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Foreword

This Technical Specification (TS) has been produced by O-RAN Alliance and approved by ETSI Technical Committee Mobiles Standards Group (MSG).

The content of the present document is subject to continuing work within O-RAN and may change following formal O-RAN approval. Should the O-RAN ALLIANCE modify the contents of the present document, it will be re-released)-2024-01 by O-RAN with an identifying change of version date and an increase in version number as follows:

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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 <u>ETSI Drafting Rules</u> (Verbal forms for the expression of provisions).

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1 Scope

The present document:

[15] [16]

• specifies: the overall architecture of O-RAN.

• describes: the O-RAN architecture elements and relevant interfaces that connect them.

2 References

2.1 Normative references

References are either specific (identified by date of publication and/or edition number or version number) or non-specific. For specific references, only the cited version applies. For non-specific references, the latest version of the referenced document (including any amendments) applies.

Referenced documents which are not found to be publicly available in the expected location might be found at https://docbox.etsi.org/Reference.

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The following referenced documents are necessary for the application of the present document.

111	The following referenced documents are necessary for the application of the present document.		
	[1]	ETSI TS 123 501: "5G; System architecture for the 5G System (5GS) (3GPP TS 23.501)".	
	[2]	ETSI TS 128 622: "Universal Mobile Telecommunications System (UMTS); LTE; 5G; Telecommunication management; Generic Network Resource Model (NRM) Integration Reference Point (IRP); Information Service (IS) (3GPP TS 28.622)".	
	[3]	ETSI TS 132 101: "Digital cellular telecommunications system (Phase 2+) (GSM); Universal Mobile Telecommunications System (UMTS); LTE; Telecommunication management; Principles and high level requirements (3GPP TS 32.101)".	
	d[4]ds.iteh.ai/cata	ETSI TS 136 401: "LTE; Evolved Universal Terrestrial Radio Access Network (E-UTRAN); (100 Architecture description (3GPP TS 36.401)".	
	[5]	ETSI TS 136 420: "LTE; Evolved Universal Terrestrial Radio Access Network (E-UTRAN); X2 general aspects and principles (3GPP TS 36.420)".	
	[6]	ETSI TS 136 423: "LTE; Evolved Universal Terrestrial Radio Access Network (E-UTRAN); X2 Application Protocol (X2AP) (3GPP TS 36.423)".	
	[7]	ETSLTS 138 300: "5G; NR; NR and NG-RAN Overall description; Stage-2 (3GPP TS 38.300)".	
	[8]	ETSI TS 138 331: "5G; NR; Radio Resource Control (RRC); Protocol specification (3GPP TS 38.331)".	
	[9]	ETSI TS 138 401: "5G; NG-RAN; Architecture description (3GPP TS 38.401)".	
	[10]	ETSI TS 138 413: "5G; NG-RAN; NG Application Protocol (NGAP) (3GPP TS 38.413)".	
	[11]	ETSI TS 138 420: "5G; NG-RAN; Xn general aspects and principles (3GPP TS 38.420)".	
	[12]	ETSI TS 138 423: "5G; NG-RAN; Xn Application Protocol (XnAP) (3GPP TS 38.423)".	
	[13]	ETSI TS 138 460: "5G; NG-RAN; E1 general aspects and principles (3GPP TS 38.460)".	
	[14]	ETSI TS 138 463: "5G; NG-RAN; E1 Application Protocol (E1AP) (3GPP TS 38.463)".	

ETSI TS 138 470: "5G; NG-RAN; F1 general aspects and principles (3GPP TS 38.470)".

ETSI TS 138 473: "5G; NG-RAN; F1 Application Protocol (F1AP) (3GPP TS 38.473)".

[17]	O-RAN TR: "Cloud Architecture and Deployment Scenarios for O-RAN Virtualized RAN".
[18]	O-RAN TS: "A1 interface: General Aspects and Principles".
[19]	O-RAN TS: "Control, User and Synchronization Plane Specification".
[20]	O-RAN TS: "Cooperative Transport Interface; Transport Control Plane Specification".
[21]	O-RAN TS: "Cooperative Transport Interface; Transport Management Plane Specification".
[22]	O-RAN TS: "E2 General Aspects and Principles (E2GAP)".
[23]	O-RAN TS: "Hardware Reference Design Specification for Indoor Picocell (FR1) with Split Architecture Option 8".
[24]	O-RAN TS: "Management Plane Specification".
[25]	O-RAN TS: "Non-RT RIC Architecture".
[26]	O-RAN TS: "Near-Real-time RAN Intelligent Controller E2 Service Model (E2SM).
[27]	O-RAN TS: "O-Cloud Notification API Specification for Event Consumers".
[28]	O-RAN TS: "Operations and Maintenance Architecture".
[29]	O-RAN TS: "O-RAN Information Model and Data Models Specification".
[30]	O-RAN TS: "O-RAN Operations and Maintenance Interface Specification".
[31]	O-RAN TS: "Security Protocols Specifications".
[32]	O-RAN TS: "Security Requirements and Controls Specifications".
[33]	O-RAN TS: "Security Threat Modeling and Remediation Analysis".
[34]	O-RAN TS: "Use Cases Analysis Report".
[35]	O-RAN TS: "Use Cases Detailed Specification".

Informative references

[i.4]

References are either specific (identified by date of publication and/or edition number or version number) or non-specific. For specific references, only the cited version applies. For non-specific references, the latest version of the referenced document (including any amendments) applies.

NOTE: While any hyperlinks included in this clause were valid at the time of publication, ETSI cannot guarantee their long term validity.

The following referenced documents are not necessary for the application of the present document but they assist the user with regard to a particular subject area.

[i.1]	3GPP TR 38.801: "Study on new radio access technology: Radio access architecture and interfaces (Release 14)".
[i.2]	ETSI TR 121 905: "Digital cellular telecommunications system (Phase 2+) (GSM); Universal Mobile Telecommunications System (UMTS); LTE; 5G; Vocabulary for 3GPP Specifications (3GPP TR 21.905)".
[i.3]	NIST SP 800-207 Rose, S., Borchert, O., Mitchell, S., and Connelly, S.: "Zero-Trust Architecture", U.S. NIST, August 2020.

O-RAN White Paper: "O-RAN: Towards an Open and Smart RAN", October 2018.

3 Definition of terms, symbols and abbreviations

3.1 Terms

For the purposes of the present document, the terms given in ETSI TR 121 905 [i.2] and the following apply. A term defined in the present document takes precedence over the definition of the same term, if any, in ETSI TR 121 905 [i.2].

E2 Node: logical node terminating E2 interface

Managed Application: The definition of Managed Application is given in O-RAN Operations and Maintenance Architecture [28].

Managed Element: The definition of a Managed Element (ME) is given in ETSI TS 128 622 [2], Clause 4.3.3.

Managed Function: The definition of a Managed Function (MF) is given in ETSI TS 128 622 [2], Clause 4.3.4.

Near-RT RIC (O-RAN Near-Real-Time RAN Intelligent Controller): A logical function that enables near-real-time control and optimization of RAN elements and resources via fine-grained data collection and actions over E2 interface. It may include AI/ML (Artificial Intelligence / Machine Learning) workflow including model training, inference and updates.

NOTE: Refer to [22] for more information.

Non-RT RIC (**O-RAN Non-Real-Time RAN Intelligent Controller**): A logical function within SMO that drives the content carried across the A1 interface. It is comprised of the Non-RT RIC Framework and the Non-RT RIC Applications (rApps) whose functions are defined below.

NOTE: Refer to [18] for more information.

Non-RT RIC Applications (rApps): Modular applications that leverage the functionality exposed via the Non-RT RIC Framework's R1 interface to provide added value services relative to RAN operation, such as driving the A1 interface, recommending values and actions that may be subsequently applied over the O1/O2 interface and generating "enrichment information" for the use of other rApps. The rApp functionality within the Non-RT RIC enables non-real-time control and optimization of RAN elements and resources and policy-based guidance to the applications/features in Near-RT RIC.

NOTE: Refer to [25] for more information.

Non-RT RIC Framework: That functionality internal to the SMO that logically terminates the A1 interface to the Near-RT RIC and exposes to rApps, via its R1 interface, the set of internal SMO services needed for their runtime processing. The Non-RT RIC Framework functionality within the Non-RT RIC provides AI/ML workflow including model training, inference and updates needed for rApps.

NOTE: Refer to [25] for more information.

NMS: Network Management System for the O-RU as specified in O-RAN "Management Plane Specification" [24] to support legacy Open Fronthaul M-Plane deployments (prior to version 5 of O-RAN "Management Plane Specification" [24])

O1: interface between SMO framework as specified in Clause 6.3.1 and O-RAN managed elements, for operation and management, by which FCAPS management, PNF (Physical Network Function) software management, File management shall be achieved

O2: interface between SMO framework as specified in Clause 6.3.1 and the O-Cloud for supporting O-RAN virtual network functions

NOTE: Refer to [17] for more information.

O-Cloud: cloud computing platform comprising a collection of physical infrastructure nodes that meet O-RAN requirements to host the relevant O-RAN functions (such as Near-RT RIC, O-CU-CP, O-CU-UP, and O-DU), the supporting software components (such as Operating System, Virtual Machine Monitor, Container Runtime, etc.) and the appropriate management and orchestration functions

NOTE: Refer to [17] for more information.

O-CU-CP (O-RAN Central Unit - Control Plane): logical node hosting the RRC and the control plane part of the PDCP protocol

NOTE: Refer to Clause 6.3.3 for more information.

O-CU-UP (O-RAN Central Unit - User Plane): logical node hosting the user plane part of the PDCP protocol and the SDAP protocol

NOTE: Refer to Clause 6.3.4 for more information.

O-DU (**O-RAN Distributed Unit**): logical node hosting RLC/MAC/High-PHY layers based on a lower layer functional split

NOTE: Refer to Clause 6.3.5 for more information.

O-eNB: eNB ETSI TS 136 401 [4] or ng-eNB ETSI TS 138 300 [7] that supports E2 interface

NOTE: Refer to Clause 6.3.7 for more information.

O-RU (**O-RAN Radio Unit**): A logical node hosting Low-PHY layer and RF processing based on a lower layer functional split. This is similar to 3GPP's "TRP" or "RRH" but more specific in including the Low-PHY layer (FFT/iFFT, PRACH extraction). Refer to Clause 6.3.6 for more information.

Open FH M-Plane: management interface controlling the O-RU, generally driven from the O-DU but in the case of the hybrid topology also driven from the SMO

NOTE: Refer to [24] for more details.

SMO: Service Management and Orchestration system as described in Clause 6.3.1.

xApp: An application designed to run on the near-RT RIC. Such an application is likely to consist of one or more microservices and at the point of on-boarding will identify which data it consumes and which data it provides. The application is independent of the near-RT RIC and may be provided by any third party. The E2 enables a direct association between the xApp and the RAN functionality [22].

3.2 Symbols

Void.

3.3 Abbreviations

For the purposes of the present document, the abbreviations given in ETSI TR 121 905 [i.2] and the following apply. An abbreviation defined in the present document takes precedence over the definition of the same abbreviation, if any, in ETSI TR 121 905 [i.2].

4G 4th Generation of mobile communications 5G 5th Generation of mobile communications 3GPP 3rd Generation Partnership Project 5GC 5G Core 5GS 5G System Accelerator Abstraction Layer AAL **Application Function** AF **Application Programming Interface API** Artificial Intelligence ΑI **AMF** Access and Mobility Functions

C-RNTI Cell Radio Network Temporary Identifier

CM Configuration Management **CMTS** Cable Modem Termination System

CP Control Plane

CSP Communications Service Provider CTI Cooperative Transport Interface **CUS** Control User Synchronization

DC Dual connectivity

DOCSIS Data Over Cable Service Interface Specification

DM Data Model

DTLS Datagram Transport Layer Security E-UTRA Evolved Universal Terrestrial Radio Access

E-UTRAN Evolved Universal Terrestrial Radio Access Network

EN-DC E-UTRAN New Radio - Dual Connectivity

EPC Evolved Packet Core evolved Node B eNB

FCAPS Fault, Configuration, Accounting, Performance, Security

FFT Fast Fourier Transform **FHGW** Fronthaul Gateway **FHM** Fronthaul Multiplexer FM Fault Management gNB next generation Node B gNB-CU gNB Central Unit gNB-DU gNB Distributed Unit

Globally Unique AMF Identifier **GUAMI GUMMEI** Globally Unique MME Identifier Hybrid Automatic Repeat Request **HARQ**

ID Identifier

inverse Fast Fourier Transform iFFT

IM Information Model

Internet Protocol Security **IPSec**

LLS Lower Layer Split

Long Term Evolution LTE

Media Access Control MAC Managed Element ME

MeNB Master eNB

MF Managed Function ML Machine Learning

Mobility Management Entity **MME**

Near-RT RIC Near-Real-Time RAN Intelligent Controller

NETCONF NETwork CONFiguration Protocol

NG **Next Generation** NG-RAN Next Generation RAN

NGAP Next Generation Application Protocol

National Institute of Standards and Technology **NIST**

NMS Network Management System

Non-RT RIC Non-Real-Time RAN Intelligent Controller

NR 5G New Radio O-Cloud O-RAN Cloud

O-CU-CP O-RAN Central Unit - Control Plane. O-RAN Central Unit - User Plane O-CU-UP

O-DU O-RAN Distributed Unit

O-eNB O-RAN eNB O-RAN Open RAN

O-RAN Radio Unit O-RU

Operations, Administration and Maintenance OAM

Optical Line Terminal **OLT** ONU Optical Network Unit Open FH Open FrontHaul

PDCP Packet Data Convergence Protocol

PHY Physical layer

Public Key Infrastructure PKI PM Performance Management PNF Physical Network Function PON Passive Optical Network

PRACH Physical Random Access CHannel

PTP Precision Time Protocol
RAN Radio Access Network
rApp Non-RT RIC Application
RAT Radio Access Technology

RF Radio Frequency

RIC RAN Intelligent Controller
RLC Radio Link Control
RRC Radio Resource Control
RRH Remote Radio Head

RRM Radio Resource Management

RRU Remote Radio Unit

RT Real Time RU Radio Unit

SBA Service Based Architecture
SBOM Software Bill Of Materials
SDAP Service Data Adaptation Protocol
SMO Service Management and Orchestration

SRB Signalling Radio Bearer SSHv2 Secure SHell 2.0

TLS Transport Layer Security

TN Transport Node TR Technical Report

TRP Transmission and Reception Point

TS Technical Specification

TU Transport Unit UE User Equipment

UL Up Link Up S: / Standards.iteh.al

UP User Plane

UPF User Plane Function Clament Preview

VM Virtual Machine

VNF Virtualized Network Function

WG Working Group

xApp Near-RT RIC Application

X2AP X2 Application Protocol

XnAP Xn Application Protocol ZTA Zero Trust Architecture

4 O-RAN Overview

4.1 Scope and Objectives

O-RAN activities are guided by the following objectives [i.4]:

- Leading the industry towards open, interoperable interfaces, RAN virtualization, and big data and AI enabled RAN intelligence.
- Maximizing the use of common-off-the-shelf hardware and merchant silicon and minimizing proprietary hardware.
- Specifying APIs and interfaces, driving standards to adopt them as appropriate, and exploring open source where appropriate.
- The O-RAN Architecture identifies the key functions and interfaces adopted in O-RAN.