**3GPP TSG-RAN WG3 Meeting #109-e *R3-20xxxx***

**E-meeting, 17 – 27 August, 2020**

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| *CR-Form-v12.0* |
| **CHANGE REQUEST** |
|  |
|  | **36.423** | **CR** | **CR#** | **rev** | **-** | **Current version:** | **16.2.0** |  |
|  |
| *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:***  | Support for intended NR TDD DL-UL configuration transfer for EN-DC using class 2 procedure |
|  |  |
| ***Source to WG:*** | Nokia, Nokia Shanghai Bell |
| ***Source to TSG:*** | R3 |
|  |  |
| ***Work item code:*** | NR\_CLI\_RIM-Core |  | ***Date:*** | 2020-08-24 |
|  |  |  |  |  |
| ***Category:*** | **F** |  | ***Release:*** | Rel-16 |
|  | *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 canbe 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-12 (Release 12)**Rel-13 (Release 13)Rel-14 (Release 14)Rel-15 (Release 15)Rel-16 (Release 16)* |
|  |  |
| ***Reason for change:*** | CLI measurements can be configured for NR cells in all MR-DC options, including EN-DC (TS 37.340 CR#0182r1). Support for this is currently missing in X2AP. |
|  |  |
| ***Summary of change:*** | Enable exchange of the intended NR TDD UL/DL configuration for EN-DC by introduction of a new NR Radio Indication procedure. Impact assessment towards the previous version of the specification (same release):This CR has functional impact towards the previous version of the specification (same release).The impact may be considered isolated impact because it is limited to support of exchange of the intended NR TDD UL/DL configuration for EN-DC. |
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| ***Consequences if not approved:*** | Missing X2AP support for feature introduced in TS 37.340. |
|  |  |
| ***Clauses affected:*** | 2, 7, 8.1, 8.7.x (new), 9.1.4.y (new) |
|  |  |
|  | **Y** | **N** |  |  |
| ***Other specs*** |  | **X** |  Other core specifications  | TS/TR ... CR ...  |
| ***affected:*** |  | **X** |  Test specifications | TS/TR ... CR ...  |
| ***(show related CRs)*** |  | **X** |  O&M Specifications | TS/TR ... CR ...  |
|  |  |
| ***Other comments:*** | ASN.1 to be added |
|  |  |
| ***This CR's revision history:*** |  |

# 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 36.401: "Evolved Universal Terrestrial Radio Access Network (E-UTRAN); Architecture Description".

[3] 3GPP TS 36.420: "Evolved Universal Terrestrial Radio Access Network (E-UTRAN); X2 General Aspects and Principles".

[4] 3GPP TS 36.413: "Evolved Universal Terrestrial Radio Access Network (E-UTRAN); S1 Application Protocol (S1AP)".

[5] ITU-T Recommendation X.691 (2002-07): "Information technology - ASN.1 encoding rules - Specification of Packed Encoding Rules (PER) ".

[6] 3GPP TS 32.422: "Telecommunication Management; Subscriber and Equipment Trace; Trace Control and Configuration Management".

[7] 3GPP TS 32.421: "Telecommunication Management; Subscriber and Equipment Trace; Trace concepts and requirements".

[8] 3GPP TS 36.424: "Evolved Universal Terrestrial Radio Access Network (E-UTRAN); X2 data transport".

[9] 3GPP TS 36.331: "Evolved Universal Terrestrial Radio Access (E-UTRAN); Radio Resource Control (RRC) Protocol Specification".

[10] 3GPP TS 36.211: "Evolved Universal Terrestrial Radio Access (E-UTRA); Physical Channels and Modulation".

[11] 3GPP TS 36.213: "Evolved Universal Terrestrial Radio Access (E-UTRA); Physical layer procedures ".

[12] 3GPP TS 23.401: "General Packet Radio Service (GPRS) enhancements for Evolved Universal Terrestrial Radio Access Network (E-UTRAN) access".

[13] 3GPP TS 23.203: "Policy and charging control architecture".

[14] 3GPP TS 24.301: "Non-Access-Stratum (NAS) protocol for Evolved Packet System; Stage 3".

[15] 3GPP TS 36.300: "Evolved Universal Terrestrial Radio Access (E-UTRA), Evolved Universal Terrestrial Radio Access Network (E-UTRAN); Overall description; stage 2".

[16] 3GPP TS 36.104: "Base Station (BS) radio transmission and reception ".

[17] Void.

[18] 3GPP TS 33.401: "Security architecture".

[19] 3GPP TS 36.414: "Evolved Universal Terrestrial Radio Access Network (E-UTRAN); S1 data transport".

[20] 3GPP TS 23.216: "Single Radio Voice Call Continuity (SRVCC)".

[21] 3GPP TS 36.422: "Evolved Universal Terrestrial Radio Access Network (E-UTRAN); X2 signaling transport".

[22] 3GPP TS 36.314: "Evolved Universal Terrestrial Radio Access Network (E-UTRAN); Layer 2 - Measurements".

[23] Void.

[24] 3GPP TS 25.413: "UTRAN Iu interface RANAP signalling"

[25] 3GPP TS 37.320: "Universal Terrestrial Radio Access (UTRA) and Evolved Universal Terrestrial Radio Access (E-UTRA); Radio measurement collection for Minimization of Drive Tests (MDT);Overall description; Stage 2".

[26] 3GPP TS 29.281: "General Packet Radio Service (GPRS); Tunnelling Protocol User Plane (GTPv1-U)".

[27] ITU-T Recommendation X.680 (2002-07): "Information technology – Abstract Syntax Notation One (ASN.1): Specification of basic notation".

[28] ITU-T Recommendation X.681 (2002-07): "Information technology – Abstract Syntax Notation One (ASN.1): Information object specification".

[29] 3GPP TS 23.003: "Technical Specification Group Core Network and Terminals; Numbering, addressing and identification".

[30] 3GPP TR 25.921 (version.7.0.0): "Guidelines and principles for protocol description and error handling".

[31] 3GPP TS 38.331: "NR; Radio Resource Control (RRC); Protocol Specification".

[32] 3GPP TS 37.340: "Evolved Universal Terrestrial Radio Access (E-UTRA) and NR; Multi-connectivity; Stage 2".

[33] 3GPP TS 38.323: "NR; Packet Data Convergence Protocol (PDCP) specification".

[34] 3GPP TS 38.401: "NG-RAN; Architecture description".

[35] IETF RFC 5905: "Network Time Protocol Version 4: Protocol and Algorithms Specification".

[36] 3GPP TS 26.247: "Transparent end-to-end Packet-switched Streaming Service (PSS); Progressive Download and Dynamic Adaptive Streaming over HTTP (3GP-DASH)".

[37] 3GPP TS 38.104: "NR; Base Station (BS) radio transmission and reception".

[38] 3GPP TS 23.501: "System Architecture for the 5G System"

[39] 3GPP TS 38.413: "NG Radio Access Network (NG-RAN); NG Application Protocol (NGAP)".

[40] 3GPP TS 36.322: "Evolved Universal Terrestrial Radio Access (E-UTRA); Radio Link Control (RLC) protocol specification".

[41] 3GPP TS 23.285: " Technical Specification Group Services and System Aspects; Architecture enhancements for V2X services".

[42] 3GPP TS 38.211: "NR; Physical channels and modulation".

[43] 3GPP TS 38.213: "NR; Physical layer procedures for control".

[44] 3GPP TS 38.473: "NG-RAN; F1 application protocol (F1AP)".

[45] 3GPP TS 38.314: "NR; Layer 2 Measurements".

[46] 3GPP TS 38.211: "NR; Physical channels and modulation".

[47] 3GPP TS 38.300: "NR; Overall description; Stage-2".

[48] 3GPP TS 38.472: "NG-RAN; F1 signalling transport"

[xx] 3GPP TS 38.423: "NG-RAN; Xn Application Protocol (XnAP)"

# 7 Functions of X2AP

The X2AP protocol provides the following functions:

- Mobility Management. This function allows the eNB to move the responsibility of a certain UE to another eNB. Forwarding of user plane data, Status Transfer and UE Context Release function are parts of the mobility management.

- Dual Connectivity. This function allows the eNB to request another eNB to provide radio resources for a certain UE while keeping responsibility for that UE.

- E-UTRA-NR Dual Connectivity. This function allows the eNB to request another en-gNB to provide radio resources for a certain UE while keeping responsibility for that UE.

- Load Management. This function is used by eNBs to indicate resource status, overload and traffic load to each other.

- Reporting of General Error Situations. This function allows reporting of general error situations, for which function specific error messages have not been defined.

- Resetting the X2. This function is used to reset the X2 interface.

- Setting up the X2. This function is used to exchange necessary data for the eNB or en-gNB for setup the X2 interface and implicitly perform an X2 Reset.

- eNB Configuration Update. This function allows updating of application level data needed for two eNBs to interoperate correctly over the X2 interface.

- Mobility Parameters Management. This function allows the eNB to coordinate adaptation of mobility parameter settings with a peer eNB.

- Mobility Robustness Optimisation. This function allows reporting of information related to mobility failure events.

- Energy Saving. This function allows decreasing energy consumption by enabling indication of cell activation/deactivation over the X2 interface.

- X2 Release. This function allows an eNB to be aware that the signalling connection to a peer eNB is unavailable.

- Message Transfer. This function allows indirect transport of X2AP messages to a peer eNB.

- Registration. This function allows registration of eNB in case indirect transport of X2AP messages is supported.

- Removing the X2. This function allows removing the signalling connection between two eNBs or between eNB and en-gNB in a controlled manner.

- Inter-eNB UE Context Retrieval. This function allows retrieval of a UE context in case of resumption or re-establishment of an RRC connection.

- Secondary RAT Data Usage Report. This function allows eNB to get the uplink and downlink data volumes for the Secondary RAT on a per E-RAB basis.

- E-UTRA - NR Spectrum Sharing. This function allows uplink and downlink spectrum sharing between a number of E - UTRA and a number of NR cells with overlapping coverage.

- EN-DC Configuration Transfer. This function supports en-gNB X2 TNL address discovery.

- EN-DC Load Management. This function is used by MeNB/en-gNB to indicate resource status, overload and traffic load to each other.

The mapping between the above functions and X2 EPs is shown in the table below.

Table 7-1: Mapping between X2AP functions and X2AP EPs

| Function | Elementary Procedure(s) |
| --- | --- |
| Mobility Management | a) Handover Preparationb) SN Status Transferc) UE Context Released) Handover Cancel e) Handover Successf) Conditional Handover Cancel |
| Dual Connectivity | a) SeNB Addition Preparationb) SeNB Reconfiguration Completionc) MeNB initiated SeNB Modification Preparationd) SeNB initiated SeNB Modificatione) MeNB initiated SeNB Releasef) SeNB initiated SeNB Releaseg) SeNB Counter Check |
| E-UTRA-NR Dual Connectivity | a) SgNB Addition Preparationb) SgNB Reconfiguration Completionc) MeNB initiated SgNB Modification Preparationd) SgNB initiated SgNB Modificatione) SgNB changef) MeNB initiated SgNB Releaseg) SgNB initiated SgNB Releaseh) SgNB Counter Checki) RRC transferj) EN-DC X2 Setupk) EN-DC Configuration Updatel) EN-DC Cell Activationm) SgNB Activity Notificationn) EN-DC X2 Removalo) gNB Status Indication p) EN-DC Resource Status Reporting Initiationq) EN-DC Resource Status Reportingr) F1-C Traffic Transfers) NR Radio Indication |
| Load Management | a) Load Indicationb) Resource Status Reporting Initiationc) Resource Status Reporting |
| Reporting of General Error Situations | Error Indication |
| Resetting the X2 | Reset |
| Setting up the X2 | X2 Setup |
| eNB Configuration Update | a) eNB Configuration Updateb) Cell Activation |
| Mobility Parameters Management | Mobility Settings Change |
| Mobility Robustness Optimisation | a) Radio Link Failure Indicationb) Handover Report |
| Energy Saving | a) eNB Configuration Updateb) Cell Activation |
| X2 Release | X2 Release |
| Message Transfer Registration | X2AP Message Transfer |
| Removing the X2 | X2 Removal |
| Inter-eNB UE Context Retrieval | a) Retrieve UE Contextb) Data Forwarding Address Indication |
| Secondary RAT Data Usage Report | Secondary RAT Data Usage Report |
| E-UTRA – NR Spectrum Sharing | E-UTRA - NR Cell Resource Coordination |
| EN-DC Configuration Transfer | EN-DC Configuration Transfer |

# 8 X2AP procedures

## 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 |
| Reset | RESET REQUEST | RESET RESPONSE |  |
| X2 Setup  | X2 SETUP REQUEST | X2 SETUP RESPONSE | X2 SETUP FAILURE |
| eNB Configuration Update | ENB CONFIGURATION UPDATE | ENB CONFIGURATION UPDATE ACKNOWLEDGE | ENB CONFIGURATION UPDATE FAILURE |
| 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 |
| Cell Activation | CELL ACTIVATION REQUEST | CELL ACTIVATION RESPONSE | CELL ACTIVATION FAILURE |
| SeNB Addition Preparation | SENB ADDITION REQUEST | SENB ADDITION REQUEST ACKNOWLEDGE | SENB ADDITION REQUEST REJECT |
| MeNB initiated SeNB Modification Preparation | SENB MODIFICATION REQUEST | SENB MODIFICATION REQUEST ACKNOWLEDGE | SENB MODIFICATION REQUEST REJECT |
| SeNB initiated SeNB Modification | SENB MODIFICATION REQUIRED | SENB MODIFICATION CONFIRM | SENB MODIFICATION REFUSE |
| SeNB initiated SeNB Release | SENB RELEASE REQUIRED | SENB RELEASE CONFIRM |  |
| X2 Removal | X2 REMOVAL REQUEST | X2 REMOVAL RESPONSE | X2 REMOVAL FAILURE |
| Retrieve UE Context | RETRIEVE UE CONTEXT REQUEST | RETRIEVE UE CONTEXT RESPONSE | RETRIEVE UE CONTEXT FAILURE |
| SgNB Addition Preparation | SGNB ADDITION REQUEST | SGNB ADDITION REQUEST ACKNOWLEDGE | SGNB ADDITION REQUEST REJECT |
| MeNB initiated SgNB Modification Preparation | SGNB MODIFICATION REQUEST | SGNB MODIFICATION REQUEST ACKNOWLEDGE | SGNB MODIFICATION REQUEST REJECT |
| SgNB initiated SgNB Modification | SGNB MODIFICATION REQUIRED | SGNB MODIFICATION CONFIRM | SGNB MODIFICATION REFUSE |
| SgNB change  | SGNB CHANGE REQUIRED | SGNB CHANGE CONFIRM | SGNB CHANGE REFUSE |
| MeNB initiated SgNB Release | SGNB RELEASE REQUEST | SGNB RELEASE REQUEST ACKNOWLEDGE | SGNB RELEASE REQUEST REJECT |
| SgNB initiated SgNB Release | SGNB RELEASE REQUIRED | SGNB RELEASE CONFIRM |  |
| EN-DC X2 Setup  | EN-DC X2 SETUP REQUEST | EN-DC X2 SETUP RESPONSE | EN-DC X2 SETUP FAILURE |
| EN-DC Configuration Update | EN-DC CONFIGURATION UPDATE | EN-DC CONFIGURATION UPDATE ACKNOWLEDGE | EN-DC CONFIGURATION UPDATE FAILURE |
| EN-DC Cell Activation | EN-DC CELL ACTIVATION REQUEST | EN-DC CELL ACTIVATION RESPONSE | EN-DC CELL ACTIVATION FAILURE |
| E-UTRA - NR Cell Resource Coordination | E-UTRA - NR CELL RESOURCE COORDINATION REQUEST | E-UTRA - NR CELL RESOURCE COORDINATION RESPONSE |  |
| EN-DC X2 Removal | EN-DC X2 REMOVAL REQUEST | EN-DC X2 REMOVAL RESPONSE | EN-DC X2 REMOVAL FAILURE |
| EN-DC Resource Status Reporting Initiation | EN-DC RESOURCE STATUS REQUEST | EN-DC RESOURCE STATUS RESPONSE | EN-DC RESOURCE STATUS FAILURE |

Table 8.1-2: Class 2 Elementary Procedures

| Elementary Procedure | Initiating Message |
| --- | --- |
| Load Indication | LOAD INFORMATION |
| Handover Cancel | HANDOVER CANCEL |
| SN Status Transfer | SN STATUS TRANSFER |
| UE Context Release | UE CONTEXT RELEASE |
| Resource Status Reporting | RESOURCE STATUS UPDATE |
| Error Indication | ERROR INDICATION |
| Radio Link Failure Indication | RLF INDICATION |
| Handover Report | HANDOVER REPORT |
| X2 Release | X2 RELEASE |
| X2AP Message Transfer | X2AP MESSAGE TRANSFER |
| SeNB Reconfiguration Completion | SENB RECONFIGURATION COMPLETE |
| MeNB initiated SeNB Release | SENB RELEASE REQUEST |
| SeNB Counter Check | SENB COUNTER CHECK REQUEST |
| SgNB Reconfiguration Completion | SGNB RECONFIGURATION COMPLETE |
| SgNB Counter Check | SGNB COUNTER CHECK REQUEST |
| RRC Transfer | RRC TRANSFER |
| Secondary RAT Data Usage Report | SECONDARY RAT DATA USAGE REPORT |
| SgNB Activity Notification | SGNB ACTIVITY NOTIFICATION |
| Data Forwarding Address Indication | DATA FORWARDING ADDRESS INDICATION |
| gNB Status Indication | GNB STATUS INDICATION |
| EN-DC Configuration Transfer | EN-DC CONFIGURATION TRANSFER |
| Trace Start | TRACE START |
| Deactivate Trace | DEACTIVATE TRACE |
| Handover Success | HANDOVER SUCCESS |
| Conditional Handover Cancel | CONDITIONAL HANDOVER CANCEL |
| Early Status Transfer | EARLY STATUS TRANSFER |
| EN-DC Resource Status Reporting | EN-DC RESOURCE STATUS UPDATE |
| Cell Traffic Trace | CELL TRAFFIC TRACE |
| F1-C Traffic Transfer | F1-C TRAFFIC TRANSFER |
| NR Radio Indication | NR RADIO INDICATION |

### 8.7.x NR Radio Indication

#### 8.7.x.1 General

The purpose of the NR Radio Indication procedure is to to transfer interference co-ordination information for NR cells between eNB and en-gNB, and between eNBs.

The procedure uses non UE-associated signalling.

#### 8.7.x.2 Successful Operation



Figure 8.7.x.2-1: en-gNB initiated NR Radio Indication, successful operation



Figure 8.3.1.2-2: eNB initiated NR Radio Indication, successful operation

An en-gNB initiates the procedure by sending NR RADIO INDICATION message to an eNB. Alternatively, an eNB1 initiates the procedure by sending NR RADIO INDICATION message to a peer eNB2 or to an en-gNB,

If the *Intended TDD DL-UL Configuration NR* IE is contained in the NR RADIO INDICATION message, the receiving en-gNB should take this information into account for cross-link interference management. The en-gNB shall consider the received *Intended TDD DL-UL Configuration NR* IE content valid until reception of an update of the IE for the same cell(s).

**Interaction with the NR Radio Indication procedure:**

The receiving eNB may forward the *Intended TDD DL-UL Configuration NR* IE received in the NR RADIO INDICATION message to en-gNBs or neighbouring eNBs by triggering a new NR Radio Indication procedure.

#### 8.7.x.3 Unsuccessful Operation

Not applicable.

#### 8.7.x.4 Abnormal Conditions

Void.

#### 9.1.4.y NR RADIO INDICATION

This message is sent by an en-gNB to an eNB, or by an eNB to a neighbouring eNB or to en en-gNB, to transfer interference co-ordination information.

Directions: en-gNB → eNB, eNB → en-gNB, eNB1 → eNB2.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| IE/Group Name | Presence | Range | IE type and reference | Semantics description | Criticality | Assigned Criticality |
| Message Type | M |  | 9.2.13 |  | YES | ignore |
| NR Cell Information | M |  |  |  | YES | ignore |
| **>NR Cell Information Item** |  | *1 .. <maxCellinengNB>* |  |  | EACH | ignore |
| >>Cell ID | M |  | NR CGI 9.2.111 |  | – |  |
| >>Intended TDD DL-UL Configuration NR | O |  | OCTET STRING | Contains the *Intended TDD DL-UL Configuration NR* IE as defined in TS 38.423 [xx]. | – |  |

|  |  |
| --- | --- |
| Range bound | Explanation |
| maxCellinengNB | Maximum no. cells that can be served by an en-gNB. Value is 16384. |