

ETSI TS 138 462 V15.7.0 (2020-11)



**5G;
NG-RAN;
E1 signalling transport
(3GPP TS 38.462 version 15.7.0 Release 15)**



Reference

RTS/TSGR-0338462vf70

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 prevailing version of an ETSI deliverable is the one made publicly available in PDF format at www.etsi.org/deliver.

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 2020.

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 a trademark of ETSI registered for the benefit of its Members and of the oneM2M Partners.

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.

Legal Notice

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. These shall be interpreted as being references to the corresponding ETSI deliverables.

The cross reference between 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
Legal Notice	2
Modal verbs terminology.....	2
Foreword.....	4
1 Scope	5
2 References	5
3 Definitions and abbreviations.....	5
3.1 Definitions	5
3.3 Abbreviations	6
4 E1 signalling bearer.....	6
4.1 Function and protocol stack.....	6
5 Data link layer	7
6 IP layer	7
7 Transport layer	7
Annex A (informative): Change history	9
History	10

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 specifies the standards for Signalling Transport to be used across the E1 interface. The E1 interface provides means for the interconnection of gNB-CU-CP and gNB-CU-UP 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] IETF RFC 8200 (2017-07): "Internet Protocol, Version 6 (IPv6) Specification".
- [4] IETF RFC 791 (1981-09): "Internet Protocol".
- [5] IETF RFC 2474 (1998-12): "Definition of the Differentiated Services Field (DS Field) in the IPv4 and IPv6 Headers".
- [6] IETF RFC 4960 (2007-09): "Stream Control Transmission Protocol".
- [7] 3GPP TS 38.460: "NG-RAN; E1 general aspects and principles".
- [8] 3GPP TS 38.461: "NG-RAN; E1 layer 1".
- [9] 3GPP TS 38.463: "NG-RAN; E1 Application Protocol (E1AP)".
- [10] 3GPP TS 38.300: "NR; NR and NG-RAN Overall Description; Stage-2".
- [11] IETF RFC 6083 (2011-01): "Datagram Transport Layer Security (DTLS) for Stream Control Transmission Protocol (SCTP)".
- [12] IETF RFC 6335 (2011-08): "Internet Assigned Numbers Authority (IANA) Procedures for the Management of the Service Name and Transport Protocol Port Number Registry".

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].

E1: interface between a gNB-CU-CP and a gNB-CU-UP, providing an interconnection point between the gNB-CU-CP and the gNB-CU-UP.

gNB: as defined in TS 38.300 [10].

gNB-CU: as defined in TS 38.401 [2].

gNB-CU-CP: as defined in TS 38.401 [2].

gNB-CU-UP: as defined in TS 38.401 [2].

SCTP endpoint: as defined in IETF RFC 4960 (2007-09) [6].

SCTP association: as defined in IETF RFC 4960 (2007-09) [6].

3.3 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].

DiffServ	Differentiated Service
IANA	Internet Assigned Number Authority
IP	Internet Protocol
PPP	Point to Point Protocol
SCTP	Stream Control Transmission Protocol

4 E1 signalling bearer

4.1 Function and protocol stack

E1 signalling bearer provides the following functions:

- Provision of reliable transfer of E1AP message over E1 interface.
- Provision of networking and routing function
- Provision of redundancy in the signalling network
- Support for flow control and congestion control

The protocol stack for E1 Signalling Bearer is shown in figure 4.1-1 and details on each protocol are described in the following sections.

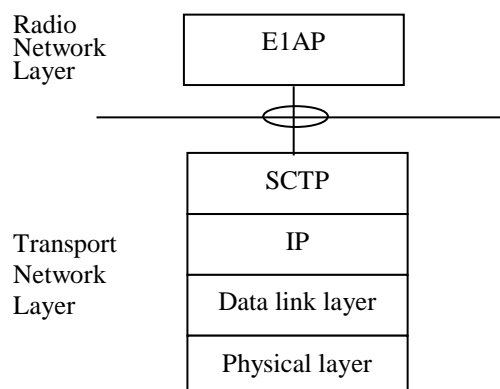


Figure 4.1-1: E1 signalling bearer protocol stack

The Transport Network Layer is based on IP transport, comprising SCTP on top of IP.

5 Data link layer

The support of any suitable Data Link Layer protocol, e.g. PPP, Ethernet, etc., shall not be prevented.

6 IP layer

The gNB-CU-CP and gNB-CU-UP shall support IPv6 (IETF RFC 8200 [3]) and/or IPv4 (IETF RFC 791 [4]).

The IP layer of E1 only supports point-to-point transmission for delivering E1AP message.

The gNB-CU-CP and gNB-CU-UP shall support the Diffserv Code Point marking as described in IETF RFC 2474 [5].

7 Transport layer

SCTP (IETF RFC 4960 [6]) shall be supported as the transport layer of E1 signalling bearer. The Payload Protocol Identifier assigned by IANA to be used by SCTP for the application layer protocol E1AP is 64 and 67 for DTLS over SCTP (IETF RFC 6083 [11]). The byte order of the ppid shall be big-endian.

SCTP refers to the Stream Control Transmission Protocol developed by the Sigtran working group of the IETF for the purpose of transporting various signalling protocols over IP network.

The gNB-CU-CP and gNB-CU-UP shall support a configuration with a single SCTP association per gNB-CU-CP/gNB-CU-UP pair. Configurations with multiple SCTP endpoints per gNB-CU-CP/gNB-CU-UP pair should be supported. When configurations with multiple SCTP associations are supported, the gNB-CU-CP or the gNB-CU-UP may request to dynamically add/remove SCTP associations between the gNB-CU-CP/gNB-CU-UP pair. Within the set of SCTP associations established between one gNB-CU-CP and gNB-CU-UP pair, a single SCTP association shall be employed for E1AP elementary procedures that utilize non-UE-associated signalling with the possibility of fail-over to a new association to enable robustness.

When the configuration with multiple SCTP endpoints per gNB-CU-UP is supported and gNB-CU-UP wants to add additional SCTP endpoints, the gNB-CU-UP Configuration Update procedure shall be the first E1AP procedure triggered on an additional TNLA of an already setup E1 interface instance after the TNL association has become operational, and the gNB-CU-CP shall associate the TNLA to the E1 interface instance using the included gNB-CU-UP ID.

Either the gNB-CU-CP or gNB-CU-UP shall establish the first SCTP association. The additional SCTP associations are established by the gNB-CU-UP. The SCTP Destination Port number value to be used for E1AP is 38462 which is assigned by IANA. When the gNB-CU-CP requests to dynamically add additional SCTP associations between the gNB-CU-CP/gNB-CU-UP pair, the gNB-CU-CP port is selected and signalled by the gNB-CU-CP to the gNB-CU-UP, and it can be port number value 38462 or any dynamic port value as defined by IETF RFC 6335 [12].

Between one gNB-CU-CP and gNB-CU-UP pair:

- A single pair of stream identifiers shall be reserved over an SCTP association for the sole use of E1AP elementary procedures that utilize non UE-associated signalling.
- At least one pair of stream identifiers over one or several SCTP associations shall be reserved for the sole use of E1AP elementary procedures that utilize UE-associated signalling. However, a few pairs (i.e. more than one) should be reserved.
- For a single UE-associated signalling the gNB-CU-CP and the gNB-CU-UP shall use one SCTP association and one SCTP stream, and the SCTP association/stream should not be changed during the communication of the UE-associated signalling until after current SCTP association is failed, or TNL binding update is performed.

Transport network redundancy may be achieved by SCTP multi-homing between two end-points, of which one or both is assigned with multiple IP addresses. SCTP end-points shall support a multi-homed remote SCTP end-point. For SCTP endpoint redundancy an INIT may be sent from a gNB-CU-CP or a gNB-CU-UP, at any time for an already established SCTP association, which shall be handled as defined in IETF RFC 4960 [6] in sub clause 5.2.

The SCTP congestion control may, using an implementation specific mechanism, initiate higher layer protocols to reduce the signalling traffic at the source and prioritise certain messages.

Annex A (informative): Change history

Change history							
Date	Meeting	TDoc	CR	Rev	Cat	Subject/Comment	New version
2018-02	R3 #99	R3-181421	-	-	-	Endorsed skeleton	0.0.0
2018-04	R3 #99b	R3-182530	-	-	-	New version including Rapporteur TP from RAN3#99b	0.1.0
						- R3-182931: Multiple SCTP for E1 - R3-183273: rapporteur updates to 38.462	0.2.0
2018-06	RAN#80	RP-180768				Submitted to RAN for approval.	1.0.0
2018-06	RAN#80	-	-	-	-	Specification approved at TSG-RAN and placed under change control	15.0.0
2018-09	RAN#81	RP-181922	0002	2	F	NR Corrections (38.462 Baseline CR covering RAN3-101 agreements)	15.1.0
2018-12	RAN#82	RP-182448	0005	1	F	Rapporteur's CR for TS 38.462	15.2.0
2019-03	RAN#83	RP-190560	0004	4	F	CR Multiple TNLA over E1 transport	15.3.0
2019-07	RAN#84	RP-191399	0007	1	F	Multiple TNLA over E1 transport	15.4.0
2019-09	RAN#85	RP-192167	0010	1	F	Use of SCTP ports for multiple TNLA	15.5.0
2019-09	RAN#85	RP-192167	0011	1	F	CR to 38.462 on the introduction of PPID for DTLS over SCTP	15.5.0
2020-03	RAN#87-e	RP-200429	0012	-	F	Rapporteur updates on editorial errors	15.6.0
2020-04						Correction of the version number and date in the cover page	15.6.1
2020-09	RAN#89-e	RP-201955	0014	1	F	SCTP association change when current SCTP association is failed	15.7.0

History

Document history		
V15.0.0	July 2018	Publication
V15.1.0	September 2018	Publication
V15.2.0	April 2019	Publication
V15.3.0	May 2019	Publication
V15.4.0	July 2019	Publication
V15.5.0	October 2019	Publication
V15.6.1	April 2020	Publication
V15.7.0	November 2020	Publication