**3GPP TSG-RAN WG3 Meeting #113-eR3-214513**

**Online, 16th - 26th August 2021 was R3-213151**

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| *CR-Form-v12.1* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
|  | | | | | | | | |
|  | **38.423** | **CR** | **0491** | **rev** | **5** | **Current version:** | **16.6.0** |  |
|  | | | | | | | | |
| *For* [***HE******LP***](http://www.3gpp.org/3G_Specs/CRs.htm#_blank)*on using this form: comprehensive instructions can be found at* [*http://www.3gpp.org/Change-Requests*](http://www.3gpp.org/Change-Requests)*.* | | | | | | | | |
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| ***Proposed change affects:*** | UICC apps |  | ME |  | Radio Access Network | **X** | Core Network |  |

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| ***Title:*** | Introduction of NR Multicast and Broadcast Services | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Source to WG:*** | Ericsson | | | | | | | | | |
| ***Source to TSG:*** | R3 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | NR\_MBS-Core | | | | |  | ***Date:*** | | | 2021-08-30 |
|  |  | | | |  | |  | | |  |
| ***Category:*** | **B** |  | | | | | ***Release:*** | | | *Rel-17* |
|  | *Use one of the following categories:* ***F*** *(correction)* ***A*** *(mirror corresponding to a change in an earlier release)* ***B*** *(addition of feature),* ***C*** *(functional modification of feature)* ***D*** *(editorial modification)*  Detailed explanations of the above categories can be found in 3GPP [TR 21.900](http://www.3gpp.org/ftp/Specs/html-info/21900.htm). | | | | | | | | *Use one of the following releases: Rel-8 (Release 8) Rel-9 (Release 9) Rel-10 (Release 10) Rel-11 (Release 11) … Rel-15 (Release 15) Rel-16 (Release 16) Rel-17 (Release 17) Rel-18 (Release 18)* | |
|  |  | | | | | | | | | |
| ***Reason for change:*** | | This CR introduces XnAP protocol functions for Rel-17 NR MBS | | | | | | | | |
|  | |  | | | | | | | | |
| ***Summary of change:*** | |  | | | | | | | | |
|  | |  | | | | | | | | |
| ***Consequences if not approved:*** | |  | | | | | | | | |
|  | |  | | | | | | | | |
| ***Clauses affected:*** | | 3.1, 3.2, 8.1, 8.X1.Y1 (new), 9.1.X2.Y2 (new) | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **Y** | **N** |  | | | |  | | |
| ***Other specs*** | | **X** |  | Other core specifications | | | | TS/TR ... CR ... [to be added] | | |
| ***affected:*** | |  | **X** | Test specifications | | | |  | | |
| ***(show related CRs)*** | |  | **X** | O&M Specifications | | | |  | | |
|  | |  | | | | | | | | |
| ***Other comments:*** | |  | | | | | | | | |
|  | |  | | | | | | | | |
| ***This CR's revision history:*** | | r5: incorporating R3-214379 post RAN3#113-e  r4: submission to RAN3#113-e in R3-213151  r3: submission to RAN3#112-e in R3-211485  r2: revised at RAN3#111-e in R3-211077  r1: submission to RAN3#111-e in R3-210004 | | | | | | | | |

<<<<<<<<<<<<<<<<<<<< First Change >>>>>>>>>>>>>>>>>>>>

# 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].

**CAG Cell**: As defined in TS 38.300 [9].

**Conditional Handover**: As defined in TS 38.300 [9].

**Conditional PSCell Change**: As defined in TS 37.340 [8].

**DAPS Handover**: As defined in TS 38.300 [9].

**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.

**Immediate Handover**: Used in the context of Conditional Handover, to refer to a handover that is executed immediately after the UE receives the Handover Command.

**MBS Session Resource**: As defined in TS 38.300 [9].

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

**Non-CAG Cell**: 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].

**Public Network Integrated NPN:** as defined in TS 23.501 [7].

**Stand-alone Non-Public Network:** as defined in TS 23.501 [7].

## 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

CAG Closed Access Group

CGI Cell Global Identifier

CHO Conditional Handover

CP Control Plane

DAPS Dual Active Protocol Stack

DL Downlink

EN-DC E-UTRA-NR Dual Connectivity

E-RAB E-UTRAN Radio Access Bearer

GUAMI Globally Unique AMF Identifier

IAB Integrated Access and Backhaul

IMEISV International Mobile station Equipment Identity and Software Version number

MBS Multicast/Broadcast Service

MCG Master Cell Group

M-NG-RAN node Master NG-RAN node

NGAP NG Application Protocol

NID Network Identifier

NPN Non-Public Network

NSSAI Network Slice Selection Assistance Information

PNI-NPN Public Network Integrated Non-Public Network RANAC RAN Area Code

RSN Redundancy Sequence Number

SCG Secondary Cell Group

SCTP Stream Control Transmission Protocol

SNPN Stand-alone Non-Public Network

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

V2X Vehicle-to-Everything

# 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].

# 7 Functions of XnAP

The functions of XnAP are specified in TS 38.420 [3].

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## 8.1 Elementary procedures

In the following tables, all EPs are divided into Class 1 and Class 2 EPs.

Table 8.1-1: Class 1 Elementary Procedures

| Elementary Procedure | Initiating Message | Successful Outcome | Unsuccessful Outcome | |
| --- | --- | --- | --- | --- |
| Response message | Response message | |
| Handover Preparation | HANDOVER REQUEST | HANDOVER REQUEST ACKNOWLEDGE | HANDOVER PREPARATION FAILURE |
| Retrieve UE Context | RETRIEVE UE CONTEXT REQUEST | RETRIEVE UE CONTEXT RESPONSE | RETRIEVE UE CONTEXT FAILURE |
| S-NG-RAN node Addition Preparation | S-NODE ADDITION REQUEST | S-NODE ADDITION REQUEST ACKNOWLEDGE | S-NODE ADDITION REQUEST REJECT |
| M-NG-RAN node initiated S-NG-RAN node Modification Preparation | S-NODE MODIFICATION REQUEST | S-NODE MODIFICATION REQUEST ACKNOWLEDGE | S-NODE MODIFICATION REQUEST REJECT |
| S-NG-RAN node initiated S-NG-RAN node Modification | S-NODE MODIFICATION REQUIRED | S-NODE MODIFICATION CONFIRM | S-NODE MODIFICATION REFUSE |
| S-NG-RAN node initiated S-NG-RAN node CHANGE | S-NODE CHANGE REQUIRED | S-NODE CHANGE CONFIRM | S-NODE CHANGE REFUSE |
| M-NG-RAN node initiated S-NG-RAN node Release | S-NODE RELEASE REQUEST | S-NODE RELEASE REQUEST ACKNOWLEDGE | S-NODE RELEASE REJECT |
| S-NG-RAN node initiated S-NG-RAN node Release | S-NODE RELEASE REQUIRED | S-NODE RELEASE CONFIRM |  |
| Xn Setup | XN SETUP REQUEST | XN SETUP RESPONSE | XN SETUP FAILURE |
| NG-RAN node Configuration Update | NG-RAN NODE CONFIGURATION UPDATE | NG-RAN NODE CONFIGURATION UPDATE ACKNOWLEDGE | NG-RAN NODE CONFIGURATION UPDATE FAILURE |
| Cell Activation | CELL ACTIVATION REQUEST | CELL ACTIVATION RESPONSE | CELL ACTIVATION FAILURE |
| Reset | RESET REQUEST | RESET RESPONSE |  |
| Xn Removal | Xn REMOVAL REQUEST | Xn REMOVAL RESPONSE | Xn REMOVAL FAILURE |
| E-UTRA - NR Cell Resource Coordination | E-UTRA - NR CELL RESOURCE COORDINATION REQUEST | E-UTRA - NR CELL RESOURCE COORDINATION RESPONSE |  |
| Resource Status Reporting Initiation | RESOURCE STATUS REQUEST | RESOURCE STATUS RESPONSE | RESOURCE STATUS FAILURE |
| Mobility Settings Change | MOBILITY CHANGE REQUEST | MOBILITY CHANGE ACKNOWLEDGE | MOBILITY CHANGE FAILURE |

Table 8.1-2: Class 2 Elementary Procedures

| Elementary Procedure | Initiating Message |
| --- | --- |
| Handover Cancel | HANDOVER CANCEL |
| SN Status Transfer | SN STATUS TRANSFER |
| RAN Paging | RAN PAGING |
| Xn-U Address Indication | XN-U ADDRESS INDICATION |
| S-NG-RAN node Reconfiguration Completion | S-NODE RECONFIGURATION COMPLETE |
| S-NG-RAN node Counter Check | S-NODE COUNTER CHECK REQUEST |
| UE Context Release | UE CONTEXT RELEASE |
| RRC Transfer | RRC TRANSFER |
| Error Indication | ERROR INDICATION |
| Notification Control Indication | NOTIFICATION CONTROL INDICATION |
| Activity Notification | ACTIVITY NOTIFICATION |
| Secondary RAT Data Usage Report | SECONDARY RAT DATA USAGE REPORT |
| Trace Start | TRACE START |
| Deactivate Trace | DEACTIVATE TRACE |
| Handover Success | HANDOVER SUCCESS |
| Conditional Handover Cancel | CONDITIONAL HANDOVER CANCEL |
| Early Status Transfer | EARLY STATUS TRANSFER |
| Failure Indication | FAILURE INDICATION |
| Handover Report | HANDOVER REPORT |
| Resource Status Reporting | RESOURCE STATUS UPDATE |
| Access And Mobility Indication | ACCESS AND MOBILITY INDICATION |
| RAN Multicast Group Paging | RAN MULTICAST GROUP PAGING |

<<<<<<<<<<<<<<<<<<<< Next Change >>>>>>>>>>>>>>>>>>>>

### 8.X1.Y1 RAN Multicast Group Paging

#### 8.X1.Y1.1 General

The purpose of the RAN Multicast Group Paging procedure is to enable the NG-RAN node1 to request paging of UEs that have joined an MBS Session in the NG-RAN node2.

The procedure uses non UE-associated signalling.

#### 8.X1.Y1.2 Successful operation



Figure 8.X1.Y1.2-1: RAN Multicast Group Paging: successful operation

The RAN Multicast Group Paging procedure is triggered by the NG-RAN node1 by sending the RAN MULTICAST GROUP PAGING message to the NG-RAN node2,in which the necessary information e.g. the *MBS Session Identity* IE associated with the MBS session should be provided.

Editor’s Note: procedure text is FFS

<<<<<<<<<<<<<<<<<<<< Next Change >>>>>>>>>>>>>>>>>>>>

#### 9.1.X2.Y2 RAN MULTICAST GROUP PAGING

This message is sent by the NG-RAN node1 to NG-RAN node2 to page UEs for a multicast session.

Direction: NG-RAN node1 → NG-RAN node2.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| IE/Group Name | Presence | Range | IE type and reference | Semantics description | Criticality | Assigned Criticality |
| Message Type | M |  | 9.2.3.1 |  | YES | reject |
| MBS Session ID | M |  | FFS |  | YES | reject |
| Further IEs FFS |  |  |  | Editor’s Note: in which way and whether UE Ids, POs, paging area, DRX, Paging Priority etc are included and structured is FFS |  |  |

<<<<<<<<<<<<<<<<<<<< End of Changes >>>>>>>>>>>>>>>>>>>>