

ETSI TS 138 420 V15.0.0 (2018-07)



**5G;
NG-RAN;
Xn general aspects and principles
(3GPP TS 38.420 version 15.0.0 Release 15)**



Reference

RTS/TSGR-0338420vf00

Keywords

5G

ETSI

650 Route des Lucioles
F-06921 Sophia Antipolis Cedex - FRANCE

Tel.: +33 4 92 94 42 00 Fax: +33 4 93 65 47 16

Siret N° 348 623 562 00017 - NAF 742 C
Association à but non lucratif enregistrée à la
Sous-Préfecture de Grasse (06) N° 7803/88

Important notice

The present document can be downloaded from:

<http://www.etsi.org/standards-search>

The present document may be made available in electronic versions and/or in print. The content of any electronic and/or print versions of the present document shall not be modified without the prior written authorization of ETSI. In case of any existing or perceived difference in contents between such versions and/or in print, the only prevailing document is the print of the Portable Document Format (PDF) version kept on a specific network drive within ETSI Secretariat.

Users of the present document should be aware that the document may be subject to revision or change of status.

Information on the current status of this and other ETSI documents is available at

<https://portal.etsi.org/TB/ETSIDeliverableStatus.aspx>

If you find errors in the present document, please send your comment to one of the following services:

<https://portal.etsi.org/People/CommiteeSupportStaff.aspx>

Copyright Notification

No part may be reproduced or utilized in any form or by any means, electronic or mechanical, including photocopying and microfilm except as authorized by written permission of ETSI.

The content of the PDF version shall not be modified without the written authorization of ETSI.

The copyright and the foregoing restriction extend to reproduction in all media.

© ETSI 2018.

All rights reserved.

DECT™, **PLUGTESTS™**, **UMTS™** and the ETSI logo are trademarks of ETSI registered for the benefit of its Members.

3GPP™ and **LTE™** are trademarks of ETSI registered for the benefit of its Members and of the 3GPP Organizational Partners.

oneM2M logo is protected for the benefit of its Members.

GSM® and the GSM logo are trademarks registered and owned by the GSM Association.

Intellectual Property Rights

Essential patents

IPRs essential or potentially essential to normative deliverables may have been declared to ETSI. The information pertaining to these essential IPRs, if any, is publicly available for **ETSI members and non-members**, and can be found in ETSI SR 000 314: *"Intellectual Property Rights (IPRs); Essential, or potentially Essential, IPRs notified to ETSI in respect of ETSI standards"*, which is available from the ETSI Secretariat. Latest updates are available on the ETSI Web server (<https://ipr.etsi.org/>).

Pursuant to the ETSI IPR Policy, no investigation, including IPR searches, has been carried out by ETSI. No guarantee can be given as to the existence of other IPRs not referenced in ETSI SR 000 314 (or the updates on the ETSI Web server) which are, or may be, or may become, essential to the present document.

Trademarks

The present document may include trademarks and/or tradenames which are asserted and/or registered by their owners. ETSI claims no ownership of these except for any which are indicated as being the property of ETSI, and conveys no right to use or reproduce any trademark and/or tradename. Mention of those trademarks in the present document does not constitute an endorsement by ETSI of products, services or organizations associated with those trademarks.

Foreword

This Technical Specification (TS) has been produced by ETSI 3rd Generation Partnership Project (3GPP).

The present document may refer to technical specifications or reports using their 3GPP identities, UMTS identities or GSM identities. These should be interpreted as being references to the corresponding ETSI deliverables.

The cross reference between GSM, UMTS, 3GPP and ETSI identities can be found under <http://webapp.etsi.org/key/queryform.asp>.

Modal verbs terminology

In the present document "**shall**", "**shall not**", "**should**", "**should not**", "**may**", "**need not**", "**will**", "**will not**", "**can**" and "**cannot**" are to be interpreted as described in clause 3.2 of the [ETSI Drafting Rules](#) (Verbal forms for the expression of provisions).

"**must**" and "**must not**" are **NOT** allowed in ETSI deliverables except when used in direct citation.

Contents

Intellectual Property Rights	2
Foreword.....	2
Modal verbs terminology.....	2
Foreword.....	5
1 Scope	6
2 References	6
3 Definitions and abbreviations.....	6
3.1 Definitions	6
3.2 Abbreviations	6
4 General aspects.....	7
4.1 Introduction	7
4.2 Xn interface general principles.....	7
4.3 Xn interface specification objectives.....	7
4.4 Xn interface capabilities	7
5 Functions of the Xn interface	7
5.1 General	7
5.2 Functions of Xn-C	7
5.2.1 Xn-C interface management and error handling functions	7
5.2.1.1 General	7
5.2.1.2 Xn Setup function	7
5.2.1.3 Error Indication function.....	8
5.2.1.4 Xn reset function.....	8
5.2.1.5 Xn configuration data update function.....	8
5.2.1.6 Xn removal function	8
5.2.2 UE mobility management functions	8
5.2.2.1 Handover preparation function.....	8
5.2.2.2 Handover cancellation function	8
5.2.2.3 Retrieve UE Context function.....	8
5.2.2.4 RAN Paging function.....	8
5.2.2.5 Data Forwarding control function	8
5.2.3 Dual connectivity function.....	8
5.2.4 Energy saving function	8
5.3 Functions of Xn-U.....	8
5.3.1 Data transfer function	8
5.3.2 Flow control function.....	8
6 Xn interface procedures.....	9
6.1 General	9
6.2 Control plane protocol procedures	9
6.2.1 Mobility management procedures.....	9
6.2.2 Dual Connectivity procedures.....	9
6.2.3 Global procedures.....	9
6.2.4 Interface Management procedures.....	9
6.2.5 Energy saving procedures.....	10
6.3 User plane protocol procedures	10
7 Xn interface protocol structure.....	10
7.1 Xn Control Plane.....	10
7.2 Xn User Plane.....	10
8 Other Xn interface specifications	11
8.1 NG-RAN Xn interface: Xn layer 1 (TS 38.421).....	11
8.2 NG-RAN Xn interface: Xn signalling transport (TS 38.422).....	11
8.3 NG-RAN Xn interface: Xn application protocol (XnAP) (TS 38.423)	11
8.4 NG-RAN Xn interface: Xn data transport (TS 38.424).....	11

8.5	NG-RAN Xn interface: NR user plane protocol (TS 38.425)	11
8.6	NG-RAN Xn interface: PDU Session User Plane Protocol (TS 38.415)	11
8.7	Summary of NG-RAN Xn interface Technical Specifications.....	11
Annex A (informative): Change history		13
History		14

Foreword

This Technical Specification 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.

1 Scope

The present document is an introduction to the TSG RAN TS 38.42x series of Technical Specifications that define the Xn interface. It is an interface for the interconnection of two NG-RAN nodes within the NG-RAN architecture (TS 38.401 [2]).

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 38.421: "NG-RAN; Xn layer 1".
 - [4] 3GPP TS 38.422: "NG-RAN; Xn signalling transport".
 - [5] 3GPP TS 38.423: "NG-RAN; Xn Application Protocol (XnAP)".
 - [6] 3GPP TS 38.424: "NG-RAN; Xn data transport".
 - [7] 3GPP TS 38.425: "NG-RAN; NR user plane protocol".
 - [8] 3GPP TS 38.300: "NR; Overall Description; Stage 2".
 - [9] 3GPP TS 37.340: "NR; Multi-connectivity; Overall description; Stage-2".
 - [10] 3GPP TS 38.415: "PDU Session User Plane protocol".
-

3 Definitions 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].

corresponding node: as defined in TS 38.425 [7].

NG-RAN node: as defined in TS 38.300 [8].

secondary node: as defined in TS 37.340 [9].

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].

Xn-C	Xn Control plane
Xn-U	Xn User plane

4 General aspects

4.1 Introduction

The interface allowing to interconnect NG-RAN nodes with each other is referred to as the Xn interface.

4.2 Xn interface general principles

The general principles for the specification of the Xn interface are as follows:

- the Xn interface is open;
- the Xn interface supports the exchange of signalling information between two NG-RAN nodes, and the forwarding of PDUs to the respective tunnel endpoints;
- from a logical standpoint, the Xn is a point-to-point interface between two NG-RAN nodes. A point-to-point logical interface should be feasible even in the absence of a physical direct connection between the two NG-RAN nodes.

4.3 Xn interface specification objectives

The Xn interface specifications facilitate the following:

- inter-connection of NG-RAN nodes supplied by different manufacturers;
- support of continuation between NG-RAN nodes of the NG-RAN services offered via the NG interface;
- separation of Xn interface Radio Network functionality and Transport Network functionality to facilitate introduction of future technology.

4.4 Xn interface capabilities

The Xn interface supports:

- procedures to support intra-NG-RAN mobility;
- procedures to support dual connectivity between NG-RAN nodes.

5 Functions of the Xn interface

5.1 General

The following clauses describe the functions supported in Xn interface.

5.2 Functions of Xn-C

5.2.1 Xn-C interface management and error handling functions

5.2.1.1 General

These functions allow for managing of signalling associations between NG-RAN nodes, surveying the Xn interface and recovering from errors.

5.2.1.2 Xn Setup function

This function allows for the initial setup of an Xn interface between two NG-RAN nodes, including exchange of application level data.

5.2.1.3 Error Indication function

This function allows the reporting of general error situations on application level.

5.2.1.4 Xn reset function

This function allows an NG-RAN node to inform a second NG-RAN node that it has recovered from an abnormal failure and that either all or some of the contexts (except the application level data) related to the first node and stored in the second shall be deleted, and the associated resources released.

5.2.1.5 Xn configuration data update function

This function allows two NG-RAN nodes to update application level data at any time.

5.2.1.6 Xn removal function

This function allows two NG-RAN nodes to remove the respective Xn interface.

5.2.2 UE mobility management functions

5.2.2.1 Handover preparation function

This function allows the exchange of information between source and target NG-RAN nodes in order to initiate the handover of a certain UE to the target.

5.2.2.2 Handover cancellation function

This function allows informing an already prepared target NG-RAN node that a prepared handover will not take place. It allows releasing the resources allocated during a preparation.

5.2.2.3 Retrieve UE Context function

The Retrieve UE context function is used for a NG-RAN node to retrieve UE context from another one.

5.2.2.4 RAN Paging function

The RAN paging function allows a NG-RAN node to initiate the paging for a UE in the inactive state.

5.2.2.5 Data Forwarding control function

The data forwarding control function allows establishing and releasing transport bearers between source and target NG-RAN nodes for data forwarding.

5.2.3 Dual connectivity function

The dual connectivity function enables usage of additional resources in a secondary node in the NG-RAN.

5.2.4 Energy saving function

This function enables decreasing energy consumption by indication of cell activation/deactivation over the Xn interface.

5.3 Functions of Xn-U

5.3.1 Data transfer function

The data transfer function allows the transfer of data between NG-RAN nodes to support dual connectivity or mobility operation.

5.3.2 Flow control function

The flow control function enables a NG-RAN node receiving user plane data from a second NG-RAN node to provide feedback information associated with the data flow.

6 Xn interface procedures

6.1 General

The Xn interface supports procedures over the control plane (Xn-C) and user plane (Xn-U).

6.2 Control plane protocol procedures

6.2.1 Mobility management procedures

The mobility management procedures are used to manage the UE mobility in Connected or RRC_Inactive modes:

- Handover Preparation
- Handover Cancel
- SN Status Transfer
- Retrieve UE Context
- RAN Paging
- Data Forwarding Address Indication
- UE Context Release

6.2.2 Dual Connectivity procedures

The dual connectivity procedures are used to add, modify and releases resources for the operation of Dual Connectivity:

- S-NG-RAN-node Addition Preparation
- S-NG-RAN-node Reconfiguration Completion
- M-NG-RAN-node initiated S-NG-RAN-node Modification Preparation
- S-NG-RAN-node initiated S-NG-RAN-node Modification
- M-NG-RAN-node initiated S-NG-RAN-node Release
- S-NG-RAN-node initiated S-NG-RAN-node Release
- S-NG-RAN-node Counter Check
- RRC Transfer

6.2.3 Global procedures

The global procedures are used to exchange configuration level data between two NG-RAN nodes, or to remove Xn connectivity between two NG-RAN nodes in a controlled manner:

- Xn Setup
- NG-RAN-node Configuration Update
- Xn Removal

6.2.4 Interface Management procedures

The interface management procedures are used to align resources between two NG-RAN nodes in the event of failures, and to report detected protocol errors:

- Reset

- Error Indication

6.2.5 Energy saving procedures

- Cell Activation procedure: enables an NG-RAN node to request the activation of a previously deactivated cell hosted in another NG-RAN node.

6.3 User plane protocol procedures

The user plane protocol procedures are used to exchange user plane information between Xn-U protocol peers:

- Transfer of Downlink User Data procedure: enables the node hosting the NR PDCP entity to provide user plane information to the corresponding node.
- Downlink Data Delivery Status procedure: enables the corresponding node to provide feedback to the node hosting the NR PDCP entity.
- Transfer of PDU Session Information procedure: enables an NG-RAN node to provide user plane information associated with the forwarding of data towards a peer NG-RAN node, when using PDU session tunnels.

7 Xn interface protocol structure

7.1 Xn Control Plane

The control plane protocol stack of the Xn interface is shown on Figure 7.1-1. The transport network layer is built on IP transport. For the reliable transport of signalling messages, SCTP is added on top of IP. The application layer signalling protocol is referred to as XnAP (Xn Application Protocol).

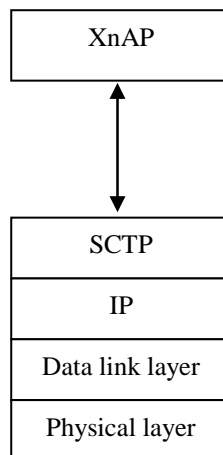


Figure 7.1-1: Xn Interface Control Plane

7.2 Xn User Plane

The Xn user plane (Xn-U) interface is defined between two NG-RAN nodes. The Xn-U interface provides non-guaranteed delivery of user plane PDUs between two NG-RAN nodes.

The protocol stack for Xn-U is shown in Figure 7.2-1.

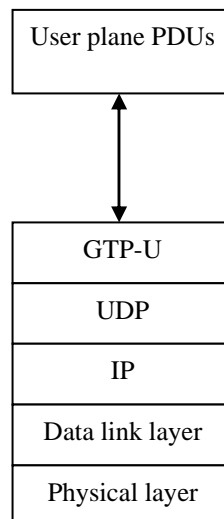


Figure 7.2-1: Xn-U protocol structure

8 Other Xn interface specifications

8.1 NG-RAN Xn interface: Xn layer 1 (TS 38.421)

TS 38.421 [3] specifies the physical layer technologies that may be used to support the Xn interface.

8.2 NG-RAN Xn interface: Xn signalling transport (TS 38.422)

TS 38.422 [4] specifies how the XnAP signalling messages are transported over Xn.

8.3 NG-RAN Xn interface: Xn application protocol (XnAP) (TS 38.423)

TS 38.423 [5] specifies the radio network layer signalling procedures of the control plane between NG-RAN nodes.

8.4 NG-RAN Xn interface: Xn data transport (TS 38.424)

TS 38.424 [6] specifies the standards for user data transport protocols over the NG-RAN Xn interface.

8.5 NG-RAN Xn interface: NR user plane protocol (TS 38.425)

TS 38.425 [7] specifies the user plane protocol procedures for dual connectivity over the NG-RAN Xn interface.

8.6 NG-RAN Xn interface: PDU Session User Plane Protocol (TS 38.415)

TS 38.415 [10] specifies the user plane protocol procedures for data forwarding using PDU Session tunnels over the NG-RAN Xn interface.

8.7 Summary of NG-RAN Xn interface Technical Specifications

The relationship between the technical specifications that define the NG-RAN Xn interface is shown in Figure 8.7-1.

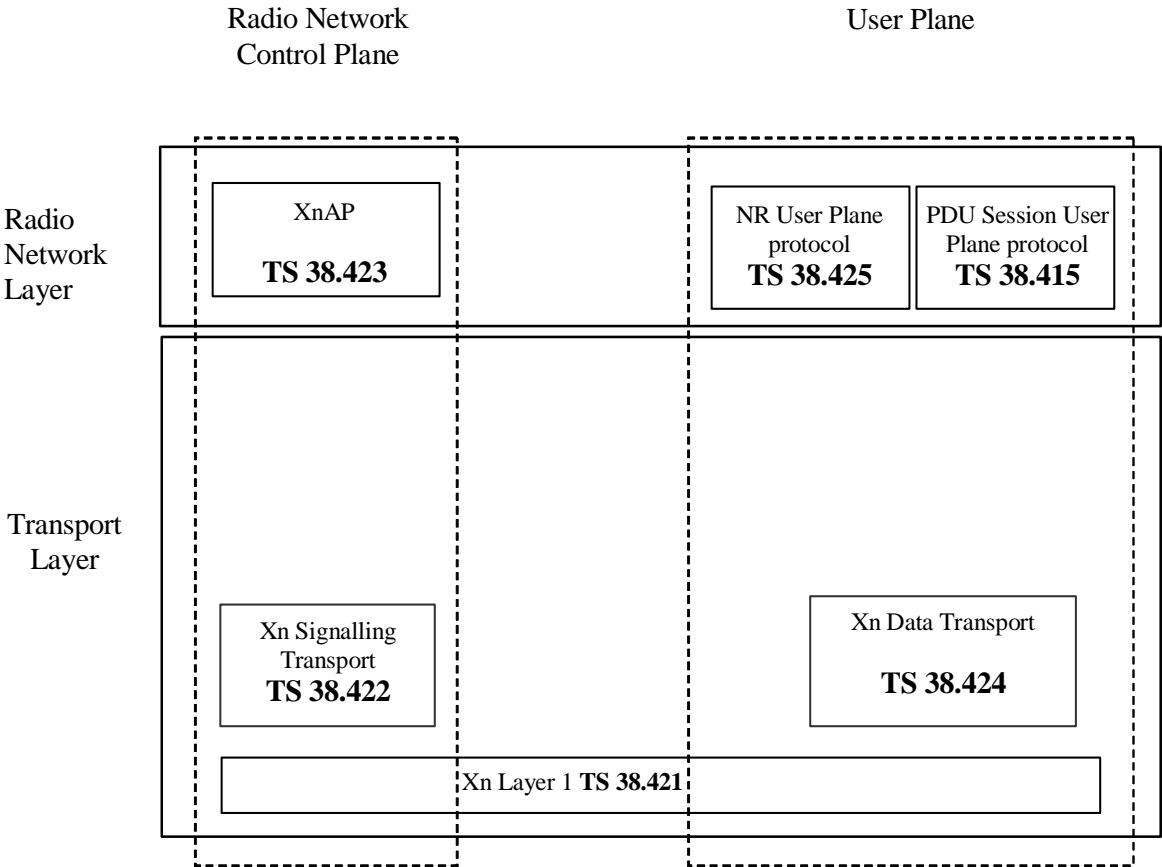


Figure 8.7-1: Xn Interface Technical Specifications

Annex A (informative): Change history

Change history						
Date	Meeting	TDoc	CR	Rev	Cat	Subject/Comment
2017-04	R3#95b	R3-171313				TS skeleton
2017-05	R3#96	R3-171807				Change of structure of clause 5
2017-05	R3#96	R3-171967				Further skeleton change following agreements at R3#96 Initial text for clauses 4, 7 and 8 (R3-171966) Functions from R3-171927 Add change history
2017-07	R3 NR AH	R3-172636				TP from R3-172596
2017-09	R3#97	R3-173453				TPs from R3-173320 and R3-173321
2017-10	R3#97bis	R3-174241				TP from R3-173636
2017-12	R3#98	R3-175057				TPs from R3-174451 and R3-174764
2018-02	R3 NR AH 1801	R3-180653				TP from R3-180543
2018-03	R3#99	R3-181590				TP from R3-181388
2018-04	R3#99bis	R3-182526				TP from R3-181866
2018-06	R3#100	R3-183595				TPs from R3-183098, R3-182719 and R3-183375
2018-06	RP#80	RP-180687				Presentation to RAN for one step approval
2018-06	RAN#80	-	-	-	-	Specification approved at TSG-RAN and placed under change control

History

Document history		
V15.0.0	July 2018	Publication