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Contents

Foreword

This Technical Specification has been produced by the 3rd 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".

[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 *Information Element Name* 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. *PDU Session ID* 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].