding information (from the actual protocol IE for the respective CN domain) to the RAB ID as specified in [3]. The RAB identity is globally significant on both the radio bearer and on the Iu bearer for a given UE in a particular CN domain.

RAB establishment, modification and release is a CN initiated function.

RAB establishment, modification and release is a UTRAN executed function.

RAB release request is a UTRAN initiated function, triggered when UTRAN e.g. fails to keep the RAB established with the UE.

### 5.2.2 RAB characteristics mapping to Uu bearers function

The RAB characteristics mapping function is used to map the radio access bearers to the Uu bearers. The mapping is performed during the establishment of the RAB. UTRAN shall perform the mapping between the bearers.

RAB mapping to Uu transmission bearers is a UTRAN function.

### 5.2.3 RAB characteristics mapping to Iu transport bearers

The RAB characteristics mapping function is used to map the radio access bearers to the Iu interface transport bearers. The mapping is performed during the establishment of the RAB.

UTRAN shall perform this mapping between the bearers if AAL2 is used, since it is the UTRAN that establishes the AAL2 connections.

In case of RAB towards the PS domain, UTRAN shall perform the mapping between the radio access bearers and the IP layer.

RAB characteristics mapping to Iu transport bearers is a UTRAN function.

### 5.2.4 RAB queuing, pre-emption and priority function

The allocation/retention priority level of a RAB is determined by the CN based on e.g. subscription information, QoS information etc. Accordingly, the CN shall request RAB establishment or modification with an indication of the priority level and the pre-emption capability of that RAB and the queuing vulnerability. Queuing and resource pre-emption shall be performed by UTRAN accordingly.

RAB queuing, pre-emption and allocation/retention priority handling is a UTRAN controlled function.

RAB queuing, pre-emption and allocation/retention priority setting is a CN function.

## 5.3 Radio Resource Management over Iu

### 5.3.1 Radio resource admission control

When UTRAN receives a request to establish or modify a radio access bearer from the CN, the current radio resource situation is analysed and the admission control either accepts or rejects the request. This is called "Radio resource admission control" and is handled by the UTRAN. If the request is queued, it is handled by the RAB queuing, pre-emption and priority function.

### 5.3.2 Broadcast information management

This function consists in the broadcast from network toward UE of some information in the coverage area of the whole network or different parts of the network.

There are two kinds of Broadcast information management. UTRAN broadcast information, and Cell Broadcast information management. All UTRAN broadcast information management shall be handled locally within UTRAN. All Cell Broadcast information is controlled by CN and executed by UTRAN.



## 5.4 I<sub>u</sub> link Management functions

### 5.4.1 I<sub>u</sub> Signalling Link Management function

The I<sub>u</sub> signalling link management function provides a reliable transfer of the radio network signalling between UTRAN and CN. Both CN and UTRAN manage the function.

This function is in particular responsible for I<sub>u</sub> signalling connection establishment, which can be established either by the CN or the RNC and for I<sub>u</sub> signalling connection release, which is controlled by CN possibly upon UTRAN request.

### 5.4.2 ATM Virtual Connection Management function

This function refers to handling of ATM Virtual Connections (VCs) between CN and UTRAN.

This function shall be used to establish, maintain and release the ATM VCs. For permanent VCs, it is regarded to be an O&M function.

This function also includes the selection of a Virtual Circuit to be used for a particular RAB. The selection of ATM VC upon an I<sub>u</sub> radio access bearer service request, shall be done by UTRAN. The selected VC shall fulfil the requirements of the request. The VC may consist of several sublinks: such as SCCP connections, AAL2 connections or IP flows.

### 5.4.3 AAL2 connection establish and release function

This function is used to establish and release the AAL type 2 connections between CN and UTRAN upon an I<sub>u</sub> radio access bearer service request. Both UTRAN and CN are taking part in the establishment of AAL2 connection. UTRAN shall initiate both establishment and release of AAL2 connections. The use of AAL2 for I<sub>u</sub> transmission bearers depends on type of CN.

### 5.4.4 AAL5 management function

AAL5 connections between CN and UTRAN shall be pre-configured at system initialisation. Basic configuration is PVCs. For user data, SVC is possible.

The AAL5 management is a function handled by both the CN and the UTRAN.

### 5.4.5 GTP-U tunnels management function

This function is used to establish and release GTP-U tunnels between CN and UTRAN upon a radio access bearer service request. This involves assigning a tunnel identifier for each direction and the creation of a context containing the tunnel information. The tunnel identifier for the downlink is allocated by the UTRAN, and the tunnel identifier for the uplink is allocated by the CN. Both CN and UTRAN should maintain the context. The use of GTP-U for I<sub>u</sub> transport bearers depends on type of CN.

### 5.4.6 TCP Management Function

This function is used to establish and release the TCP connections between CN and UTRAN over I<sub>u</sub>-BC.

The TCP management function exists in both UTRAN and CN.

### 5.4.7 Buffer Management

Congestion control shall be performed over the I<sub>u</sub> user plane using buffer management and no flow control.

This function includes buffers to store received packet data units that at reception can not be processed due to e.g. congestion. In UTRAN, there must be a buffer management function handling received packets from the peer CN node.

The used mechanism is not in the scope of this document and not relevant to be standardised.

Buffer management is a UTRAN function.

## 5.5 I<sub>u</sub> U-plane (RNL) Management Functions

### 5.5.1 I<sub>u</sub> U-plane frame protocol mode selection function

The I<sub>u</sub> UP in the Radio Network Layer provides modes of operation that can be activated on RAB basis. For a given RAB, the I<sub>u</sub> UP operates either in a Transparent or in Support mode. I<sub>u</sub> U-plane frame protocol mode is selected by the CN.

This function is a CN function.

### 5.5.2 I<sub>u</sub> U-plane frame protocol initialisation

I<sub>u</sub> U-plane frame protocol is initialised by the UTRAN. In certain cases, as described in [15], the I<sub>u</sub> U-plane frame protocol may be initialised by the CN.

## 5.6 Mobility Management Functions

### 5.6.1 Location information update function

Some functionality within the CN, needs information about the present location of an active UE, i.e. a UE with established signalling connection. The Location information update function is used to transfer this information from the UTRAN to the CN. It is the UTRAN responsibility to send this information initially at the signalling connection establishment for a UE and at any change of the UE location as long as the signalling connection exists. For this function, the location information shall be at Location and Routing Area level.

### 5.6.2 Handover and Relocation functions

#### 5.6.2.1 Inter RNC hard HO function, Iur not used or not available

This functionality includes procedures for handover from one RNC to other RNC when Iur interface is not used or is not available, i.e. soft handover is not possible. The connection is switched in the CN, so both UTRAN and CN are involved. Both intra and inter CN entity cases are applicable.

#### 5.6.2.2 Serving RNS Relocation function

This functionality allows moving the Serving RNS functionality from one RNC to an other RNC, e.g. closer to where the UE has moved during the communication. The Serving RNS Relocation procedure may be applied when active cell management functionality has created a suitable situation for it. Both UTRAN and CN are involved.

#### 5.6.2.3 Inter system Handover (e.g. GSM-UMTS) function

Inter system handover is performed when a mobile hands over between cells belonging to different systems such as GSM and UMTS. This may imply also a change of radio access type. For intersystem handover between UMTS and GSM, the GSM procedures are used within the GSM network. Both UTRAN and CN are involved.

NOTE: The GSM BSSMAP procedures are outside the scope of this specification.

### 5.6.3 Paging Triggering

The Core Network shall, when considered necessary, trigger the Location/Routing/RNC Area paging in the UTRAN system.

## 5.7 Security Functions

### 5.7.1 Data Confidentiality

#### 5.7.1.1 Radio interface ciphering function

The radio interface shall be ciphered upon request of the Core Network. Both Signalling and user data may be subject to ciphering. The ciphering shall be done within UTRAN.

#### 5.7.1.2 Ciphering key management function

The ciphering key and the permitted algorithm shall be supplied by the CN. UTRAN selects the used algorithm.

### 5.7.2 Data integrity

#### 5.7.2.1 Integrity checking

The purpose of the integrity check is to make sure that the signalling continues between the same elements as by authentication. The integrity check shall be done within the UTRAN.

#### 5.7.2.2 Integrity key management

The integrity key and the permitted algorithm shall be supplied by the CN. UTRAN selects the used algorithm.

## 5.8 Service and Network Access Functions

### 5.8.1 Core Network signalling data transfer function

The NAS CN signalling data such as Call Control (CC), Session Management (SM), Mobility Management (MM), Short Message Services Point to Point and Supplementary Services (SS) shall be transparently conveyed between the CN and the UE. Over the Iu interface, the same Iu interface channel that is used for the UTRAN-CN signalling shall be used.

### 5.8.2 Data Volume Reporting

The data volume reporting function is used to report the volume of unacknowledged data to the CN. The function shall be in the UTRAN and is triggered from the CN.

### 5.8.3 UE Tracing

This feature allows tracing of various events related to the UE and its activities. This is an O&M functionality.

### 5.8.4 Location reporting function

The positioning function performs the determination of the geographical position for an UE. The location reporting function transfers the positioning information between the UTRAN and the CN according to CN commands. This function involves UTRAN and CN.

## 5.9 Co-ordination Functions

### 5.9.1 Paging Co-ordination function

The two CN domain architecture implies need for a page co-ordination, i.e. handling of page triggered by one CN node when UE has a signalling connection to the other CN node. The paging co-ordination is performed by UTRAN and/or

optionally by CN. The Common ID is used for UTRAN paging co-ordination. The CN provides the UTRAN with the Common ID.

The paging co-ordination is a UTRAN function. Optionally the paging co-ordination may be performed in the CN.

---

## 6 I<sub>u</sub> Interface Protocol Structure

### 6.1 General

The Radio Network signalling over I<sub>u</sub> consists of the Radio Access Network Application Part (RANAP). The RANAP protocol consists of mechanisms to handle all procedures between the CN and UTRAN. It is also capable of conveying messages transparently between the CN and the UE without interpretation or processing by the UTRAN.

Over the I<sub>u</sub> interface the RANAP protocol is, e.g. used for:

- Facilitate a set of general UTRAN procedures from the Core Network such as paging -notification as defined by the notification SAP in [3].
- Separate each User Equipment (UE) on the protocol level for mobile specific signalling management as defined by the dedicated SAP in [3].
- Transfer of transparent non-access signalling as defined in the dedicated SAP in [3].
- Request of various types of UTRAN Radio Access Bearers through the dedicated SAP in [3].
- Perform the SRNS Relocation function.

The Radio Access Bearers are provided by the Access Stratum.

Over I<sub>u</sub>-BC, a datagram mechanism is used, so there is no clear separation of control and user planes, and the SABP protocol is used for data transfer and signalling.

### 6.2 I<sub>u</sub>-CS

Figure 6.1 shows the protocol structure for I<sub>u</sub>-CS, following the structure described in [1].

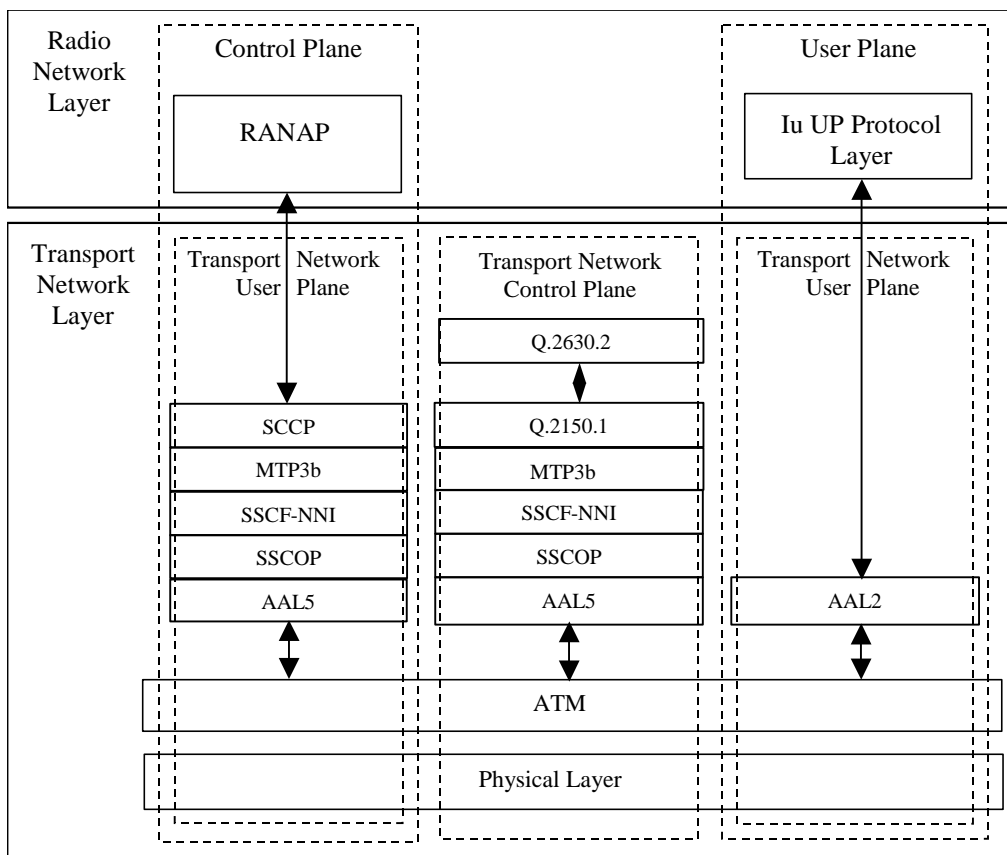


Figure 6.1: I<sub>u</sub> –Interface Protocol Structure towards CS Domain

### 6.3 I<sub>u</sub>-BC

Figure 6.2 shows the protocol structure for the I<sub>u</sub>-BC.

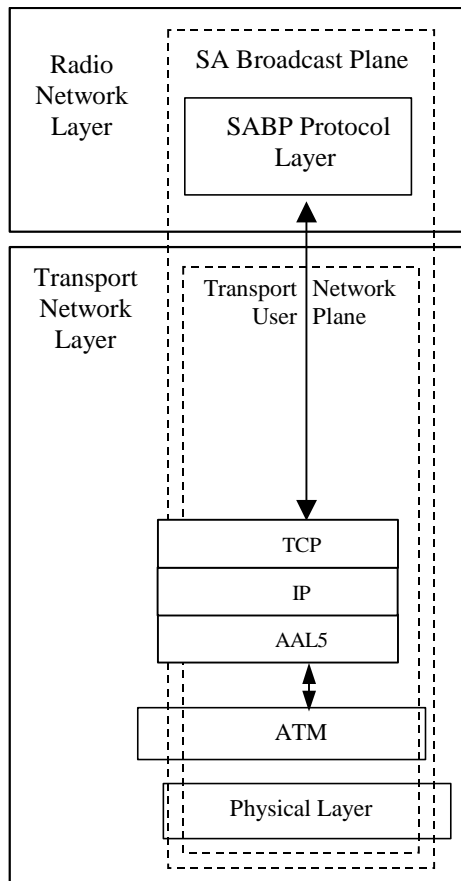


Figure 6.2: I<sub>u</sub> Interface Protocol Structure towards Broadcast Domain

## 6.4 I<sub>u</sub>-PS

Figure 6.3 shows the protocol structure for I<sub>u</sub>-PS, following the structure described in [1].

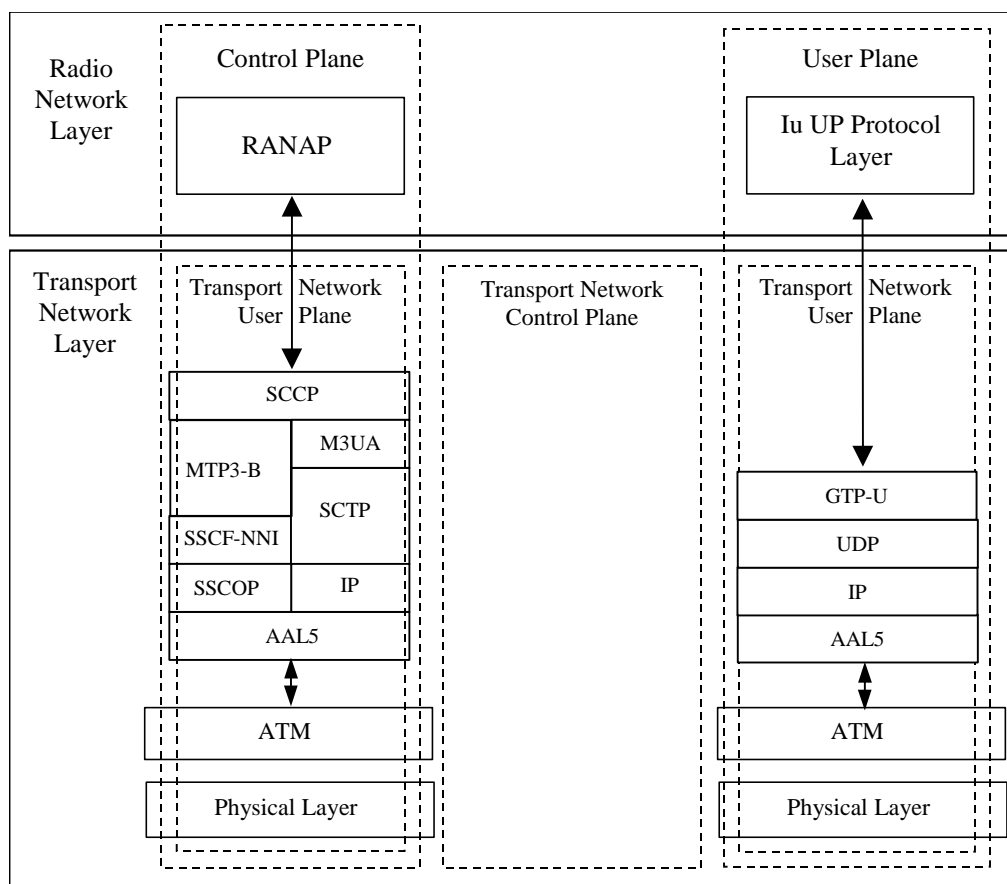


Figure 6.3: I<sub>u</sub> Interface Protocol Structure towards PS Domain

## 7 Other I<sub>u</sub> Interface Specifications

### 7.1 UTRAN I<sub>u</sub> Interface: Layer 1 (UMTS 25.411)

UMTS 25.411 [4] specifies the range of physical layer technologies that may be used to support the Iu interface.

### 7.2 UTRAN I<sub>u</sub> Interface: Signalling Transport (UMTS 25.412)

UMTS 25.412 [5] specifies the signalling bearers for the RANAP and transport network control plane protocols for both Iu-PS and Iu-CS.

### 7.3 UTRAN I<sub>u</sub> Interface: RANAP Specification (UMTS 25.413)

UMTS 25.413 [6] specifies the RANAP protocol for radio network control plane signalling over the Iu interface.

### 7.4 UTRAN I<sub>u</sub> Interface: Data Transport and Transport Signalling (UMTS 25.414)

UMTS 25.414 [7] specifies the transport bearers for the user plane of the Iu interface. It also specifies the protocol used to control these transport bearers.

## 7.5 UTRAN I<sub>u</sub> Interface: CN-UTRAN User Plane Protocol (UMTS 25.415)

UMTS 25.415 [8] specifies the user plane frame handling protocol for the I<sub>u</sub> interface.

## 7.6 UTRAN I<sub>u</sub> Interface: Service Area Broadcast Protocol SABP (UMTS 25.419)

UMTS 25.419 [14] specifies the communication requirements over the I<sub>u</sub> interface towards the BC domain.

## 7.7 Summary

The present document, UMTS 25.410, specifies the general aspects and principles of the I<sub>u</sub> interface as a whole.

The relationship between the other technical specifications that define the UTRAN I<sub>u</sub> interface is shown in figure 7.1.

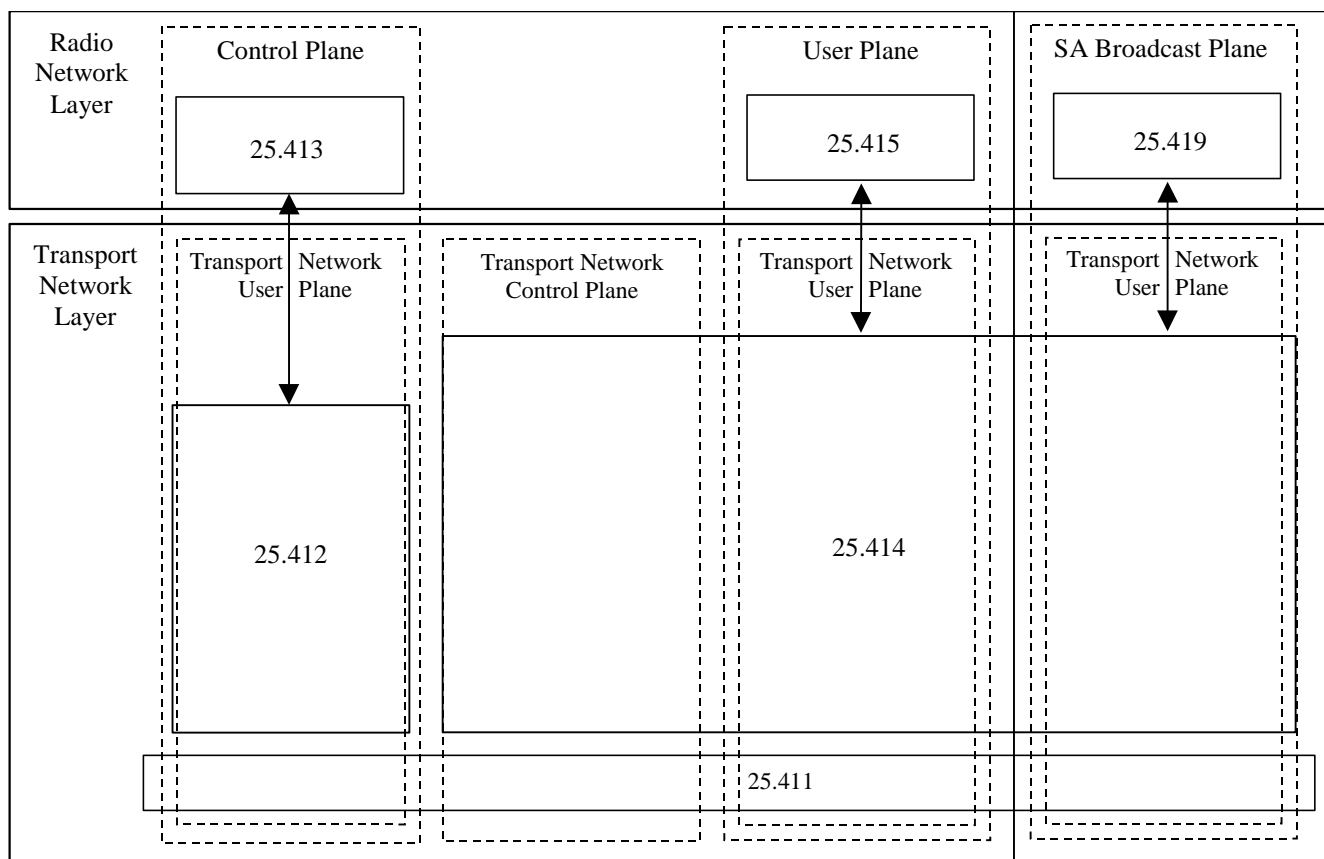


Figure 7.1: Summary of Iu Interface Specification Structure



## Annex A (informative): Change history

Change history					
TSG RAN#	Version	CR	Tdoc RAN	New Version	Subject/Comment
RAN_05	-	-	-	3.0.0	Approved at TSG RAN #5 and placed under Change Control
RAN_06	3.0.0	-	-	3.1.0	Approved at TSG RAN #6 and placed under Change Control
RAN_07	3.1.0	-	-	3.2.0	Approved at TSG RAN #7
RAN_10	3.2.0	005 007 008	RP-000609	3.3.0	Approved at TSG RAN #10

Change history							
Date	TSG #	TSG Doc.	CR	Rev	Subject/Comment	Old	New
March 01	11	RP-010163	15		Approved at TSG RAN #11 and placed under Change Control	-	4.0.0
06/2001	12	RP-010372	018		Approved at TSG RAN #12	4.0.0	4.1.0
06/2001	12	RP-010391	022		Approved at TSG RAN #12	4.0.0	4.1.0

---

# History

<b>Document history</b>		
V4.0.0	March 2001	Publication
V4.1.0	June 2001	Publication