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Contents

Intellectual Property Rights	2
Legal Notice	2
Modal verbs terminology.....	2
Foreword.....	10
1 Scope	11
2 References	11
3 Definitions, symbols and abbreviations	12
3.1 Definitions	12
3.2 Abbreviations	13
4 General	13
4.1 Procedure specification principles.....	13
4.2 Forwards and backwards compatibility	14
4.3 Specification notations	14
5 XnAP services	14
5.1 XnAP procedure modules	14
5.2 Parallel transactions.....	14
6 Services expected from signalling transport.....	14
7 Functions of XnAP.....	15
8 XnAP procedures	15
8.1 Elementary procedures	15
8.2 Basic mobility procedures	17
8.2.1 Handover Preparation	17
8.2.1.1 General	17
8.2.1.2 Successful Operation	17
8.2.1.3 Unsuccessful Operation	20
8.2.1.4 Abnormal Conditions	20
8.2.2 SN Status Transfer	20
8.2.2.1 General	20
8.2.2.2 Successful Operation.....	21
8.2.2.3 Unsuccessful Operation	21
8.2.2.4 Abnormal Conditions	21
8.2.3 Handover Cancel	22
8.2.3.1 General	22
8.2.3.2 Successful Operation.....	22
8.2.3.3 Unsuccessful Operation	22
8.2.3.4 Abnormal Conditions	22
8.2.4 Retrieve UE Context.....	22
8.2.4.1 General	22
8.2.4.2 Successful Operation.....	23
8.2.4.3 Unsuccessful Operation	23
8.2.4.4 Abnormal Conditions	24
8.2.5 RAN Paging.....	24
8.2.5.1 General	24
8.2.5.2 Successful operation.....	24
8.2.5.3 Unsuccessful Operation	24
8.2.5.4 Abnormal Condition.....	24
8.2.6 XN-U Address Indication	24
8.2.6.1 General	24
8.2.6.2 Successful Operation.....	25
8.2.6.3 Unsuccessful Operation	25
8.2.6.4 Abnormal Conditions	25

8.2.7	UE Context Release	26
8.2.7.1	General	26
8.2.7.2	Successful Operation.....	26
8.2.7.3	Unsuccessful Operation	27
8.2.7.4	Abnormal Conditions	27
8.3	Procedures for Dual Connectivity	27
8.3.1	S-NG-RAN node Addition Preparation	27
8.3.1.1	General	27
8.3.1.2	Successful Operation.....	28
8.3.1.3	Unsuccessful Operation	31
8.3.1.4	Abnormal Conditions	31
8.3.2	S-NG-RAN node Reconfiguration Completion.....	32
8.3.2.1	General	32
8.3.2.2	Successful Operation.....	32
8.3.2.3	Abnormal Conditions	32
8.3.3	M-NG-RAN node initiated S-NG-RAN node Modification Preparation	32
8.3.3.1	General	32
8.3.3.2	Successful Operation.....	33
8.3.3.3	Unsuccessful Operation	38
8.3.3.4	Abnormal Conditions	38
8.3.4	S-NG-RAN node initiated S-NG-RAN node Modification	39
8.3.4.1	General	39
8.3.4.2	Successful Operation.....	39
8.3.4.3	Unsuccessful Operation	41
8.3.4.4	Abnormal Conditions	42
8.3.5	S-NG-RAN node initiated S-NG-RAN node Change.....	42
8.3.5.1	General	42
8.3.5.2	Successful Operation.....	43
8.3.5.3	Unsuccessful Operation	43
8.3.5.4	Abnormal Conditions	43
8.3.6	M-NG-RAN node initiated S-NG-RAN node Release	44
8.3.6.1	General	44
8.3.6.2	Successful Operation.....	44
8.3.6.3	Unsuccessful Operation	45
8.3.6.4	Abnormal Conditions	45
8.3.7	S-NG-RAN node initiated S-NG-RAN node Release	45
8.3.7.1	General	45
8.3.7.2	Successful Operation.....	46
8.3.7.3	Unsuccessful Operation	46
8.3.7.4	Abnormal Conditions	46
8.3.8	S-NG-RAN node Counter Check.....	46
8.3.8.1	General	46
8.3.8.2	Successful Operation.....	47
8.3.8.3	Unsuccessful Operation	47
8.3.8.4	Abnormal Conditions	47
8.3.9	RRC Transfer.....	47
8.3.9.1	General	47
8.3.9.2	Successful Operation.....	48
8.3.9.3	Unsuccessful Operation	48
8.3.9.4	Abnormal Conditions	48
8.3.10	Notification Control Indication.....	48
8.3.10.1	General	48
8.3.10.2	Successful Operation – M-NG-RAN node initiated.....	49
8.3.10.3	Successful Operation – S-NG-RAN node initiated	49
8.3.10.4	Abnormal Conditions	49
8.3.11	Activity Notification	49
8.3.11.1	General	49
8.3.11.2	Successful Operation.....	50
8.3.11.3	Abnormal Conditions	50
8.3.12	E-UTRA – NR Cell Resource Coordination.....	50
8.3.12.1	General	50
8.3.12.2	Successful Operation.....	51

8.3.13	Secondary RAT Data Usage Report	52
8.3.13.1	General	52
8.3.13.2	Successful Operation.....	52
8.3.13.3	Unsuccessful Operation	52
8.3.13.4	Abnormal Conditions	52
8.4	Global procedures.....	52
8.4.1	Xn Setup	52
8.4.1.1	General	52
8.4.1.2	Successful Operation.....	53
8.4.1.3	Unsuccessful Operation	54
8.4.1.4	Abnormal Conditions	54
8.4.2	NG-RAN node Configuration Update	54
8.4.2.1	General	54
8.4.2.2	Successful Operation.....	55
8.4.2.3	Unsuccessful Operation	57
8.4.2.4	Abnormal Conditions	57
8.4.3	Cell Activation.....	57
8.4.3.1	General	57
8.4.3.2	Successful Operation.....	57
8.4.3.3	Unsuccessful Operation	58
8.4.3.4	Abnormal Conditions	58
8.4.4	Reset	58
8.4.4.1	General	58
8.4.4.2	Successful Operation.....	59
8.4.4.3	Unsuccessful Operation	59
8.4.4.4	Abnormal Conditions	59
8.4.5	Error Indication.....	60
8.4.5.1	General	60
8.4.5.2	Successful Operation.....	60
8.4.5.3	Unsuccessful Operation	60
8.4.5.4	Abnormal Conditions	60
8.4.6	Xn Removal.....	60
8.4.6.1	General	60
8.4.6.2	Successful Operation.....	61
8.4.6.3	Unsuccessful Operation	61
8.4.6.4	Abnormal Conditions	61
9	Elements for XnAP Communication.....	62
9.0	General	62
9.1	Message Functional Definition and Content	62
9.1.1	Messages for Basic Mobility Procedures.....	62
9.1.1.1	HANDOVER REQUEST	62
9.1.1.2	HANDOVER REQUEST ACKNOWLEDGE.....	64
9.1.1.3	HANDOVER PREPARATION FAILURE	65
9.1.1.4	SN STATUS TRANSFER	65
9.1.1.5	UE CONTEXT RELEASE	66
9.1.1.6	HANDOVER CANCEL	66
9.1.1.7	RAN PAGING	67
9.1.1.8	RETRIEVE UE CONTEXT REQUEST.....	67
9.1.1.9	RETRIEVE UE CONTEXT RESPONSE.....	68
9.1.1.10	RETRIEVE UE CONTEXT FAILURE.....	69
9.1.1.11	XN-U ADDRESS INDICATION	69
9.1.2	Messages for Dual Connectivity Procedures	70
9.1.2.1	S-NODE ADDITION REQUEST.....	70
9.1.2.2	S-NODE ADDITION REQUEST ACKNOWLEDGE	73
9.1.2.3	S-NODE ADDITION REQUEST REJECT.....	75
9.1.2.4	S-NODE RECONFIGURATION COMPLETE	75
9.1.2.5	S-NODE MODIFICATION REQUEST	76
9.1.2.6	S-NODE MODIFICATION REQUEST ACKNOWLEDGE	79
9.1.2.7	S-NODE MODIFICATION REQUEST REJECT	81
9.1.2.8	S-NODE MODIFICATION REQUIRED.....	82
9.1.2.9	S-NODE MODIFICATION CONFIRM.....	84

9.1.2.10	S-NODE MODIFICATION REFUSE	86
9.1.2.11	S-NODE CHANGE REQUIRED	86
9.1.2.12	S-NODE CHANGE CONFIRM	87
9.1.2.13	S-NODE CHANGE REFUSE.....	88
9.1.2.14	S-NODE RELEASE REQUEST.....	88
9.1.2.15	S-NODE RELEASE REQUEST ACKNOWLEDGE.....	89
9.1.2.16	S-NODE RELEASE REJECT	89
9.1.2.17	S-NODE RELEASE REQUIRED	90
9.1.2.18	S-NODE RELEASE CONFIRM	90
9.1.2.19	S-NODE COUNTER CHECK REQUEST	91
9.1.2.20	RRC TRANSFER	92
9.1.2.21	NOTIFICATION CONTROL INDICATION	92
9.1.2.22	ACTIVITY NOTIFICATION.....	93
9.1.2.23	E-UTRA – NR CELL RESOURCE COORDINATION REQUEST.....	94
9.1.2.24	E-UTRA – NR CELL RESOURCE COORDINATION RESPONSE.....	95
9.1.2.25	SECONDARY RAT DATA USAGE REPORT	96
9.1.3	Messages for Global Procedures.....	97
9.1.3.1	XN SETUP REQUEST.....	97
9.1.3.2	XN SETUP RESPONSE.....	98
9.1.3.3	XN SETUP FAILURE.....	99
9.1.3.4	NG-RAN NODE CONFIGURATION UPDATE.....	99
9.1.3.5	NG-RAN NODE CONFIGURATION UPDATE ACKNOWLEDGE	101
9.1.3.6	NG-RAN NODE CONFIGURATION UPDATE FAILURE	101
9.1.3.7	CELL ACTIVATION REQUEST	102
9.1.3.8	CELL ACTIVATION RESPONSE	102
9.1.3.9	CELL ACTIVATION FAILURE	103
9.1.3.10	RESET REQUEST.....	103
9.1.3.11	RESET RESPONSE.....	104
9.1.3.12	ERROR INDICATION.....	105
9.1.3.13	XN REMOVAL REQUEST	105
9.1.3.14	XN REMOVAL RESPONSE	105
9.1.3.15	XN REMOVAL FAILURE.....	106
9.2	Information Element definitions.....	106
9.2.0	General.....	106
9.2.1	Container and List IE definitions.....	106
9.2.1.1	PDU Session Resources To Be Setup List	106
9.2.1.2	PDU Session Resources Admitted List.....	107
9.2.1.3	PDU Session Resources Not Admitted List.....	108
9.2.1.4	QoS Flow List with Cause	109
9.2.1.4a	QoS Flow List	109
9.2.1.5	PDU Session Resource Setup Info – SN terminated	109
9.2.1.6	PDU Session Resource Setup Response Info – SN terminated.....	110
9.2.1.7	PDU Session Resource Setup Info – MN terminated.....	112
9.2.1.8	PDU Session Resource Setup Response Info – MN terminated	113
9.2.1.9	PDU Session Resource Modification Info – SN terminated	113
9.2.1.10	PDU Session Resource Modification Response Info – SN terminated	115
9.2.1.11	PDU Session Resource Modification Info – MN terminated.....	118
9.2.1.12	PDU Session Resource Modification Response Info – MN terminated.....	120
9.2.1.13	UE Context Information Retrieve UE Context Response	120
9.2.1.14	DRBs Subject To Status Transfer List	121
9.2.1.15	DRB to QoS Flow Mapping List.....	123
9.2.1.16	Data Forwarding Info from target NG-RAN node	124
9.2.1.17	Data Forwarding and Offloading Info from source NG-RAN node.....	124
9.2.1.18	PDU Session Resource Change Required Info – SN terminated	125
9.2.1.19	PDU Session Resource Change Confirm Info – SN terminated	125
9.2.1.20	PDU Session Resource Modification Required Info – SN terminated.....	125
9.2.1.21	PDU Session Resource Modification Confirm Info – SN terminated.....	127
9.2.1.22	PDU Session Resource Modification Required Info – MN terminated.....	128
9.2.1.23	PDU Session Resource Modification Confirm Info – MN terminated.....	129
9.2.1.24	PDU Session List with data forwarding request info	129
9.2.1.25	PDU Session List with data forwarding info from the target node	129
9.2.1.26	PDU Session List with Cause.....	130

9.2.1.27	PDU Session List	130
9.2.1.28	DRB List with Cause	130
9.2.1.29	DRB List	131
9.2.1.30	PDU Session Resource Setup Complete Info – SN terminated.....	131
9.2.1.31	Secondary Data Forwarding Info from target NG-RAN node List	132
9.2.1.32	Additional UL NG-U UP TNL Information at UPF List	132
9.2.2	NG-RAN Node and Cell Configuration related IE definitions	132
9.2.2.1	Global gNB ID	132
9.2.2.2	Global ng-eNB ID	133
9.2.2.3	Global NG-RAN Node ID	133
9.2.2.4	PLMN Identity	133
9.2.2.5	TAC.....	134
9.2.2.6	RAN Area Code	134
9.2.2.7	NR CGI	134
9.2.2.8	E-UTRA CGI	134
9.2.2.9	NG-RAN Cell Identity	134
9.2.2.10	NG-RAN Cell PCI	134
9.2.2.11	Served Cell Information NR	135
9.2.2.12	Served Cell Information E-UTRA	137
9.2.2.13	Neighbour Information NR	140
9.2.2.14	Neighbour Information E-UTRA	141
9.2.2.15	Served Cells To Update NR.....	142
9.2.2.16	Served Cells to Update E-UTRA	142
9.2.2.17	Cell Assistance Information NR	143
9.2.2.18	SUL Information	144
9.2.2.19	NR Frequency Info.....	144
9.2.2.20	NR Transmission Bandwidth	145
9.2.2.21	E-UTRA ARFCN.....	146
9.2.2.22	E-UTRA Transmission Bandwidth	146
9.2.2.23	Number of Antenna Ports E-UTRA	146
9.2.2.24	E-UTRA Multiband Info List.....	146
9.2.2.25	E-UTRA PRACH Configuration	146
9.2.2.26	MBSFN Subframe Allocation E-UTRA	147
9.2.2.27	Global NG-RAN Cell Identity	147
9.2.2.28	Connectivity Support	147
9.2.2.29	Protected E-UTRA Resource Indication	147
9.2.2.30	Data Traffic Resource Indication	149
9.2.2.31	Data Traffic Resources.....	149
9.2.2.32	Reserved Subframe Pattern	150
9.2.2.33	MR-DC Resource Coordination Information	150
9.2.2.34	E-UTRA Resource Coordination Information	151
9.2.2.35	NR Resource Coordination Information	153
9.2.2.36	E-UTRA Coordination Assistance Information	155
9.2.2.37	NR Coordination Assistance Information	155
9.2.2.38	NE-DC TDM Pattern	156
9.2.2.39	Interface Instance Indication	156
9.2.2.39a	Configured TAC Indication	156
9.2.3	General IE definitions	156
9.2.3.1	Message Type	156
9.2.3.2	Cause.....	157
9.2.3.3	Criticality Diagnostics.....	162
9.2.3.4	Bit Rate	163
9.2.3.5	QoS Flow Level QoS Parameters.....	163
9.2.3.6	GBR QoS Flow Information	164
9.2.3.7	Allocation and Retention Priority	164
9.2.3.8	Non dynamic 5QI Descriptor	165
9.2.3.9	Dynamic 5QI Descriptor	166
9.2.3.10	QoS Flow Identifier.....	166
9.2.3.11	Packet Loss Rate	166
9.2.3.12	Packet Delay Budget.....	166
9.2.3.13	Packet Error Rate	167
9.2.3.14	Averaging Window	167

9.2.3.15	Maximum Data Burst Volume	167
9.2.3.16	NG-RAN node UE XnAP ID	167
9.2.3.17	UE Aggregate Maximum Bit Rate	167
9.2.3.18	PDU Session ID	168
9.2.3.19	PDU Session Type	168
9.2.3.20	TAI Support List	168
9.2.3.21	S-NSSAI	168
9.2.3.22	Slice Support List.....	168
9.2.3.23	Index to RAT/Frequency Selection Priority.....	169
9.2.3.24	GUAMI	169
9.2.3.25	Target Cell Global ID.....	169
9.2.3.26	AMF UE NGAP ID.....	169
9.2.3.27	SCG Configuration Query.....	169
9.2.3.28	RLC Mode.....	169
9.2.3.29	Transport Layer Address.....	170
9.2.3.30	UP Transport Layer Information.....	170
9.2.3.31	CP Transport Layer Information	170
9.2.3.32	Masked IMEISV	170
9.2.3.33	DRB ID	171
9.2.3.34	DL Forwarding.....	171
9.2.3.35	Data Forwarding Accepted.....	171
9.2.3.36	COUNT Value for PDCP SN Length 12.....	171
9.2.3.37	COUNT Value for PDCP SN Length 18.....	171
9.2.3.38	RAN Paging Area	171
9.2.3.39	RAN Area ID	172
9.2.3.40	UE Context ID	172
9.2.3.41	Assistance Data for RAN Paging	173
9.2.3.42	RAN Paging Attempt Information	173
9.2.3.43	UE RAN Paging Identity	173
9.2.3.44	Paging Priority	174
9.2.3.45	Delivery Status	174
9.2.3.46	I-RNTI.....	174
9.2.3.47	Location Reporting Information.....	174
9.2.3.48	Area of Interest Information.....	175
9.2.3.49	UE Security Capabilities	175
9.2.3.50	AS Security Information	176
9.2.3.51	S-NG-RAN node Security Key.....	177
9.2.3.52	Security Indication	177
9.2.3.53	Mobility Restriction List	177
9.2.3.54	Xn Benefit Value	179
9.2.3.55	Trace Activation.....	180
9.2.3.56	Time To Wait.....	180
9.2.3.57	QoS Flow Notification Control Indication Info	180
9.2.3.58	Request Reporting Reference ID.....	181
9.2.3.59	User plane traffic activity report	181
9.2.3.60	Lower Layer presence status change	181
9.2.3.61	RRC Resume Cause	181
9.2.3.62	Priority Level	182
9.2.3.63	PDCP SN Length	182
9.2.3.64	UE History Information	182
9.2.3.65	Last Visited Cell Information.....	182
9.2.3.66	Paging DRX	183
9.2.3.67	Security Result	183
9.2.3.68	UE Context Kept Indicator.....	183
9.2.3.69	PDU Session Aggregate Maximum Bit Rate	183
9.2.3.70	LCID	184
9.2.3.71	Duplication Activation.....	184
9.2.3.72	RRC Config Indication	184
9.2.3.73	Maximum Integrity Protected Data Rate.....	184
9.2.3.74	PDCP Change Indication	185
9.2.3.75	UL Configuration.....	185
9.2.3.76	UP Transport Parameters	185

9.2.3.77	Desired Activity Notification Level	186
9.2.3.78	Number of DRB IDs	186
9.2.3.79	QoS Flow Mapping Indication	186
9.2.3.80	RLC Status	186
9.2.3.81	Expected UE Behaviour	187
9.2.3.82	Expected UE Activity Behaviour	187
9.2.3.83	AMF Region Information	188
9.2.3.84	TNL Association Usage	188
9.2.3.85	Network Instance	188
9.2.3.86	PDCCP Duplication Configuration.....	189
9.2.3.87	Secondary RAT Usage Information.....	189
9.2.3.88	Volume Timed Report List	189
9.2.3.89	Maximum IP Rate	190
9.2.3.90	UL Forwarding.....	190
9.2.3.91	UE Radio Capability for Paging.....	190
9.2.3.92	Common Network Instance.....	191
9.2.3.93	Default DRB Allowed.....	191
9.2.3.94	Split Session Indicator.....	191
9.2.3.95	UL Forwarding Proposal.....	191
9.2.3.96 - 9.2.3.99	Void.....	191
9.2.3.100	5GC Mobility Restriction List Container	191
9.3	Message and Information Element Abstract Syntax (with ASN.1).....	193
9.3.1	General.....	193
9.3.2	Usage of Private Message Mechanism for Non-standard Use	193
9.3.3	Elementary Procedure Definitions	194
9.3.4	PDU Definitions	202
9.3.5	Information Element definitions	238
9.3.6	Common definitions	304
9.3.7	Constant definitions	305
9.3.8	Container definitions.....	310
9.4	Message transfer syntax	314
9.5	Timers	314
10	Handling of unknown, unforeseen and erroneous protocol data	314
Annex A (informative):	Change history	315
History		319

Foreword

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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) ".
Guidelines and principles for protocol description and error handling
- [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".
<https://standards.iteh.ai/catalog/standards/sist/cd7d0dd8-ae5d-447c-a329-c79e29818d87/csis-ts-138-423-v15-10-0-2021-01>
- [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".
- [34] 3GPP TS 36.304: "Evolved Universal Terrestrial Radio Access (E-UTRA); User Equipment (UE) procedures in idle mode".
- [35] 3GPP TS 38.321: "NR; Medium Access Control (MAC) protocol specification".
- [36] 3GPP TS 36.321: "Evolved Universal Terrestrial Radio Access (E-UTRA); Medium Access Control (MAC) protocol specification".
- [37] IETF RFC 5905: "Network Time Protocol Version 4: Protocol and Algorithms Specification".

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].

PDU session split: as defined in TS 37.340 [8].

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.
Message	When referring to a message in the specification the MESSAGE NAME is written with all letters in upper case characters followed by the word “message”, e.g. HANDOVER REQUEST message.
IE	When referring to an information element (IE) in the specification the <i>Information Element Name</i> is written with the first letters in each word in upper case characters and all letters in Italic font followed by the abbreviation “IE”, e.g. <i>PDU Session ID</i> IE.
Value of an IE	When referring to the value of an information element (IE) in the specification the “Value” is written as it is specified in sub clause 9.2 enclosed by quotation marks, e.g. “Value”.

5 XnAP services

The present clause describes the services an NG-RAN node offers to its neighbours.

5.1 XnAP procedure modules

The Xn interface XnAP procedures are divided into two modules as follows:

1. XnAP Basic Mobility Procedures;
2. XnAP Global Procedures;

The XnAP Basic Mobility Procedures module contains procedures used to handle the UE mobility within NG-RAN.

The Global Procedures module contains procedures that are not related to a specific UE. The procedures in this module are in contrast to the above module involving two peer NG-RAN nodes.

5.2 Parallel transactions

Unless explicitly indicated in the procedure specification, at any instance in time one protocol peer shall have a maximum of one ongoing XnAP procedure related to a certain UE.

6 Services expected from signalling transport

The signalling connection shall provide in sequence delivery of XnAP messages. XnAP shall be notified if the signalling connection breaks.

Xn signalling transport is specified in TS 38.422 [4].