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SA5 SWG_A and T2 had a joint meeting on UEM in Cancun, 27 November 2001.

As a result an updated draft TR 32.802 (v.0.0.6), which reflects the comments made during the joint meeting, has been sent to T2.

As agreed in the joint meeting SA5 intends to submit this updated version cleaned-up as v1.0.0 to both TSG-T#14 and to TSG-SA#14 in December 2001 **for Information** and subsequently to TSG-SA#15 in March 2002 **for Approval**.

Attachments: TR 32.802-100
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3GPP TR 32.802 V1.0.0 (2001-12)

Technical Report

**3rd Generation Partnership Project;
Technical Specification Group Services and System Aspects;
3G Telecom Management:
User Equipment Management (UEM) Feasibility Study
(Release 5)**



Keywords

UEM, UE Management

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Foreword

This Technical Report 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 a feasibility study on User Equipment Management (UEM). UEM is a capability which will allow the Operator, Service Provider and/or UE Manufacturer to remotely manage User Equipment.

The capabilities of the user equipment in 3G are becoming and will continue to become ever more sophisticated and integrated (high definition colour screens, faster processors, built in cameras, integrated media players etc.). The sophisticated capabilities of 3G User Equipment will require a flexible means to support management of the UE satisfying the end-customers, service providers, network operators and UE manufacturers' need. The purpose of the feasibility study is to progress this new management capability. The present document outlines aspects of UEM which it would be valuable to standardise in post 3GPP Release 5. The present document proposes an architecture for UEM, identifies some key UEM capabilities and performs some analysis of those capabilities. A proposal is made for how the UEM standardisation work can be co-ordinated. Annex A contains a list of UEM requirements, most of which were identified from a brainstorming session.

UEM will assist in maximising the user experience and quality of service, maximise subscriber usage, minimise costs and help ensure that faults are promptly resolved.

1 Scope

The scope of the present document is a Release 5 feasibility study to show that there are aspects of User Equipment Management (UEM) which would be beneficial to standardise post Release 5. For Release 5 the present document does not have a factual impact on other WIs.

User Equipment (UE) includes both the USIM and Mobile Equipment (ME) domains and so it is emphasised that the scope of UEM includes both the USIM and ME domains.

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 22.240: "3GPP Generic User Profile requirements; Stage 1".
- [3] 3GPP TS 23.240: "3GPP Generic User Profile requirements; Stage 2; Architecture".
- [4] 3GPP TS 23.241: "3GPP Generic User Profile requirements; Stage 2; Data description framework".
- [5] 3GPP TS 24.241: "3GPP Generic User Profile requirements; Stage 3; Access; Common objects".
- [6] 3GPP TS 22.057: "Mobile Execution Environment (MExE); Service description, Stage 1".
- [7] 3GPP TS 23.057 (V4.3.1): "Mobile Execution Environment (MExE); Functional description; Stage 2".
- [8] 3GPP TS 32.140: "[Telecommunication Management; 3G Service Management Requirements & Framework](#)~~Service Operations Management; Subscription Management: Detailed Requirements & Architecture~~".
- [9] GSM TS 04.02: "GSM Public Land Mobile Network (PLMN) access reference configuration".

3 Definitions and abbreviations

3.1 Definitions

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

Customer Care Operator (CC Operator): is a role which provides support to customers

User Equipment Management (UEM): is a capability which will allow the Operator, Service Provider and/or User Equipment Manufacturer/User Equipment Supplier to remotely manage User Equipment

UMTS IC Card: an IC card (or 'smartcard') of defined electromechanical specification which contains at least one USIM

Universal Subscriber Identity Module (USIM): an application residing on the UICC used for accessing services provided by mobile networks, which the application is able to register on with the appropriate security

User Equipment: device allowing a user access to network services

NOTE: For the purpose of 3GPP specifications the interface between the UE and the network is the radio interface. A User Equipment can be subdivided into a number of domains, the domains being separated by reference points. Currently defined domains are the USIM and ME Domains. The ME Domain can further be subdivided into several components showing the connectivity between multiple functional groups. These groups can be implemented in one or more hardware devices. An example of such a connectivity is the TE – MT interface. Further, an occurrence of a User Equipment is an MS for GSM as defined in GSM TS 04.02 [9].

3.3 Abbreviations

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

CC	Customer Care
CRM	Customer Relationship Management
FCAPS	Fault, Configuration, Accounting, Performance, and Security management
ME	Mobile Equipment
UE	User Equipment
UEM	User Equipment Management
UICC	Universal Integrated Circuit Card

USIM Universal Subscriber Identity Module4 Architecture

The User Equipment Management (UEM) architecture provides a collaborative framework to exchange information with a UEM client function to enable the remote management of the Mobile UE.

4.1 System component entities and connectivity

Figure 1 provides the basic elements of this architecture and associated interfaces.

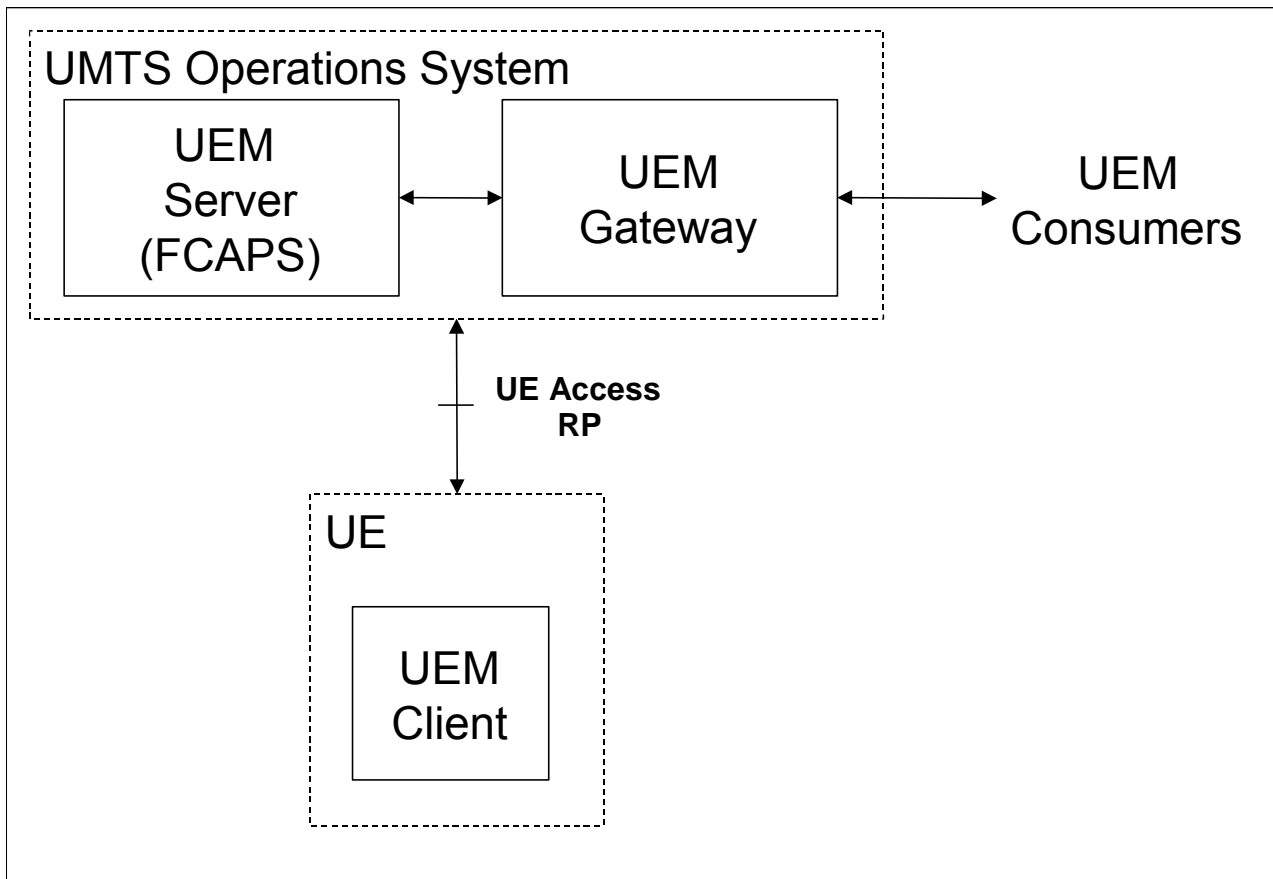


Figure 1: User Equipment Management (UEM) architecture

4.1.1 Definition of Entities

This clause describes the entities listed in the architecture.

4.1.1.1 UEM Client

The UEM client is the component required in the UE to collaborate with the management server. Collaboration sessions may include several simultaneous management tasks as instructed by the server.

4.1.1.2 UEM Server

The UEM Server co-ordinates the various UE management functions (FCAPS) that may be performed on clients within its domain. It maintains the management clients' session information and forwards the results to the different UEM consumers. Example UEM Server functions are:

- UE Reconfiguration;
- Application and Service Reconfiguration;
- UE Error Tracing;
- Application Error Tracing;
- Remote UE Diagnostics;
- Remote Application Diagnostics;
- Performance Measurements; and
- Virus Detection and Prevention.

Not that not all these functions are proposed for Release 6.

4.1.1.3 UEM Gateway

UEM consumers use the UEM Gateway to provide transparent access to the UE client from various UEM consumers.

4.1.1.4 UEM Consumers

UEM consumers use the UEM Gateway to access the UEM clients. Some examples of possible UEM consumers are:

- Network Operator;
- Network Provider;
- Network Equipment Provider;
- Service Provider;
- Content Service Provider;
- Application Service Provider;
- Enhanced Service Provider;
- IT-Support Provider;
- Corporate Administrator;
- User Equipment Provider.

4.2 Interfaces

This clause identifies the interface reference points.

4.2.1 UE Access Reference Point

Realization of this reference point enables the information exchange between the UEM Server and clients. Based on the extent of UE equipment capability, this interface may be realized using various connection media and protocols.

4.3 Protocols

Identification of the protocols to support UEM across the different interfaces.

5 Capabilities

This clause identifies some key UEM capabilities and performs some analysis of those capabilities.

The following key UEM capabilities have been identified:

- 1) UE Configuration Query;
- 2) UE Reconfiguration;
- 3) UE Software Update;
- 4) Remote UE Diagnostics.

It is proposed that these UEM capabilities are standardised post 3GPP Release 5.

The remainder of clause 5 describes these capabilities and performs some analysis on them. Sequence diagrams are used to provide examples of interactions that could use the UEM capabilities. For simplicity the role of the user is not subdivided into end user and owner.

5.1 UE Configuration Query Capability

With the arrival of the 3G services, more sophisticated mobiles with download capability and the growth of 3rd party applications and content on the Internet, more and more users will use the user equipment as a mobile and limited incarnation of their desktop PC. Therefore, it is reasonable to assume that the user will download 3rd party applications to the UE. We then have the situation where an application could actually cause faults on the UE. This raises the complexity of user equipment fault resolution to a higher level compared with traditional 2G user equipment. In addition, it is more than likely that the user will contact the network operator or service provider to register the fault and it will be left to the customer care (CC) operator to handle the query. If mechanisms were available for the CC operators to identify the fault, then huge savings could be made in manpower, equipment and revenue loss.

UE Configuration Query allows UE configuration information to be remotely requested and retrieved. The UE configuration information would include the equipment make, model, software versions, configuration parameters. This is valuable information in for example fault finding; end users often find it difficult to correctly report UE configuration information.

An example of how the UE Configuration Query capability could be used is illustrated in the sequence diagram in figure 2.

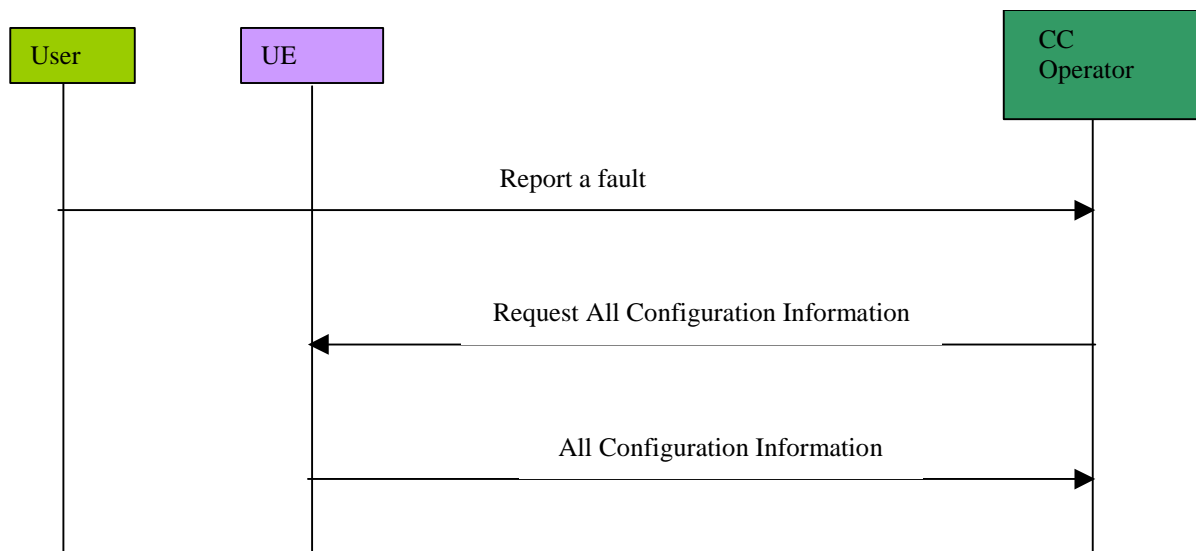


Figure 2: UE Configuration Query Sequence Diagram

The configuration information returned by the UE should include:

- equipment make, model, IMEI;
- the software versions;
- the applications installed;
- the last error, time, date;
- configuration parameters.

5.1.1 Service Aspects

The CC Operator (authorised to use this capability for a particular UE) is able to send the command to a particular UE and receive the configuration information in response.

5.1.2 MMI Aspects

It is expected that the CC Operator will have a GUI interface to initiated this activity and would have some tools for viewing and analysing the response. It would be useful if this capability could be initiated by manual involvement and also automatically.

5.1.3 Charging aspects

Who should pay for the interaction, the user, service provider, network operator or some other party? Flexibility is probably required.

5.1.4 Security Aspects

The requesting party shall be authenticated. There shall be a valid relationship between the requesting party and the UE owner, for example explicit permission granted to perform the UE Configuration Query.

The UE Configuration Query capability does not change the configuration of the UE.

NOTE: The security checks have been omitted from the sequence diagram.

5.1.5 UMTS Operations System Aspects

The UMTS Operations System needs to be able to send a command to a UE and receive a response back.

5.1.6 User Equipment Aspects

There are UE aspects for both the terminal and the USIM. Some sort of client is required on the user equipment. There needs to be a way of receiving the command on the UE. It would be useful if the names/parameters and data structures are standardised.

5.1.7 Network Aspects

5.1.8 Benefits

5.1.8.1 User/subscriber

The user/subscriber often lack the knowledge of how to view parameters so this would remove the need for an explanation for how to view a parameter(s) and save time in reading out the configuration over a voice call. The user would receive an improved service.

5.1.8.2 Network Operator/Service Provider

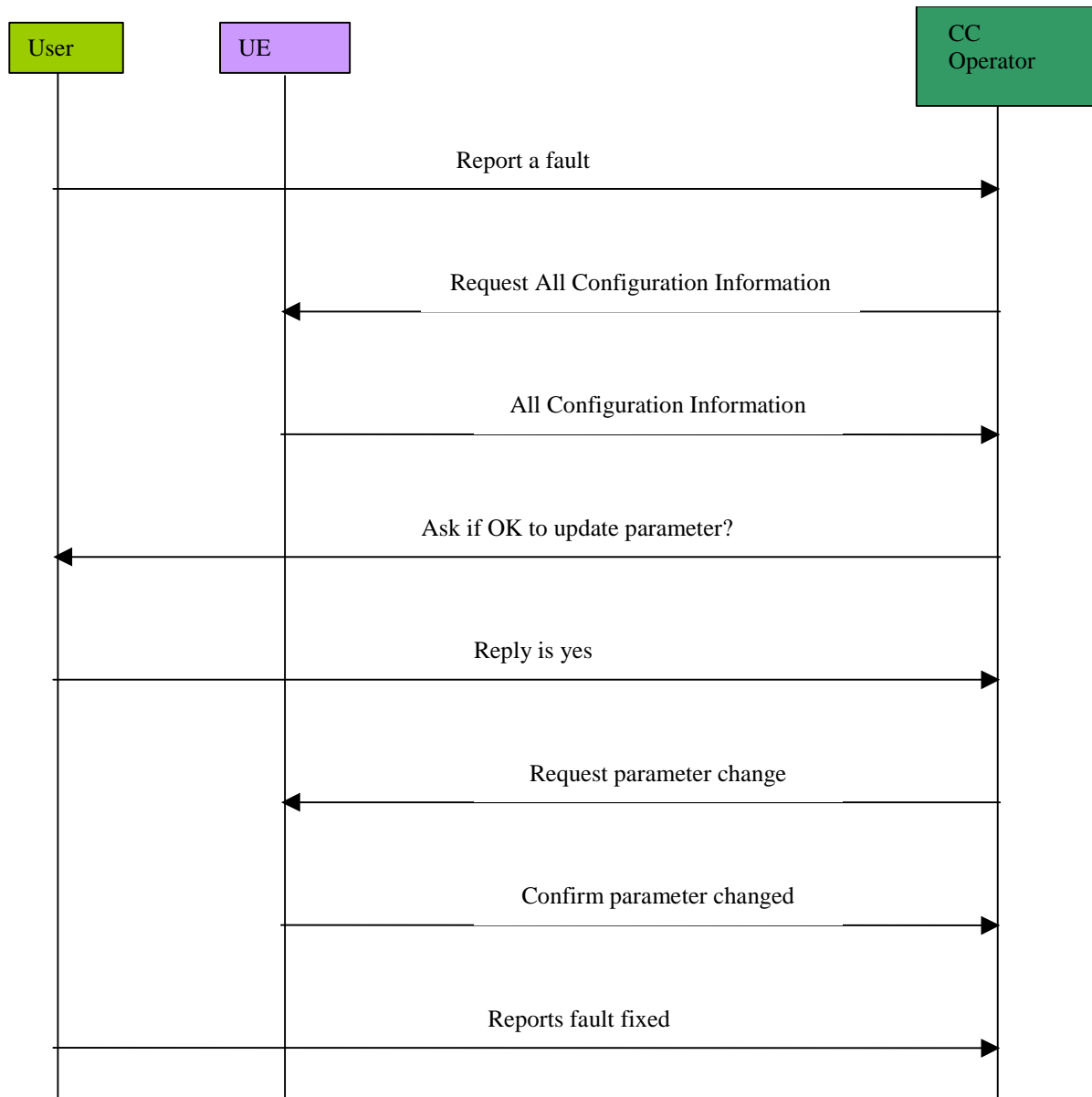
The Operator/Service Provider would be able to handle support calls more quickly and effectively.

5.1.8.3 UE Manufacturer

The User/subscriber would be happier with UE manufacturer/supplier as problems resolved quicker.

5.2 UE Reconfiguration Capability

The UE Reconfiguration capability builds upon the UE Configuration Query capability in that it allows configuration changes to be made to the UE remotely. So, for example, UE reconfiguration could be used as part of a fault resolution process to correct a problem on the UE and this is shown in figure 3. Once the cause of the fault has been identified (which in this example is an incorrect parameter) then the UE Reconfiguration capability is used to correct the fault.



NOTE: The first three interactions in this diagram are identical to the UE Configuration Query sequence diagram (figure 2).

Figure 3: UE Reconfiguration Sequence Diagram

5.2.1 Service Aspects

5.2.2 MMI Aspects

The CC Operator needs to be able to obtain permission from the user to change the parameter.

It shall be possible to undo the change.

5.2.3 Charging aspects

Who should pay for the interaction, the user, service provider, network operator or some other party? Flexibility is probably required.

5.2.4 Security Aspects

The requesting party shall be authenticated. There shall be a valid relationship between the requesting party and the UE owner, for example explicit permission granted to perform the UE Configuration Query.

Security is even more important for this capability than the UE Configuration Query capability as the UE is being modified.

NOTE: The security checks have been omitted from the sequence diagram.

5.2.5 UMTS Operations System Aspects

5.2.6 User Equipment Aspects

There are UE aspects for both the terminal and the USIM. There needs to be a way of receiving the command on the UE. It would be useful if the names/parameters and data structures are standardised.

5.2.7 Network Aspects

5.2.8 Benefits

5.2.8.1 User/subscriber

The user/subscriber often lack the knowledge of how to change parameters so this would remove the need for an explanation for how to change a parameter(s) and would reduce the risk of the wrong parameter being changed or the correct parameter being changed to the wrong value. The user would receive an improved service and ideally the fault would be fixed.

5.2.8.2 Network Operator/Service Provider

The Operator/Service Provider would be able to handle support calls and fix the problem more quickly and effectively.

5.2.8.3 UE Manufacturer

The User/subscriber would be happier with UE manufacturer/supplier as problems resolved quicker.

5.3 UE Software Update Capability

Being able to update the UE software remotely would enable a fault in the UE software to be fixed without an expensive recall and the latest version of the UE software could be obtained without difficulty.

Figure 4 is a sequence diagram that shows an example of how UE Software Update could be usefully applied.

An example of how the UE Software Update capability could be used is illustrated in the sequence diagram in figure 4.

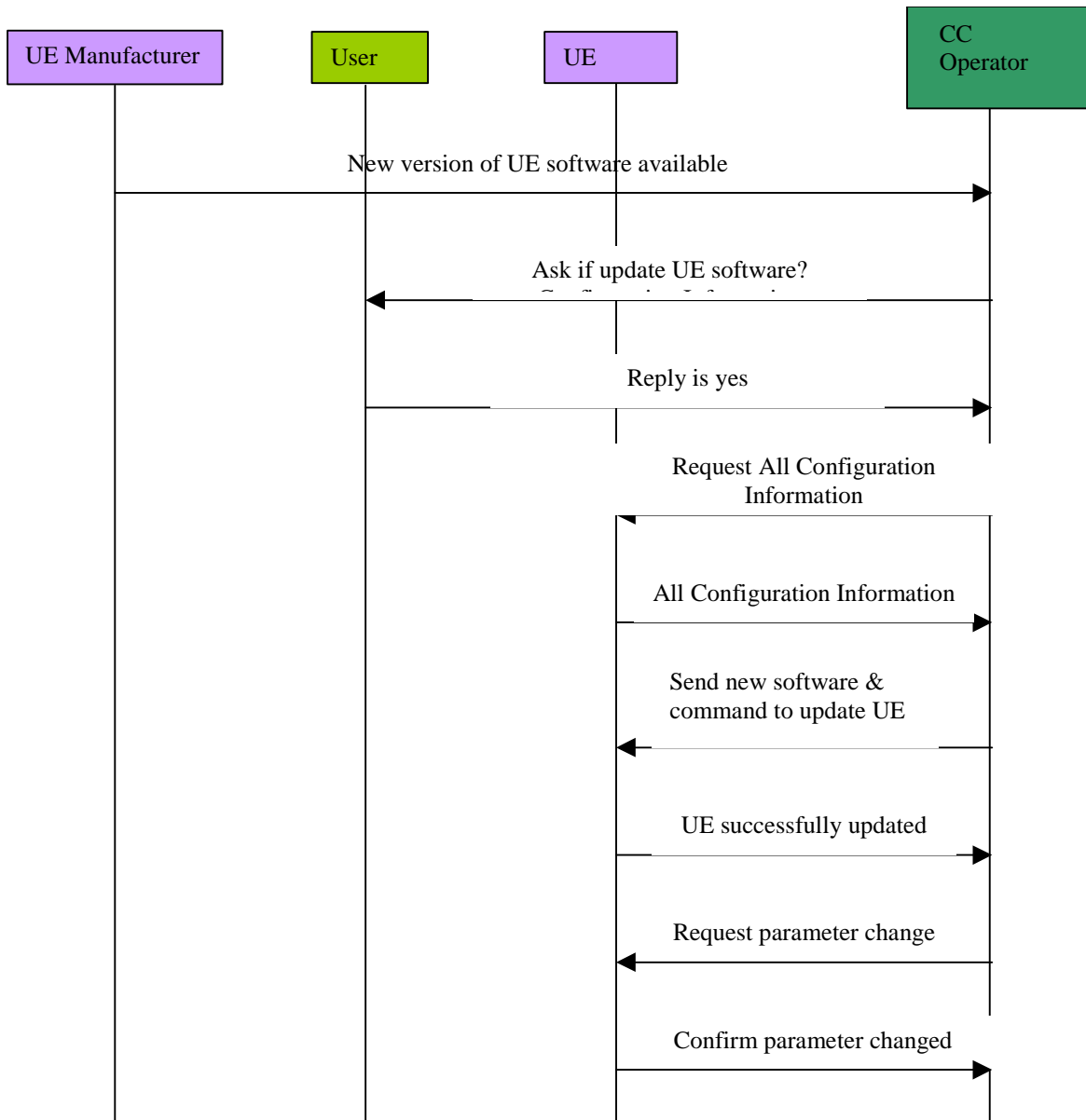


Figure 4: UE Software Update Sequence Diagram

A number of parameters may need to be updated in which case the "Request parameter change" and "confirm parameter changed" messages would just be repeated.

5.3.1 Service Aspects

The UE Software Update Capability can be subdivided into UE patch download and UE image download.

5.3.2 MMI Aspects

It shall be possible to undo the change.

It would be useful if this capability could be used both manually and automatically. How will the management activity be initiated?

5.3.3 Charging aspects

Who should pay for the interaction, the user, service provider, network operator or some other party? Flexibility is probably required.

5.3.4 Security Aspects

Security even more important for the UE Software Update than the UE Reconfiguration Capability as the UE is altered. It shall be ensured that the stated UE manufacturer is the true source of the software update. The integrity of the software must be ensured.

The requesting party shall be authenticated. There shall be a valid relationship between the requesting party and the UE owner. It must ensure that UEM is properly authorised, that the UE is satisfactorily protected, that IPR of the UE manufacturers' is protected, that downloads are virus free etc. The software would need to be encrypted by the UE manufacturer and decrypted on the UE. It shall be authenticated that the UE manufacturer has certified the software.

NOTE: The security checks have been omitted from the sequence diagram.

5.3.5 UMTS Operations System Aspects

5.3.6 User Equipment Aspects

Technically the UE Software Update Capability for OS/firmware is very difficult to implement and this work would need to be carefully planned using a phased approach. See 3GPP TS 23.057 [7] clause 4.14.

Some sort of client is required on the UE and the UE must be able to update itself while in some form of operation. It would be useful if the names/parameters and data structures are standardised.

5.3.7 Network Aspects

5.3.8 Benefits

5.3.8.1 User/subscriber

The user would be able to easily obtain the latest version of software for the UE and so use any new functionality, bug fixes etc.

The user may have a specific problem that is fixed by the software update.

The UE Software Update capability should improve user satisfaction.

5.3.8.2 Network Operator/Service Provider

The Operator/Service Provider would be able to handle support calls and fix the problem more quickly and effectively.

Instead of having to handle user equipment being recalled the UE could be upgraded immediately.

5.3.8.3 UE Manufacturer

The User/subscriber would be happier with UE manufacturer/supplier as problems resolved quicker.

Customers are more likely to buy equipment that is more future proof.

Expensive recalls could be avoided.

5.4 Remote UE Diagnostics Capability

The network operator, service provider or manufacturer could use the Remote UE Diagnostics capability to run diagnostic applications on the user equipment to aid fault resolution.

Below are two examples of the Remote UE Diagnostics Capability:

- Figure 5 is an example of the UE Diagnostics capability that includes downloading a diagnostic application to the UE.

- Figure 6 is an example of the UE Diagnostics capability utilising a diagnostic application built in to the UE could be used.

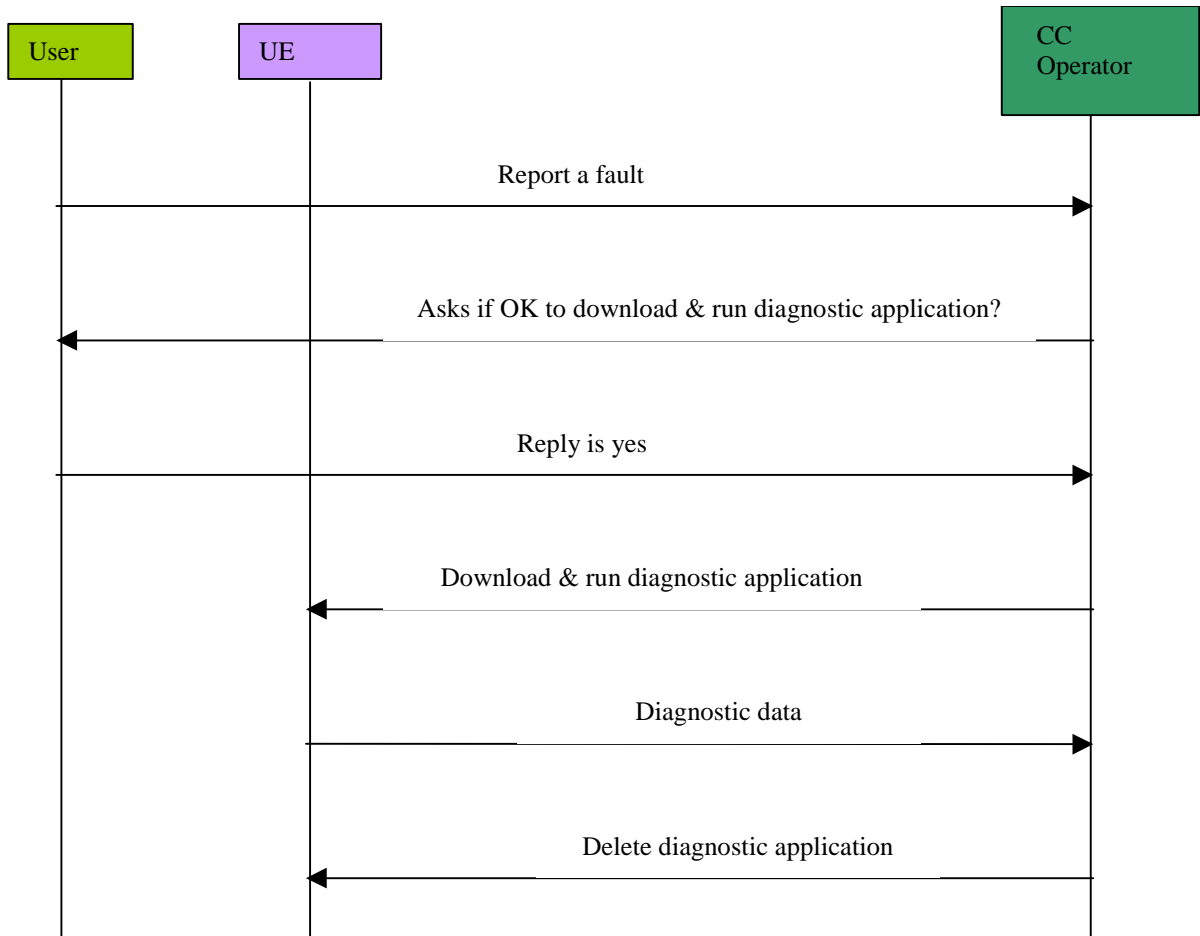


Figure 5: Remote UE Diagnostics Sequence Diagram including application download

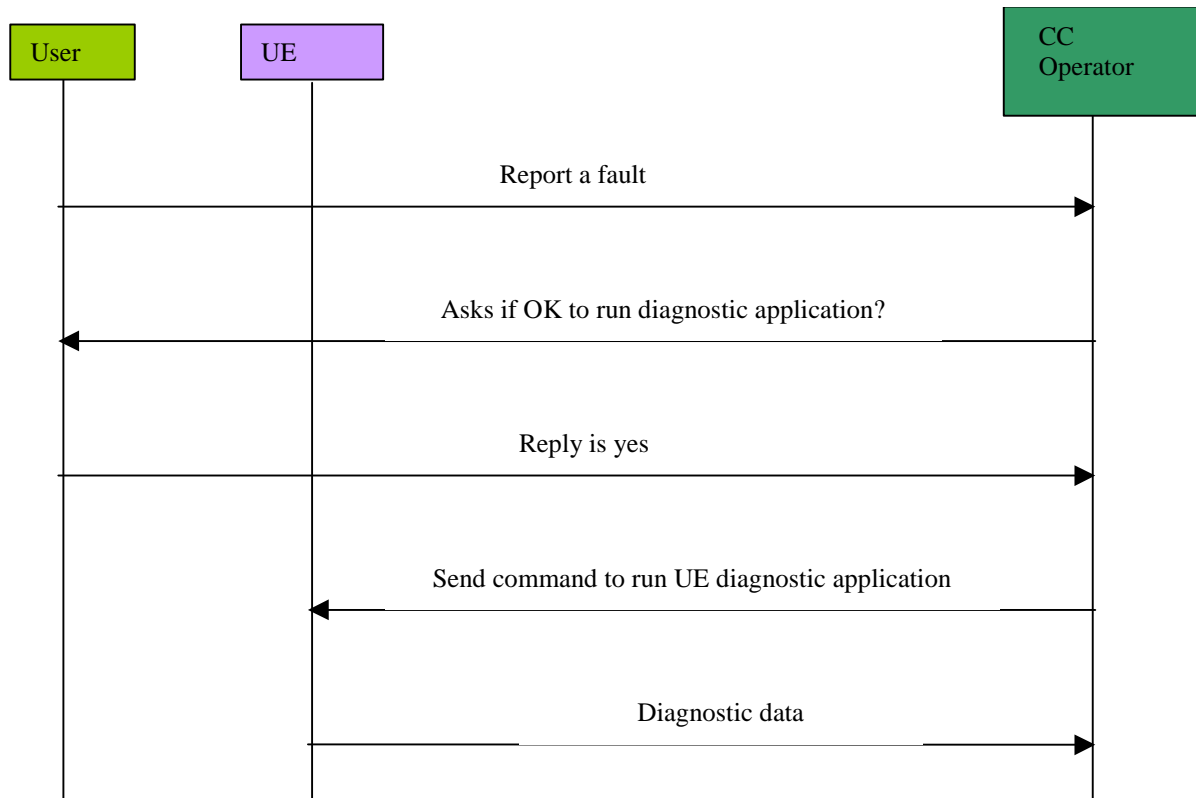


Figure 6: Remote UE Diagnostics Sequence Diagram utilising diagnostic application built in to UE

5.4.1 Service Aspects

5.4.2 MMI Aspects

The CC Operator needs to be able to obtain permission from the user to run and if necessary also download the diagnostic software.

5.4.3 Charging aspects

Who should pay for the interaction, the user, service provider, network operator or some other party? Potentially there could be a large volume of diagnostic data. Flexibility is probably required.

5.4.4 Security Aspects

The requesting party shall be authenticated. There shall be a valid relationship between the requesting party and the UE owner, for example explicit permission granted to perform the UE Diagnostics Capability. It must ensure that UEM is properly authorised, that the UE is satisfactorily protected, that IPR of the UE manufacturers' is protected, that downloads are virus free etc. The downloaded software would need to be encrypted by the UE manufacturer and decrypted on the UE. It shall be authenticated that the UE manufacturer has certified the software. The integrity of the software must be ensured.

NOTE: The security checks have been omitted from the sequence diagram.

5.4.5 UMTS Operations System Aspects

5.4.6 User Equipment Aspects

It shall be possible to execute diagnostic applications on the UE. If necessary it shall also be possible to download diagnostic applications to the UE and to delete the executables on completion. It would be useful if the names/parameters and data structures are standardised.

5.4.7 Network Aspects

5.4.8 Benefits

5.4.8.1 User/subscriber

The fault should be fixed faster and so the user would receive an improved service. The user would be less likely to have to return the UE for analysis.

5.4.8.2 Network Operator/Service Provider

The Operator/Service Provider would be able to handle support calls and fix the problem more quickly and effectively.

The problem could be diagnosed remotely rather than have the user return the UE.

5.4.8.3 UE Manufacturer

The User/subscriber would be happier with UE manufacturer/supplier as problems resolved quicker.

6 Project Planning

6.1 Collaboration

Figure 7 is a proposed for how the UEM work will be structured.

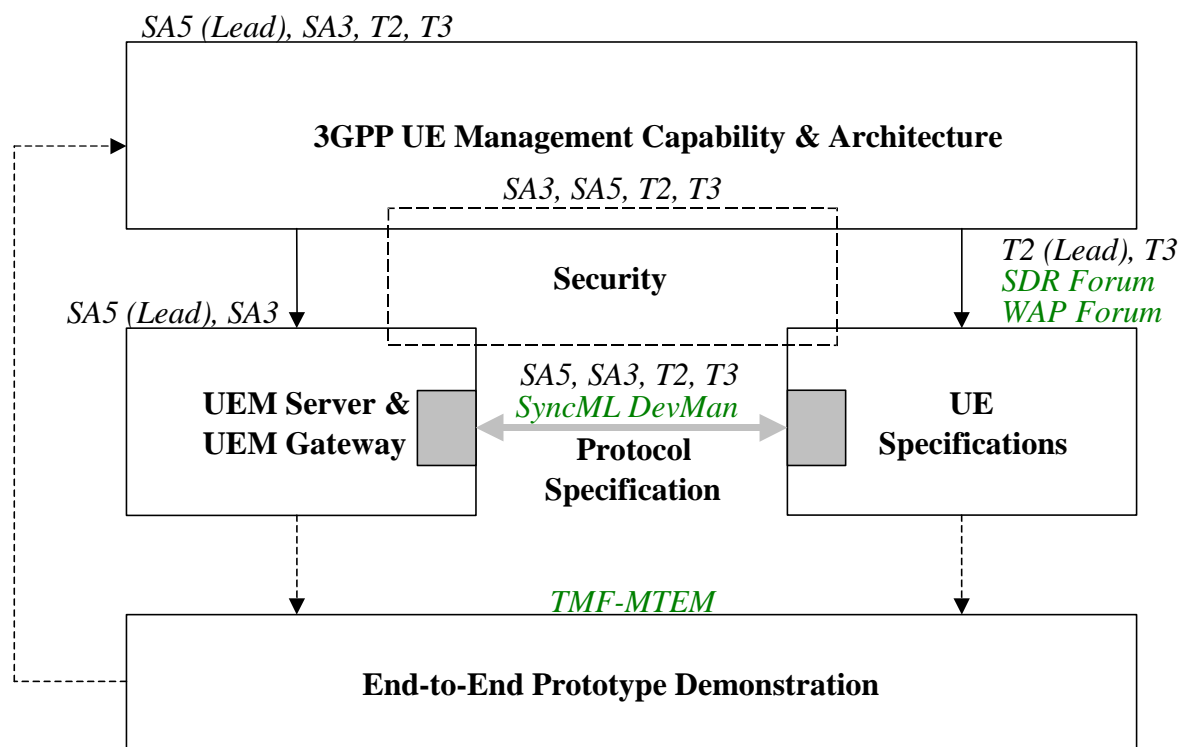


Figure 7: Proposed Structure of the User Equipment Management (UEM) work

6.1.1 Roles and Responsibilities

6.1.1.1 Agreed Contributions

List the agreed contributions from the groups involved.

6.2 Post Release 5 UE Management Work Item Description

The UEM WID for the full feature (not just the feasibility study) post Release 5.

6.2.1 Plan for Post Release 5 UE Management Work

The plan for UE Management work shall be phased.

It is expected that much of the technology required for UEM is becoming available. A gap analysis task needs to be performed to determine where there are gaps between the available technology and that required for UEM.

7 Open Issues

The following issues have been identified:

1. The user interface will be important in delivering UE management. We may define what we want to appear on the UE but the UE's may not support it, for example, help files, or what to do next instructions.
2. CC operator must have some means of identifying the user if user's IMSI is not forwarded (e.g. if the user contacts CC via the internet).
3. More work is required to analyse the charging implications of UEM.
4. The role of the service centre in UEM needs to be addressed.

5. Customer self care needs to be mentioned specifically in the present document.

8 Risks

None identified.

9 Conclusions

This feasibility study shows that User Equipment Management (UEM) is a very worthwhile area for standardisation and it would bring a number of benefits to the users/subscribers, network operators/service providers and the UE manufacturers/suppliers.

UEM capabilities vary greatly in how easy it will be to implement them so it is recommended that a phased approach be used for planning the UEM standardisation. It should be possible for UE manufacturers to implement the capabilities described in the present document independently of one another.

Technology that is becoming available seems to be appropriate for UEM. A gap analysis needs to be performed to identify where there are gaps between what is needed to support UEM and the available technology.

Annex A: Requirements

The requirements for UEM.

Ref	Management Function	Sub category	Requirement	Customer Care	Network Operations	CRM	UE Manufacturer
1.	FM	Customer assistance	Lists of clear/concise FAQ that are downloadable to the UE to solve common problems.	✓		✓	
2.	FM	Fault	Support the identification of faults.	✓			✓
3.	FM	Fault	Provide support for the analysis of faults.	✓			✓
4.	FM	Fault	Provide support for fault resolution.	✓			
5.	FM	Fault	Provide support for fault diagnosis.	✓			
6.	FM	Fault	Remote service fault diagnosis (remote)		✓		
7.	FM	Resolution tracking	Show customers the fault process from report of problem to resolution			✓	
8.	FM	Service	Video - be able to see what the customer sees on their UE	✓			
9.	FM	UE	Self-health check on UE	✓			
10.	FM	UE	Ability to "ping" UE for healthcheck/status	✓			
11.	FM	UE	Remote diagnose on UE	✓			
12.	FM	UE	Remote control of UE by CSA/second line support:	✓			
13.	FM	UE	Provide a service for UE similar to that available today for managing corporate PC networks, particularly for fault finding.	✓			
14.	CM	UE	Upgrades - targeted at "problem" models			✓	
15.	PM	Service	Highlight capacity levels on the various bearer services to customers		✓	✓	
16.	PM	Application	Application Performance	✓			
17.	PM	Application	Application history		✓		
18.	PM	Application	Which applications/products has he/she selected/downloaded (including 3 rd party applications)	✓	✓	✓	

Ref	Management Function	Sub category	Requirement	Customer Care	Network Operations	CRM	UE Manufacturer
			Once an application has been downloaded (e.g. a K-Java game), how often is it used? How is it used, etc.? Include 3 rd party services/products				
19.	PM	Customer	Customer location	✓			
20.	PM	Customer	Historical customer location	✓			
21.	PM	Customer	Coverage experience	✓			
22.	PM	Customer	Customer perceptions of new services			✓	
23.	PM	Customer	What services/products did he/she use (voice, video...)?	✓		✓	
24.	PM	Error/fault statistics	Failed calls details (# dialled, time...)	✓			
25.	PM	Error/fault statistics	UE Faults to N/W Ops		✓		
26.	FM	Error/fault statistics	Identify and report on element failures		✓		
27.	PM	Error/fault statistics	Report failure to connect to service(s)		✓		
28.	FM	Error/fault statistics	Produce fault logs		✓		
29.	FM	Error/fault statistics	Retain fault logs files for fault investigation		✓		
30.	PM	Error/fault statistics	Coverage problems – no signal... (location, time)		✓		
31.	PM	Error/fault statistics	Return reason for dropped calls/session		✓		
32.	PM	Network	Level of radio coverage	✓			
33.	PM	Network	Radio performance Voice Video Data C/S P/S	✓	✓		
34.	PM	Network	Radio availability		✓		
35.	PM	Network	Radio coverage (signal strength)	✓			
36.	PM	Network	Data speed probability	✓			
37.	PM	Network	Report slow 'data' speeds although signal strength OK		✓		
38.	PM	Network	Capacity availability	✓			
39.	PM	Network	Capacity experienced		✓		
40.	PM	Network	Interference/noise		✓		

Ref	Management Function	Sub category	Requirement	Customer Care	Network Operations	CRM	UE Manufacturer
41.	PM	Network	Get network performance data from user equipment	✓			
42.	PM	Network	Cell performance from UE - relate to cell site s/ware versions		✓		
43.	PM	Network	PS v CS, different Gbs, different speeds ↑ and ↓		✓		
44.	PM	Network	Historical coverage information for user equipment over all bearers	✓			
45.	PM	Network	Cell overlap/multiple cell profiles		✓		
46.	PM	Service	Service performance from UE	✓			
47.	PM	Service	Service performance regionalised view of		✓		
48.	PM	Service	Monitor service performance		✓		
49.	PM	Service	Service availability report		✓		
50.	PM	Service	Service outage report		✓		
51.	PM	Service	SLA reports		✓		
52.	PM	Transaction	For transactions over an earlier period transactions (48 hours?) remotely accessible	✓	✓		
53.	PM	Transaction	For previous "x" transactions		✓		
54.	PM	UE	Battery efficiency	✓			
55.	PM	Usage	Time of day/frequency/duration Success rates How is he using the service? What key did he press when...? Problems encountered How often do people turn their mobile on/off When do they leave it on/off? How often/when do user charge batteries, etc. Key sequences – Configuration (e.g. WAP) Key sequences - Usage behaviour (e.g. using phonebook, messages, SIM – toolkit, etc) Key sequences – Idiosyncratic behaviour? How does usage behaviour vary by type of user equipment, etc?	✓	✓	✓	

Ref	Management Function	Sub category	Requirement	Customer Care	Network Operations	CRM	UE Manufacturer
56.	PM	Usage	Which bearer was used		✓		
57.	PM	Usage	Faster response to usage trends – real-time collection of usage stats via user equipment			✓	
58.	FM	User Equipment	UE type (make, model, OS, version) Firmware version /level SW Version Applications embedded Applications added/downloaded Application version Virus check history Memory status	✓			
59.	PM	User Equipment	UE performance – application UE performance by UE type UE performance data by customer UE performance by geographic		✓		
60.	SM	Application	Support the collection of diagnostic information from applications on the UE.		✓		
61.	SM	Capacity to support volume customers				✓	
62.	SM	Configuration	Fast service set-up		✓		
63.	SM	Configuration – Remote	Set up services Check service works Upgrade services – trouble free Download applications from operator to UE OTA Update UE software Virus checks Software bug fixes - trouble free	✓	✓	✓	
64.	SM	Configuration – Remote	For specific customers must be able to remotely configure the UE.			✓	
65.	SM	Customer Alerts	Maintenance schedule locally	✓			
66.	SM	Customer Alerts	New O/S versions	✓			
67.	SM	Customer Alerts	New services to the UE			✓	
68.	SM	Customer Alerts	Send questions on new services to UE for customer feedback			✓	
69.	SM	Customer assistance	Support users setting up their UE (e.g. from web interface)	✓			
70.	SM	Customer assistance	Interactive help "don't press that key, press the one above it"			✓	

Ref	Management Function	Sub category	Requirement	Customer Care	Network Operations	CRM	UE Manufacturer
71.	SM	Customer assistance	Applications that show what to do next			✓	
72.	SM	Customer assistance	PC anywhere for mobiles – tuition, show users how to use their equipment	✓			
73.	SM	Customer assistance	PC anywhere for mobiles – help customers to add complex services	✓			
74.	SM	Customisation	Remote access to view a corporate's personalised settings Remote access to modify a corporate's personalised settings	✓			
75.	SM	Customisation	Modify the user interface to match *owner*			✓	
76.	SM	Data management	Manage customer data uploads Manage customer data downloads			✓	
77.	SM	Element management	Be able to manage all the elements involved in delivering an application	✓			
78.	SM	Monitoring	Monitor the quality of service delivered to customers (Video telephony, voice etc)			✓	
79.	SM	Monitoring	Monitor actual coverage as experienced by user		✓		
80.	SM	Monitoring	Monitor service delivered to corporates		✓		
81.	SM	Monitoring	Monitor service as experienced by user		✓		
82.	SM	Monitoring	Ability to recognise degradation of service (ideally before the customer contacts us)		✓		
83.	SM	Monitoring	UE monitoring of performance and alert the operator when the SLA is being broken		✓		
84.	SM	Prioritise level of support	Based on customer priority	✓	✓	✓	
85.	SM	Proactive downloads	Of apps, services, fixes etc to UE		✓		
86.	SM	Proactive SM	By service Customer specific			✓	
87.	SM	Proactive UE CCare	"Mr Smith, did you know that your battery is only working at 30% efficiency..."	✓			
88.	SM	Service	Offer trials of services			✓	
89.	SM	Services	Add value through experience of 3 rd party applications			✓	
90.	SM	UE management	For corporates	✓			

Ref	Management Function	Sub category	Requirement	Customer Care	Network Operations	CRM	UE Manufacturer
91.	SM	UE management	Set performance thresholds on UE		✓		
92.	SM	UE management	Re-calibrate/re-tune UE over the air	✓			
93.	SM	UE management	There shall be charging mechanisms for UEM.			✓	
94.			The confidentiality of customer personal information must not be violated.			✓	
Key to Management Function column: SM: Service Management. CM: Configuration Management. FM: Fault Management. PM: Performance Management.							

The function that needs each requirement is indicated by the last 3 columns of the table.

Tracking Hardware

The following is the minimum set of the user device information that the operator needs to know:

- Manufacturer;
- Model;
- Software version;
- Applications resident on the terminal.

It should be possible for the operator to remotely audit user device information over the radio interface.

It should be possible for the operator to retrieve the user device information from at least two sources:

- The Mobile Terminal;
- A source other than the MT, e.g. subscriber profile database.

All existing instances of user device information must always be up to date and consistent to each other.

Tracing Errors

The operator must be able to isolate the faulty device from the network but still allow restricted remote access for remedial applications to be downloaded.

The operator must be able to identify and locate the appropriate diagnostic/remedial application.

The operator must be able to remotely download the remedial application to the Mobile Terminal.

The operator must be informed whether the remedial application has been successfully installed in the MT.

The operator must be informed whether the application has completed its tasks successfully.

The remedial application must uninstall and delete itself after completing its tasks unless explicitly instructed not to.

User data in the MT must remain unaffected.

Device configuration must remain unaffected unless otherwise required by the remedial application.

Configuring Terminals

All principles from Hardware Tracking apply here as well:

- The operator before updating the MT software version must have received the customer's agreement.
- The operator must be able to remotely download new software version to the MT.
- User data in the MT must remain unaffected.
- Device configuration information should only be updated as required by the new software version.

Downloading Application & Services

All principles from Hardware Tracking apply here as well:

- The operator must be able to remotely download applications to the MT.
- The operator must be informed whether the remedial application has been successfully installed in the MT.
- User data in the MT must remain unaffected.
- Device configuration information should only be updated as required by the new application.
- The operator before updating the MT with new applications must have received the customer's agreement.

Remote Terminal Diagnostics

The operator must be able to remotely download applications to the MT.

The operator must be informed whether the remedial application has been successfully installed in the MT.

Execution of the application must be possible using certain triggering events.

The data gathering application must be under full control of the network operator.

The application must not, in any way, degrade the quality of service or service functionality expected by the user.

The operator must be able to remotely uninstall and delete the application from the customer's MT.

User data in the MT must remain unaffected.

Device configuration information should only be updated as required by the new application.

The operator before updating the MT with new applications must have received the customer's agreement.

Preventing and Detecting Viruses

The operator must be able to verify and guarantee that a downloadable piece of software/application is virus free.

The operator must be able to remotely download the anti-virus application to the Mobile Terminal.

The operator must be informed whether the anti-virus application has been successfully installed in the MT.

The operator must be informed whether the anti-virus application has completed its tasks successfully.

The anti-virus application must uninstall and delete itself after completing its tasks unless explicitly instructed not to.

It must be possible for an anti-virus application that has already been installed in a MT to automatically check each application and piece of software that is being downloaded to the terminal.

It must be possible for the operator to remotely trigger an anti-virus application within a MT.

User data in the MT must remain unaffected if not affected by virus.

Device configuration must remain unaffected unless otherwise required by the anti-virus application.

Other Requirements

1. Operator position must be able to retrieve the user device profile from the subscriber profile or customer relationship database based on IMSI or MSISDN.
2. The operator must be able to easily search for and discover the appropriate application to fit the purpose for particular equipment.
3. The downloading mechanism should be able to identify and locate the target device quickly and accurately.
4. Security mechanisms should be in place to authenticate the source and target of the application. In addition all data must be encrypted and applications only allowed to execute in an expected and non-harmful manner.
5. The current device configuration and data must be backed up, prior to any new installation.
6. An acknowledgement will be returned to the operator after installation.
7. Any collected performance data shall be returned to the network operator for processing.
8. A UE Management application will uninstall and delete itself after completing its tasks unless explicitly instructed not to.
9. The Network Operator Domain shall provide the application with all the access it requires to complete its tasks.
10. The user's private data and configuration settings must be stored prior to installation of any new software, to enable the new patch or application to be installed with the previous configuration settings.

11. Execution of the application must be possible using certain triggering events.
12. The application must not, in any way, degrade the quality of service or service functionality expected by the user.
13. Virus management – do we stop everyone who has a virus getting onto the network or are we only going to check for viruses that could be passed onto the network?
14. Data could be managed on behalf of the customer. Currently SIM card crashes mean the customer has to re-enter all their data. This will be a bigger problem as more data sits on the UE.
15. Can a particular UE or set of UEs be remotely shut down if they are behaving in a way that is detrimental to network performance? The operator must be able to isolate the faulty user equipment from the network, but still allow restricted radio and core network access for remedial applications to be downloaded.
16. The scope of UE management could be extend to cover not only the conventional voice plus User Equipment but also "dumb" terminals such as drinks machines, monitoring equipment etc.

Annex B: Change history

Change history							
Date	TSG #	TSG Doc.	CR	Rev	Subject/Comment	Old	New
18/07/01	SA5 #21	S5A010149		0.0.1	first draft of the TR on User Equipment Management		
7/9/01	SA5 #22			0.0.3	Added requirements to document		
17/10/01	SA5 #23	SA5010611		0.0.4	Added architecture contents & edited requirements list		
25/11/01	SA5#24	S5A010711		0.0.5	Updated with changes suggested during SA5#23		
29/11/01	SA5#24	S5A010716		0.0.6	Updated with changes suggested by T2 and SA5 SWG-A.		

Change history							
Date	TSG #	TSG Doc.	CR	Rev	Subject/Comment	Old	New
Dec 2001	S_14	SP-010652	--	--	Submitted to TSG SA #14 (and TSG T #14) for Information	1.0.0	

Source: SA5 Chairman
Title: Proposed WID for "User Equipment (UE) Management (Feature) Feasibility Study" (revision of SP-010234)
Document for: Approval
Agenda Item:

Work Item Description

Title: User Equipment (UE) Management Feasibility Study

UE Management is a capability which will allow the Operator, Service Provider and/or UE Manufacturer to remotely manage User Equipment.

1 3GPP Work Area

	Radio Access
	Core Network
X	Services (SA1, SA5, SA3)
X	Terminal (T2, T3)

2 Linked work items

The WIs listed below bear certain relevance with the proposed UEM. However, the UEM WI being just a feasibility study in Release 5, there will be no factual impact of UEM to these WIs.

- MExE enhancements: 22.057 (SA1) and 23.057 (T2)
- (U)SIM Toolkit enhancements (T3)
- Security issues (SA3)
- Services requirements (SA1)
- User Profile (SA?) (WI to be proposed)

3 Justification

The capabilities of the user equipment in 3G are becoming and will continue to become ever more sophisticated and integrated (high definition colour screens, faster processors, built in cameras, integrated media players etc.). The sophisticated capabilities of 3G User Equipment will require a flexible means to support management of the UE satisfying the end-customers, service providers, network operators and UE manufacturers' need. To progress this new management capability in an efficient manner, a feasibility study is proposed.

4 Objective

In order to facilitate a timely introduction of new User Equipment Management feature to the post-Rel5 UMTS, SA5 (the primary lead) and T2 (the secondary lead) will lead a feasibility study of UE management. Listed below are examples of possible UEM capabilities that may be included in the feasibility study.

- Terminal Status Query
- Terminal Diagnostics
- Terminal Configuration
- Terminal Patch Download

- Terminal Image Download

As a part of this feasibility study, certain UEM capabilities utilising already existing available Rel5 capabilities may actually be included in Rel5 delivery provided fitting the Release 5 time frame.

Under this WI, a Rel5 Technical Report will be generated by SA5 with T2's assistance in which a comprehensive work plan for UEM as a post-Rel5 feature will be presented. To conduct this task, the lead groups (SA5 and T2) will consolidate inputs on relevant subject matters from the respective expert groups such as SA1, SA3, SA5, T2, and T3 in any effective manners (e.g., through joint meetings, etc.).

5 Service Aspects

Will be studied and clarified in the TR.

6 MMI-Aspects

Will be studied and clarified in the TR.

7 Charging Aspects

Will be studied and clarified in the TR.

8 Security Aspects

Will be studied and clarified in the TR.

9 Impacts

Affects:	USIM	ME	AN	CN	Others
Yes	(X)	(X)		(X)	
No			X		
Don't know					

10 Expected Output and Time scale (to be updated at each plenary)

New specifications						
Spec No.	Title	Prime resp. WG	2ndary resp. WG(s)	Presented for information at plenary#	Approved at plenary#	Comments
32.xyz (TR)	TBD	SA5	T2	TSG#14 (12/01)	TSG#15 (03/02)	Release 5
Affected existing specifications						
Spec No.	CR	Subject		Approved at plenary#	Comments	
32.101				TSG#15 (03/02)	If applicable	
32.102				TSG#15 (03/02)	If applicable	

11 Work item rapporteurs

John MUDGE (Vodafone Group) [john.mudge@vf.vodafone.co.uk]

12 Work item leadership

SA5 (primary), T2 (secondary)

13 Supporting Companies

Vodafone Group, Motorola, VoiceStream, Telia, France Telecom, BT, Mannesmann MobilFunk, Sonera, Bouygues Telecom, Hutchison 3G, Samsung Electronics, Materna GmbH..

14 Classification of the WI (if known)

X	Feature (go to 14a)
	Building Block (go to 14b)
	Work Task (go to 14c)

14a The WI is a **Feature**: List of **Building Blocks** under this **Feature**

- **OAM-AR** Principles, high level Requirements and Architecture – (SA5) (WT: UE Management Feasibility Analysis)