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# Contents

|                                                    |    |
|----------------------------------------------------|----|
| Intellectual Property Rights .....                 | 2  |
| Foreword.....                                      | 2  |
| Modal verbs terminology.....                       | 2  |
| Foreword.....                                      | 9  |
| 1 Scope .....                                      | 10 |
| 2 References .....                                 | 10 |
| 3 Definitions, symbols and abbreviations .....     | 11 |
| 3.1 Definitions .....                              | 11 |
| 3.2 Abbreviations .....                            | 11 |
| 4 General .....                                    | 12 |
| 4.1 Procedure specification principles.....        | 12 |
| 4.2 Forwards and backwards compatibility .....     | 12 |
| 4.3 Specification notations .....                  | 12 |
| 5 XnAP services .....                              | 13 |
| 5.1 XnAP procedure modules .....                   | 13 |
| 5.2 Parallel transactions.....                     | 13 |
| 6 Services expected from signalling transport..... | 13 |
| 7 Functions of XnAP.....                           | 13 |
| 8 XnAP procedures .....                            | 13 |
| 8.1 Elementary procedures .....                    | 13 |
| 8.2 Basic mobility procedures .....                | 16 |
| 8.2.1 Handover Preparation .....                   | 16 |
| 8.2.1.1 General .....                              | 16 |
| 8.2.1.2 Successful Operation.....                  | 16 |
| 8.2.1.3 Unsuccessful Operation .....               | 18 |
| 8.2.1.4 Abnormal Conditions .....                  | 18 |
| 8.2.2 SN Status Transfer .....                     | 18 |
| 8.2.2.1 General .....                              | 18 |
| 8.2.2.2 Successful Operation.....                  | 19 |
| 8.2.2.3 Unsuccessful Operation .....               | 19 |
| 8.2.2.4 Abnormal Conditions .....                  | 19 |
| 8.2.3 Handover Cancel .....                        | 19 |
| 8.2.3.1 General .....                              | 19 |
| 8.2.3.2 Successful Operation.....                  | 19 |
| 8.2.3.3 Unsuccessful Operation .....               | 19 |
| 8.2.3.4 Abnormal Conditions .....                  | 19 |
| 8.2.4 Retrieve UE Context.....                     | 20 |
| 8.2.4.1 General .....                              | 20 |
| 8.2.4.2 Successful Operation.....                  | 20 |
| 8.2.4.3 Unsuccessful Operation .....               | 20 |
| 8.2.4.4 Abnormal Conditions .....                  | 21 |
| 8.2.5 RAN Paging.....                              | 21 |
| 8.2.5.1 General .....                              | 21 |
| 8.2.5.2 Successful operation.....                  | 21 |
| 8.2.5.3 Unsuccessful Operation .....               | 21 |
| 8.2.5.4 Abnormal Condition.....                    | 21 |
| 8.2.6 Data Forwarding Address Indication .....     | 21 |
| 8.2.6.1 General .....                              | 21 |
| 8.2.6.2 Successful Operation.....                  | 22 |
| 8.2.6.3 Unsuccessful Operation .....               | 22 |
| 8.2.6.4 Abnormal Conditions .....                  | 22 |
| 8.2.7 UE Context Release .....                     | 22 |

|          |                                                                      |    |
|----------|----------------------------------------------------------------------|----|
| 8.2.7.1  | General .....                                                        | 22 |
| 8.2.7.2  | Successful Operation.....                                            | 22 |
| 8.2.7.3  | Unsuccessful Operation .....                                         | 23 |
| 8.2.7.4  | Abnormal Conditions .....                                            | 23 |
| 8.3      | Procedures for Dual Connectivity .....                               | 23 |
| 8.3.1    | S-NG-RAN node Addition Preparation .....                             | 23 |
| 8.3.1.1  | General .....                                                        | 23 |
| 8.3.1.2  | Successful Operation.....                                            | 23 |
| 8.3.1.3  | Unsuccessful Operation .....                                         | 24 |
| 8.3.1.4  | Abnormal Conditions .....                                            | 25 |
| 8.3.2    | S-NG-RAN node Reconfiguration Completion.....                        | 25 |
| 8.3.2.1  | General .....                                                        | 25 |
| 8.3.2.2  | Successful Operation.....                                            | 25 |
| 8.3.2.3  | Abnormal Conditions .....                                            | 25 |
| 8.3.3    | M-NG-RAN node initiated S-NG-RAN node Modification Preparation ..... | 25 |
| 8.3.3.1  | General .....                                                        | 25 |
| 8.3.3.2  | Successful Operation.....                                            | 26 |
| 8.3.3.3  | Unsuccessful Operation .....                                         | 28 |
| 8.3.3.4  | Abnormal Conditions .....                                            | 28 |
| 8.3.4    | S-NG-RAN node initiated S-NG-RAN node Modification .....             | 28 |
| 8.3.4.1  | General .....                                                        | 28 |
| 8.3.4.2  | Successful Operation.....                                            | 29 |
| 8.3.4.3  | Unsuccessful Operation .....                                         | 29 |
| 8.3.4.4  | Abnormal Conditions .....                                            | 29 |
| 8.3.5    | S-NG-RAN node initiated S-NG-RAN node Change.....                    | 30 |
| 8.3.5.1  | General .....                                                        | 30 |
| 8.3.5.2  | Successful Operation.....                                            | 30 |
| 8.3.5.3  | Unsuccessful Operation .....                                         | 30 |
| 8.3.5.4  | Abnormal Conditions .....                                            | 31 |
| 8.3.6    | M-NG-RAN node initiated S-NG-RAN node Release .....                  | 31 |
| 8.3.6.1  | General .....                                                        | 31 |
| 8.3.6.2  | Successful Operation.....                                            | 31 |
| 8.3.6.3  | Unsuccessful Operation .....                                         | 32 |
| 8.3.6.4  | Abnormal Conditions .....                                            | 32 |
| 8.3.7    | S-NG-RAN node initiated S-NG-RAN node Release .....                  | 32 |
| 8.3.7.1  | General .....                                                        | 32 |
| 8.3.7.2  | Successful Operation.....                                            | 32 |
| 8.3.7.3  | Unsuccessful Operation .....                                         | 32 |
| 8.3.7.4  | Abnormal Conditions .....                                            | 33 |
| 8.3.8    | S-NG-RAN node Counter Check.....                                     | 33 |
| 8.3.8.1  | General .....                                                        | 33 |
| 8.3.8.2  | Successful Operation.....                                            | 33 |
| 8.3.8.3  | Unsuccessful Operation .....                                         | 33 |
| 8.3.8.4  | Abnormal Conditions .....                                            | 33 |
| 8.3.9    | RRC Transfer.....                                                    | 33 |
| 8.3.9.1  | General .....                                                        | 33 |
| 8.3.9.2  | Successful Operation.....                                            | 34 |
| 8.3.9.3  | Unsuccessful Operation .....                                         | 34 |
| 8.3.9.4  | Abnormal Conditions .....                                            | 34 |
| 8.3.10   | Notification Control Indication.....                                 | 34 |
| 8.3.10.1 | General .....                                                        | 34 |
| 8.3.10.2 | Successful Operation – M-NG-RAN node initiated.....                  | 34 |
| 8.3.10.3 | Successful Operation – S-NG-RAN node initiated .....                 | 35 |
| 8.3.10.4 | Abnormal Conditions .....                                            | 35 |
| 8.3.11   | Activity Notification .....                                          | 35 |
| 8.3.11.1 | General .....                                                        | 35 |
| 8.3.11.2 | Successful Operation.....                                            | 35 |
| 8.3.11.3 | Abnormal Conditions .....                                            | 36 |
| 8.3.12   | E-UTRA – NR Cell Resource Coordination.....                          | 36 |
| 8.3.12.1 | General .....                                                        | 36 |
| 8.3.12.2 | Successful Operation.....                                            | 36 |
| 8.4      | Global procedures.....                                               | 37 |

|          |                                                 |    |
|----------|-------------------------------------------------|----|
| 8.4.1    | Xn Setup .....                                  | 37 |
| 8.4.1.1  | General .....                                   | 37 |
| 8.4.1.2  | Successful Operation.....                       | 37 |
| 8.4.1.3  | Unsuccessful Operation .....                    | 38 |
| 8.4.1.4  | Abnormal Conditions .....                       | 38 |
| 8.4.2    | NG-RAN node Configuration Update .....          | 38 |
| 8.4.2.1  | General .....                                   | 38 |
| 8.4.2.2  | Successful Operation.....                       | 38 |
| 8.4.2.3  | Unsuccessful Operation .....                    | 39 |
| 8.4.2.4  | Abnormal Conditions .....                       | 40 |
| 8.4.3    | Cell Activation.....                            | 40 |
| 8.4.3.1  | General .....                                   | 40 |
| 8.4.3.2  | Successful Operation.....                       | 40 |
| 8.4.3.3  | Unsuccessful Operation .....                    | 40 |
| 8.4.3.4  | Abnormal Conditions .....                       | 41 |
| 8.4.4    | Reset .....                                     | 41 |
| 8.4.4.1  | General .....                                   | 41 |
| 8.4.4.2  | Successful Operation.....                       | 41 |
| 8.4.4.3  | Unsuccessful Operation .....                    | 42 |
| 8.4.4.4  | Abnormal Conditions .....                       | 42 |
| 8.4.5    | Error Indication.....                           | 42 |
| 8.4.5.1  | General .....                                   | 42 |
| 8.4.5.2  | Successful Operation.....                       | 42 |
| 8.4.5.3  | Unsuccessful Operation .....                    | 42 |
| 8.4.5.4  | Abnormal Conditions .....                       | 42 |
| 8.4.6    | Xn Removal.....                                 | 43 |
| 8.4.6.1  | General .....                                   | 43 |
| 8.4.6.2  | Successful Operation.....                       | 43 |
| 8.4.6.3  | Unsuccessful Operation .....                    | 43 |
| 8.4.6.4  | Abnormal Conditions .....                       | 43 |
| 9        | Elements for XnAP Communication.....            | 44 |
| 9.0      | General .....                                   | 44 |
| 9.1      | Message Functional Definition and Content ..... | 44 |
| 9.1.1    | Messages for Basic Mobility Procedures.....     | 44 |
| 9.1.1.1  | HANDOVER REQUEST .....                          | 44 |
| 9.1.1.2  | HANDOVER REQUEST ACKNOWLEDGE.....               | 46 |
| 9.1.1.3  | HANDOVER PREPARATION FAILURE .....              | 46 |
| 9.1.1.4  | SN STATUS TRANSFER .....                        | 46 |
| 9.1.1.5  | UE CONTEXT RELEASE .....                        | 47 |
| 9.1.1.6  | HANDOVER CANCEL .....                           | 47 |
| 9.1.1.7  | RAN PAGING .....                                | 47 |
| 9.1.1.8  | RETRIEVE UE CONTEXT REQUEST.....                | 48 |
| 9.1.1.9  | RETRIEVE UE CONTEXT RESPONSE.....               | 49 |
| 9.1.1.10 | RETRIEVE UE CONTEXT FAILURE.....                | 50 |
| 9.1.1.11 | DATA FORWARDING ADDRESS INDICATION .....        | 50 |
| 9.1.2    | Messages for Dual Connectivity Procedures ..... | 51 |
| 9.1.2.1  | S-NODE ADDITION REQUEST .....                   | 51 |
| 9.1.2.2  | S-NODE ADDITION REQUEST ACKNOWLEDGE .....       | 53 |
| 9.1.2.3  | S-NODE ADDITION REQUEST REJECT.....             | 55 |
| 9.1.2.4  | S-NODE RECONFIGURATION COMPLETE .....           | 55 |
| 9.1.2.5  | S-NODE MODIFICATION REQUEST .....               | 56 |
| 9.1.2.6  | S-NODE MODIFICATION REQUEST ACKNOWLEDGE .....   | 59 |
| 9.1.2.7  | S-NODE MODIFICATION REQUEST REJECT .....        | 62 |
| 9.1.2.8  | S-NODE MODIFICATION REQUIRED.....               | 63 |
| 9.1.2.9  | S-NODE MODIFICATION CONFIRM.....                | 65 |
| 9.1.2.10 | S-NODE MODIFICATION REFUSE .....                | 67 |
| 9.1.2.11 | S-NODE CHANGE REQUIRED .....                    | 67 |
| 9.1.2.12 | S-NODE CHANGE CONFIRM .....                     | 68 |
| 9.1.2.13 | S-NODE CHANGE REFUSE.....                       | 69 |
| 9.1.2.14 | S-NODE RELEASE REQUEST.....                     | 69 |
| 9.1.2.15 | S-NODE RELEASE REQUEST ACKNOWLEDGE .....        | 71 |

|          |                                                                       |     |
|----------|-----------------------------------------------------------------------|-----|
| 9.1.2.16 | S-NODE RELEASE REJECT .....                                           | 71  |
| 9.1.2.17 | S-NODE RELEASE REQUIRED .....                                         | 71  |
| 9.1.2.18 | S-NODE RELEASE CONFIRM .....                                          | 72  |
| 9.1.2.19 | S-NODE COUNTER CHECK REQUEST .....                                    | 72  |
| 9.1.2.20 | RRC TRANSFER .....                                                    | 73  |
| 9.1.2.21 | NOTIFICATION CONTROL INDICATION .....                                 | 74  |
| 9.1.2.22 | ACTIVITY NOTIFICATION .....                                           | 75  |
| 9.1.2.23 | E-UTRA – NR CELL RESOURCE COORDINATION REQUEST .....                  | 75  |
| 9.1.2.24 | E-UTRA – NR CELL RESOURCE COORDINATION RESPONSE .....                 | 76  |
| 9.1.3    | Messages for Global Procedures .....                                  | 77  |
| 9.1.3.1  | XN SETUP REQUEST .....                                                | 77  |
| 9.1.3.2  | XN SETUP RESPONSE .....                                               | 78  |
| 9.1.3.3  | XN SETUP FAILURE .....                                                | 79  |
| 9.1.3.4  | NG-RAN NODE CONFIGURATION UPDATE .....                                | 79  |
| 9.1.3.5  | NG-RAN NODE CONFIGURATION UPDATE ACKNOWLEDGE .....                    | 80  |
| 9.1.3.6  | NG-RAN NODE CONFIGURATION UPDATE FAILURE .....                        | 80  |
| 9.1.3.7  | CELL ACTIVATION REQUEST .....                                         | 81  |
| 9.1.3.8  | CELL ACTIVATION RESPONSE .....                                        | 81  |
| 9.1.3.9  | CELL ACTIVATION FAILURE .....                                         | 82  |
| 9.1.3.10 | RESET REQUEST .....                                                   | 82  |
| 9.1.3.11 | RESET RESPONSE .....                                                  | 83  |
| 9.1.3.12 | ERROR INDICATION .....                                                | 83  |
| 9.1.3.13 | XN REMOVAL REQUEST .....                                              | 84  |
| 9.1.3.14 | XN REMOVAL RESPONSE .....                                             | 84  |
| 9.1.3.15 | XN REMOVAL FAILURE .....                                              | 84  |
| 9.2      | Information Element definitions .....                                 | 85  |
| 9.2.0    | General .....                                                         | 85  |
| 9.2.1    | Container and List IE definitions .....                               | 85  |
| 9.2.1.1  | PDU Session Resources To Be Setup List .....                          | 85  |
| 9.2.1.2  | PDU Session Resources Admitted List .....                             | 86  |
| 9.2.1.3  | PDU Session Resources Not Admitted List .....                         | 86  |
| 9.2.1.4  | QoS Flow List with Cause .....                                        | 87  |
| 9.2.1.5  | PDU Session Resource Setup Info – SN terminated .....                 | 87  |
| 9.2.1.6  | PDU Session Resource Setup Response Info – SN terminated .....        | 87  |
| 9.2.1.7  | PDU Session Resource Setup Info – MN terminated .....                 | 89  |
| 9.2.1.8  | PDU Session Resource Setup Response Info – MN terminated .....        | 89  |
| 9.2.1.9  | PDU Session Resource Modification Info – SN terminated .....          | 90  |
| 9.2.1.10 | PDU Session Resource Modification Response Info – SN terminated ..... | 92  |
| 9.2.1.11 | PDU Session Resource Modification Info – MN terminated .....          | 94  |
| 9.2.1.12 | PDU Session Resource Modification Response Info – MN terminated ..... | 96  |
| 9.2.1.13 | UE Context Information Retrieve UE Context Response .....             | 96  |
| 9.2.1.14 | DRBs Subject To Status Transfer List .....                            | 97  |
| 9.2.1.15 | DRB to QoS Flow Mapping List .....                                    | 99  |
| 9.2.1.16 | Data Forwarding Info from target NG-RAN node .....                    | 99  |
| 9.2.1.17 | Data Forwarding Request List .....                                    | 99  |
| 9.2.1.18 | PDU Session Resource Change Required Info – SN terminated .....       | 100 |
| 9.2.1.19 | PDU Session Resource Change Confirm Info – SN terminated .....        | 100 |
| 9.2.1.20 | PDU Session Modification Required Info – SN terminated .....          | 100 |
| 9.2.1.21 | PDU Session Modification Confirm Info – SN terminated .....           | 102 |
| 9.2.1.22 | PDU Session Modification Required Info – MN terminated .....          | 102 |
| 9.2.1.23 | PDU Session Modification Confirm Info – MN terminated .....           | 103 |
| 9.2.1.24 | PDU Session List with data forwarding request info .....              | 103 |
| 9.2.1.25 | PDU Session List with data forwarding info from the target node ..... | 103 |
| 9.2.1.26 | PDU Session List with Cause .....                                     | 104 |
| 9.2.1.27 | PDU Session List .....                                                | 104 |
| 9.2.1.28 | DRB List with Cause .....                                             | 104 |
| 9.2.1.29 | DRB List .....                                                        | 105 |
| 9.2.2    | NG-RAN Node and Cell Configuration related IE definitions .....       | 105 |
| 9.2.2.1  | Global gNB ID .....                                                   | 105 |
| 9.2.2.2  | Global ng-eNB ID .....                                                | 105 |
| 9.2.2.3  | Global NG-RAN Node ID .....                                           | 106 |
| 9.2.2.4  | PLMN Identity .....                                                   | 106 |



|          |                                                |     |
|----------|------------------------------------------------|-----|
| 9.2.2.5  | TAC.....                                       | 106 |
| 9.2.2.6  | RAN Area Code .....                            | 106 |
| 9.2.2.7  | NR CGI .....                                   | 106 |
| 9.2.2.8  | E-UTRA CGI .....                               | 107 |
| 9.2.2.9  | NG-RAN Cell Identity .....                     | 107 |
| 9.2.2.10 | NG-RAN Cell PCI .....                          | 107 |
| 9.2.2.11 | Served Cell Information NR .....               | 107 |
| 9.2.2.12 | Served Cell Information E-UTRA .....           | 108 |
| 9.2.2.13 | Neighbour Information NR .....                 | 110 |
| 9.2.2.14 | Neighbour Information E-UTRA .....             | 111 |
| 9.2.2.15 | Served Cells To Update NR.....                 | 111 |
| 9.2.2.16 | Served Cells to Update E-UTRA .....            | 112 |
| 9.2.2.17 | Cell Assistance Information NR .....           | 113 |
| 9.2.2.18 | SUL Information .....                          | 113 |
| 9.2.2.19 | NR Frequency Info.....                         | 114 |
| 9.2.2.20 | NR Transmission Bandwidth .....                | 115 |
| 9.2.2.21 | E-UTRA ARFCN.....                              | 115 |
| 9.2.2.22 | E-UTRA Transmission Bandwidth .....            | 115 |
| 9.2.2.23 | Number of Antenna Ports E-UTRA .....           | 115 |
| 9.2.2.24 | E-UTRA Multiband Info List.....                | 116 |
| 9.2.2.25 | E-UTRA PRACH Configuration .....               | 116 |
| 9.2.2.26 | MBSFN Subframe Allocation E-UTRA .....         | 116 |
| 9.2.2.27 | Global NG-RAN Cell Identity .....              | 116 |
| 9.2.2.28 | Connectivity Support .....                     | 116 |
| 9.2.2.29 | Protected E-UTRA Resource Indication .....     | 117 |
| 9.2.2.30 | Data Traffic Resource Indication .....         | 119 |
| 9.2.2.31 | Data Traffic Resources.....                    | 119 |
| 9.2.2.32 | Reserved Subframe Pattern .....                | 120 |
| 9.2.3    | General IE definitions .....                   | 121 |
| 9.2.3.1  | Message Type .....                             | 121 |
| 9.2.3.2  | Cause.....                                     | 121 |
| 9.2.3.3  | Criticality Diagnostics.....                   | 126 |
| 9.2.3.4  | Bit Rate .....                                 | 127 |
| 9.2.3.5  | QoS Flow Level QoS Parameters.....             | 127 |
| 9.2.3.6  | GBR QoS Flow Information .....                 | 128 |
| 9.2.3.7  | Allocation and Retention Priority .....        | 128 |
| 9.2.3.8  | Non dynamic 5QI Descriptor.....                | 129 |
| 9.2.3.9  | Dynamic 5QI Descriptor .....                   | 130 |
| 9.2.3.10 | QoS Flow Indicator .....                       | 130 |
| 9.2.3.11 | Packet Loss Rate .....                         | 130 |
| 9.2.3.12 | Packet Delay Budget .....                      | 130 |
| 9.2.3.13 | Packet Error Rate .....                        | 131 |
| 9.2.3.14 | Averaging Window .....                         | 131 |
| 9.2.3.15 | Maximum Data Burst Volume .....                | 131 |
| 9.2.3.16 | NG-RAN node UE XnAP ID .....                   | 131 |
| 9.2.3.17 | UE Aggregate Maximum Bit Rate .....            | 131 |
| 9.2.3.18 | PDU Session ID .....                           | 131 |
| 9.2.3.19 | PDU Session Type .....                         | 132 |
| 9.2.3.20 | TAI Support List .....                         | 132 |
| 9.2.3.21 | S-NSSAI .....                                  | 132 |
| 9.2.3.22 | Slice Support List.....                        | 132 |
| 9.2.3.23 | Index to RAT/Frequency Selection Priority..... | 133 |
| 9.2.3.24 | GUAMI .....                                    | 133 |
| 9.2.3.25 | Target Cell Global ID.....                     | 133 |
| 9.2.3.26 | AMF UE NGAP ID.....                            | 133 |
| 9.2.3.27 | SCG Configuration Query.....                   | 133 |
| 9.2.3.28 | RLC Mode.....                                  | 133 |
| 9.2.3.29 | Transport Layer Address.....                   | 134 |
| 9.2.3.30 | UP Transport Layer Information.....            | 134 |
| 9.2.3.31 | CP Transport Layer Information .....           | 134 |
| 9.2.3.32 | Masked IMEISV .....                            | 134 |
| 9.2.3.33 | DRB ID .....                                   | 134 |



|                               |                                                                   |            |
|-------------------------------|-------------------------------------------------------------------|------------|
| 9.2.3.34                      | DL Forwarding.....                                                | 135        |
| 9.2.3.35                      | Data Forwarding Accepted.....                                     | 135        |
| 9.2.3.36                      | COUNT Value for PDCP SN Length 12.....                            | 135        |
| 9.2.3.37                      | COUNT Value for PDCP SN Length 18.....                            | 135        |
| 9.2.3.38                      | RAN Paging Area .....                                             | 135        |
| 9.2.3.39                      | RAN Area ID .....                                                 | 136        |
| 9.2.3.40                      | UE Context ID .....                                               | 136        |
| 9.2.3.41                      | Assistance Data for RAN Paging .....                              | 136        |
| 9.2.3.42                      | RAN Paging Attempt Information .....                              | 137        |
| 9.2.3.43                      | UE RAN Paging Identity .....                                      | 137        |
| 9.2.3.44                      | Paging Priority .....                                             | 137        |
| 9.2.3.45                      | Delivery Status .....                                             | 137        |
| 9.2.3.46                      | I-RNTI.....                                                       | 138        |
| 9.2.3.47                      | Location Reporting Information.....                               | 138        |
| 9.2.3.48                      | Area of Interest.....                                             | 138        |
| 9.2.3.49                      | UE Security Capabilities .....                                    | 139        |
| 9.2.3.50                      | AS Security Information .....                                     | 139        |
| 9.2.3.51                      | S-NG-RAN node Security Key .....                                  | 140        |
| 9.2.3.52                      | Security Indication .....                                         | 140        |
| 9.2.3.53                      | Mobility Restriction List .....                                   | 140        |
| 9.2.3.54                      | Xn Benefit Value .....                                            | 141        |
| 9.2.3.55                      | Trace Activation.....                                             | 142        |
| 9.2.3.56                      | Time To Wait.....                                                 | 142        |
| 9.2.3.57                      | QoS Flow Notification Control Indication Info .....               | 142        |
| 9.2.3.58                      | Location Reporting Reference ID .....                             | 143        |
| 9.2.3.59                      | User plane traffic activity report .....                          | 143        |
| 9.2.3.60                      | Lower Layer presence status change.....                           | 143        |
| 9.2.3.61                      | RRC Resume Cause .....                                            | 143        |
| 9.2.3.62                      | Priority Level .....                                              | 144        |
| 9.2.3.63                      | PDCP SN Length .....                                              | 144        |
| 9.2.3.64                      | UE History Information .....                                      | 144        |
| 9.2.3.65                      | Last Visited Cell Information.....                                | 144        |
| 9.2.3.66                      | Paging DRX .....                                                  | 144        |
| 9.2.3.67                      | Security Result .....                                             | 145        |
| 9.2.3.68                      | UE Context Kept Indicator.....                                    | 145        |
| 9.2.3.69                      | PDU Session Aggregate Maximum Bit Rate .....                      | 145        |
| 9.2.3.70                      | LCID .....                                                        | 145        |
| 9.2.3.71                      | Duplication activation .....                                      | 145        |
| 9.2.3.72                      | RRC Config Indication.....                                        | 146        |
| 9.2.3.73                      | Maximum Integrity Protected Data Rate.....                        | 146        |
| 9.2.3.74                      | PDCP Change Indication .....                                      | 146        |
| 9.3                           | Message and Information Element Abstract Syntax (with ASN.1)..... | 147        |
| 9.3.1                         | General.....                                                      | 147        |
| 9.3.2                         | Usage of Private Message Mechanism for Non-standard Use .....     | 147        |
| 9.3.3                         | Elementary Procedure Definitions .....                            | 148        |
| 9.3.4                         | PDU Definitions .....                                             | 155        |
| 9.3.5                         | Information Element definitions .....                             | 191        |
| 9.3.6                         | Common definitions .....                                          | 245        |
| 9.3.7                         | Constant definitions .....                                        | 246        |
| 9.3.8                         | Container definitions.....                                        | 250        |
| 9.4                           | Message transfer syntax .....                                     | 255        |
| 9.5                           | Timers .....                                                      | 255        |
| 10                            | Handling of unknown, unforeseen and erroneous protocol data ..... | 255        |
| <b>Annex A (informative):</b> | <b>Change history .....</b>                                       | <b>256</b> |
| History .....                 |                                                                   | 257        |

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# Foreword

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

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# 1 Scope

The present document specifies the radio network layer signalling procedures of the control plane between NG-RAN nodes in NG-RAN. XnAP supports the functions of the Xn interface by signalling procedures defined in this document. XnAP is developed in accordance to the general principles stated in TS 38.401 [2] and TS 38.420 [3].

# 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 38.401: "NG-RAN; Architecture Description".
- [3] 3GPP TS 38.420: "NG-RAN; Xn General Aspects and Principles".
- [4] 3GPP TS 38.422: "NG-RAN; Xn Signalling Transport".
- [5] 3GPP TS 38.413: "NG-RAN; NG Application Protocol (NGAP)".
- [6] 3GPP TS 25.921: "Guidelines and principles for protocol description and error handling".
- [7] 3GPP TS 23.501: "System Architecture for the 5G System".
- [8] 3GPP TS 37.340: "Evolved Universal Terrestrial Radio Access (E-UTRA) and NR; Multi-connectivity; Stage 2".
- [9] 3GPP TS 38.300: "NR; NR and NG-RAN Overall Description; Stage 2".
- [10] 3GPP TS 38.331: "NR; Radio Resource Control (RRC) Protocol specification".
- [11] 3GPP TS 38.323: "NR; Packet Data Convergence Protocol (PDCP) specification".
- [12] 3GPP TS 36.300: "Evolved Universal Terrestrial Radio Access (E-UTRA) and Evolved Universal Terrestrial Radio Access Network (E-UTRAN); Overall description; Stage 2".
- [13] 3GPP TS 23.502: "Procedures for the 5G System; Stage 2".
- [14] 3GPP TS 36.331: "Evolved Universal Terrestrial Radio Access (E-UTRA); Radio Resource Control (RRC) protocol specification".
- [15] ITU-T Recommendation X.691 (2002-07): "Information technology - ASN.1 encoding rules - Specification of Packed Encoding Rules (PER)".
- [16] ITU-T Recommendation X.680 (2002-07): "Information technology – Abstract Syntax Notation One (ASN.1): Specification of basic notation".
- [17] ITU-T Recommendation X.681 (2002-07): "Information technology – Abstract Syntax Notation One (ASN.1): Information object specification".
- [18] 3GPP TS 29.281: "General Packet Radio Service (GPRS); Tunnelling Protocol User Plane (GTPv1-U)".
- [19] 3GPP TS 38.424: "NG-RAN; Xn data transport".

- [20] 3GPP TS 38.414: "NG-RAN; NG data transport".
- [21] 3GPP TS 38.412: "NG-RAN; NG Signalling Transport".
- [22] 3GPP TS 23.003: "Numbering, Addressing and Identification".
- [23] 3GPP TS 32.422: "Trace control and configuration management".
- [24] 3GPP TS 38.104: "NR; Base Station (BS) radio transmission and reception".
- [25] 3GPP TS 36.104: "Base Station (BS) radio transmission and reception".
- [26] 3GPP TS 36.211: "Evolved Universal Terrestrial Radio Access (E-UTRA); Physical Channels and Modulation".
- [27] 3GPP TS 36.101: "User Equipment (UE) radio transmission and reception".
- [28] 3GPP TS 33.501: "Security architecture and procedures for 5G System".
- [29] 3GPP TS 33.401: "3GPP System Architecture Evolution (SAE); Security architecture".
- [30] 3GPP TS 24.501: "Non-Access-Stratum (NAS) protocol for 5G System (5GS); Stage 3".
- [31] 3GPP TS 36.413: "Evolved Universal Terrestrial Radio Access Network (E-UTRAN); S1 Application Protocol (S1AP)".
- [32] 3GPP TS 25.413: "UTRAN Iu interface RANAP signalling".
- [33] 3GPP TS 38.304: "NR; User Equipment (UE) procedures in Idle mode and RRC Inactive state".

## 3 Definitions, symbols and abbreviations

### 3.1 Definitions

For the purposes of the present document, the terms and definitions given in 3GPP TR 21.905 [1] and the following apply. A term defined in the present document takes precedence over the definition of the same term, if any, in 3GPP TR 21.905 [1].

**Elementary Procedure:** XnAP protocol consists of Elementary Procedures (EPs). An XnAP Elementary Procedure is a unit of interaction between two NG-RAN nodes. An EP consists of an initiating message and possibly a response message. Two kinds of EPs are used:

- **Class 1:** Elementary Procedures with response (success or failure),
- **Class 2:** Elementary Procedures without response.

**NG-RAN node:** as defined in TS 38.300 [9].

**PDU Session Resource:** As defined in TS 38.401 [2].

### 3.2 Abbreviations

For the purposes of the present document, the abbreviations given in 3GPP TR 21.905 [1] and the following apply. An abbreviation defined in the present document takes precedence over the definition of the same abbreviation, if any, in 3GPP TR 21.905 [1].

|       |                                         |
|-------|-----------------------------------------|
| 5QI   | 5G QoS Identifier                       |
| AMF   | Access and Mobility Management Function |
| CGI   | Cell Global Identifier                  |
| CP    | Control Plane                           |
| DL    | Downlink                                |
| EN-DC | E-UTRA-NR Dual Connectivity             |

|               |                                                                             |
|---------------|-----------------------------------------------------------------------------|
| E-RAB         | E-UTRAN Radio Access Bearer                                                 |
| GUAMI         | Globally Unique AMF Identifier                                              |
| IMEISV        | International Mobile station Equipment Identity and Software Version number |
| MCG           | Master Cell Group                                                           |
| M-NG-RAN node | Master NG-RAN node                                                          |
| NGAP          | NG Application Protocol                                                     |
| NSSAI         | Network Slice Selection Assistance Information                              |
| RANAC         | RAN Area Code                                                               |
| SCG           | Secondary Cell Group                                                        |
| SCTP          | Stream Control Transmission Protocol                                        |
| S-NG-RAN node | Secondary NG-RAN node                                                       |
| S-NSSAI       | Single Network Slice Selection Assistance Information                       |
| SUL           | Supplementary Uplink                                                        |
| TAC           | Tracking Area Code                                                          |
| TAI           | Tracking Area Identity                                                      |
| UL            | Uplink                                                                      |
| UPF           | User Plane Function                                                         |

## 4 General

### 4.1 Procedure specification principles

The principle for specifying the procedure logic is to specify the functional behaviour of the terminating NG-RAN node exactly and completely. Any rule that specifies the behaviour of the originating NG-RAN node shall be possible to be verified with information that is visible within the system.

The following specification principles have been applied for the procedure text in clause 8:

- The procedure text discriminates between:

#### 1) Functionality which “shall” be executed

The procedure text indicates that the receiving node “shall” perform a certain function Y under a certain condition. If the receiving node supports procedure X but cannot perform functionality Y requested in the initiating message of a Class 1 EP, the receiving node shall respond with the message used to report unsuccessful outcome for this procedure, containing an appropriate cause value.

#### 2) Functionality which “shall, if supported” be executed

The procedure text indicates that the receiving node “shall, if supported,” perform a certain function Y under a certain condition. If the receiving node supports procedure X, but does not support functionality Y, the receiving node shall proceed with the execution of the EP, possibly informing the requesting node about the not supported functionality.

- Any required inclusion of an optional IE in a response message is explicitly indicated in the procedure text. If the procedure text does not explicitly indicate that an optional IE shall be included in a response message, the optional IE shall not be included. For requirements on including *Criticality Diagnostics* IE, see section 10.

### 4.2 Forwards and backwards compatibility

The forwards and backwards compatibility of the protocol is assured by a mechanism where all current and future messages, and IEs or groups of related IEs, include ID and criticality fields that are coded in a standard format that will not be changed in the future. These parts can always be decoded regardless of the standard version.

### 4.3 Specification notations

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

|           |                                                                                                                                                                                                                                  |
|-----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Procedure | When referring to an elementary procedure in the specification the Procedure Name is written with the first letters in each word in upper case characters followed by the word “procedure”, e.g. Handover Preparation procedure. |
|-----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|