3GPP TSG-RAN WG3 Meeting #108-e R3-204388

**1st - 11th Jun 2020**

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| *CR-Form-v12.0* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
|  | | | | | | | | |
|  | **38.423** | **CR** | **0381** | **rev** | **4** | **Current version:** | **16.1.0** |  |
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| *For* ***[HE](http://www.3gpp.org/3G_Specs/CRs.htm" \l "_blank)******[LP](http://www.3gpp.org/3G_Specs/CRs.htm" \l "_blank)*** *on using this form: comprehensive instructions can be found at  <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:*** | Clarification on MIB only scenario | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Source to WG:*** | ZTE, China Telecom, CATT, China Unicom, Nokia, Nokia Shanghai Bell, Samsung, Huawei | | | | | | | | | |
| ***Source to TSG:*** | RAN3 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | NR\_newRAT-Core | | | | |  | ***Date:*** | | | 2020-06-12 |
|  |  | | | |  | |  | | |  |
| ***Category:*** | A |  | | | | | ***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 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-12 (Release 12)* *Rel-13 (Release 13) Rel-14 (Release 14) Rel-15 (Release 15) Rel-16 (Release 16)* | |
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| ***Reason for change:*** | | According to TS37.340, in MR-DC, the SN is not required to broadcast system information other than for radio frame timing and SFN.  The *Served Cell Information NR* IE contains information derived from SIB1, however, if the gNB does not broadcast SIB1, it needs to be clarified how the content of the *Served Cell Information NR* IE has to be interpreted by the peer node. | | | | | | | | |
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| ***Summary of change:*** | | Add the Note for Xn Setup and NG-RAN node Configuration Update, that XnAP does not explicitly specify how to use application level configuration data if the SN does not broadcast system information info other than for radio frame timing and SFN.  Impact Analysis:  Impact assessment towards the previous version of the specification (same release):  This CR has isolated impact since the changes only clarify “MIB only” case.  No ASN.1 impact. | | | | | | | | |
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| ***Consequences if not approved:*** | | There still remain some ambiguities on how to support the option of Secondary gNB broadcasting MIB only in MR-DC scenario. | | | | | | | | |
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| ***Clauses affected:*** | | 8.4.1.1, 8.4.2.1 | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **Y** | **N** |  | | | |  | | |
| ***Other specs*** | | **X** |  | Other core specifications | | | | TS36.423 CR1493 R15  TS36.423 CR1494 R16  TS38.423 CR0379 R15 | | |
| ***affected:*** | |  | **X** | Test specifications | | | |  | | |
| ***(show related CRs)*** | |  | **X** | O&M Specifications | | | |  | | |
|  | |  | | | | | | | | |
| ***Other comments:*** | |  | | | | | | | | |
|  | |  | | | | | | | | |
| ***This CR's revision history:*** | | V1: update the semantics description for optional IEs  V2: add note for procedure text  V3: rewording the text  V4: rewording the text | | | | | | | | |

////////////////////////////////////////////////////////////////////////start of change///////////////////////////////////////////////////////////////////////////

## 8.4 Global procedures

### 8.4.1 Xn Setup

#### 8.4.1.1 General

The purpose of the Xn Setup procedure is to exchange application level configuration data needed for two NG-RAN nodes to interoperate correctly over the Xn-C interface.

NOTE: If Xn-C signalling transport is shared among multiple Xn-C interface instances, one Xn Setup procedure is issued per Xn-C interface instance to be setup, i.e. several Xn Setup procedures may be issued via the same TNL association after that TNL association has become operational.

NOTE: Exchange of application level configuration data also applies between two NG-RAN nodes in case the SN (i.e. the gNB) does not broadcast system information other than for radio frame timing and SFN, as specified in the TS 37.340 [8]. How to use this information when this option is used is not explicitly specified.

The procedure uses non UE-associated signalling.

#### 8.4.1.2 Successful Operation



Figure 8.4.1.2: Xn Setup, successful operation

The NG-RAN node1 initiates the procedure by sending the XN SETUP REQUEST message to the candidate NG-RAN node2. The candidate NG-RAN node2 replies with the XN SETUP RESPONSE message.

The *AMF Region Information* IE in the XN SETUP REQUEST message shall contain a complete list of Global AMF Region IDs to which the NG-RAN node1 belongs. The *AMF Region Information* IE in the XN SETUP RESPONSE message shall contain a complete list of Global AMF Region IDs to which the NG-RAN node2 belongs.

The *List of Served Cells NR* IE and the *List of Served Cells E-UTRA* IE, if contained in the XN SETUP REQUEST message, shall contain a complete list of cells served by NG-RAN node1 or, if supported, a partial list of served cells together with the *Partial List Indicator* IE. The *List of Served Cells NR* IE and the *List of Served Cells E-UTRA* IE, if contained in the XN SETUP RESPONSE message, shall contain a complete list of cells served by NG-RAN node2 or, if supported, a partial list of served cells together with the *Partial List Indicator* IE.

If Supplementary Uplink is configured at the NG-RAN node1, the NG-RAN node1 shall include in the XN SETUP REQUEST message the *SUL Information* IE and the *Supported SUL band List* IE for each served cell where supplementary uplink is configured.

If Supplementary Uplink is configured at the NG-RAN node2, the candidate NG-RAN node2 shall include in the XN SETUP RESPONSE message the *SUL Information* IE and the *Supported SUL band List* IE for each served cell where supplementary uplink is configured.

If the NG-RAN node1 is an ng-eNB, it may include the *Protected E-UTRA Resource Indication* IE into the XN SETUP REQUEST. If the XN SETUP REQUEST sent by an ng-eNB contains the *Protected E-UTRA Resource Indication* IE, the receiving gNB should take this into account for cell-level resource coordination with the ng-eNB. The gNB shall consider the received *Protected E-UTRA Resource Indication* IE content valid until reception of a new update of the IE for the same ng-eNB.

The protected resource pattern indicated in the *Protected E-UTRA Resource Indication* IE is not valid in subframes indicated by the *Reserved Subframes* IE, as well as in the non-control region of the MBSFN subframes i.e. it is valid only in the control region therein. The size of the control region of MBSFN subframes is indicated in the *Protected E-UTRA Resource Indication* IE.

In case of network sharing with multiple cell ID broadcast with shared Xn-C signalling transport, as specified in TS 38.300 [9], the XN SETUP REQUEST message and the XN SETUP RESPONSE message shall include the *Interface Instance Indication* IE to identify the corresponding interface instance.

If the *Intended TDD DL-UL Configuration NR* IE is included in the XN SETUP REQUEST or XN SETUP RESPONSE message, the receiving NG-RAN node should take this information into account for cross-link interference management with the sending NG-RAN node. The receiving NG-RAN node 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).

If the *TNL Configuration Info* IE is contained in the XN SETUP REQUEST message, the NG-RAN node2 shall, if supported, take this IE into account for IPSec establishment.

If the *TNL Configuration Info* IE is contained in the XN SETUP RESPONSE message, the NG-RAN node1 shall, if supported, take this IE into account for IPSec establishment.

If the *Partial List Indicator NR* IE or the *Partial List Indicator NR* IE is set to “partial” in the XN SETUP REQUEST message the candidate NG-RAN node2 shall, if supported, assume that the *List of Served Cells NR* IE or the *List of Served Cells E-UTRA* IE in the XN SETUP REQUEST message includes a partial list of cells.

If the *Partial List Indicator NR* IE or the *Partial List Indicator NR* IE is set to “partial” in the XN SETUP RESPONSE message from the candidate NG-RAN node2, the NG-RAN node1 shall, if supported, assume that the *List of Served Cells NR* IE or the *List of Served Cells E-UTRA* IE in the XN SETUP RESPONSE message includes a partial list of cells.

If the *Cell and Capacity Assistance Information NR* IE or the *Cell and Capacity Assistance Information E-UTRA* IE is present in the XN SETUP REQUEST message the candidate NG-RAN node2 shall, if supported, use it when generating the list of NG-RAN served cell information to include in the XN SETUP RESPONSE message.

If the *Cell and Capacity Assistance Information NR* IE or the *Cell and Capacity Assistance Information E-UTRA* IE is present in the XN SETUP RESPONSE message from the candidate NG-RAN node2, the NG-RAN node1 shall, if supported, store the collected information to be used for future NG-RAN node interface management.

#### 8.4.1.3 Unsuccessful Operation



Figure 8.4.1.3-1: Xn Setup, unsuccessful operation

If the candidate NG-RAN node2 cannot accept the setup it shall respond with the XN SETUP FAILURE message with appropriate cause value.

If the XN SETUP FAILURE message includes the *Time To Wait* IE, the initiating NG-RAN node1 shall wait at least for the indicated time before reinitiating the Xn Setup procedure towards the same NG-RAN node2.

If case of network sharing with multiple Cell ID broadcast with shared Xn-C signalling transport, as specified in TS 38.300 [9], the XN SETUP REQUEST message and the XN SETUP REQUEST FAILURE message shall include the *Interface Instance Indication* IE to identify the corresponding interface instance.

If the *Message Oversize Notification* IE is included in the XN SETUP FAILURE, the initiating node shall, if supported, deduce that the failure is due to a too large XN SETUP REQUEST message and ensure that the total number of served cells in following XN SETUP REQUEST message is equal to or lower than the value of the *Maximum Cell List Size* IE.

#### 8.4.1.4 Abnormal Conditions

If the first message received for a specific TNL association is not an XN SETUP REQUEST, XN SETUP RESPONSE, or XN SETUP FAILURE message then this shall be treated as a logical error.

If the initiating NG-RAN node1 does not receive either XN SETUP RESPONSE message or XN SETUP FAILURE message, the NG-RAN node1 may reinitiate the Xn Setup procedure towards the same NG-RAN node, provided that the content of the new XN SETUP REQUEST message is identical to the content of the previously unacknowledged XN SETUP REQUEST message.

If the initiating NG-RAN node1 receives an XN SETUP REQUEST message from the peer entity on the same Xn interface:

- In case the NG-RAN node1 answers with an XN SETUP RESPONSE message and receives a subsequent Xn SETUP FAILURE message, the NG-RAN node1 shall consider the Xn interface as non operational and the procedure as unsuccessfully terminated according to sub clause 8.4.1.3.

- In case the NG-RAN node1 answers with an XN SETUP FAILURE message and receives a subsequent XN SETUP RESPONSE message, the NG-RAN node1 shall ignore the XN SETUP RESPONSE message and consider the Xn interface as non operational.

### 8.4.2 NG-RAN node Configuration Update

#### 8.4.2.1 General

The purpose of the NG-RAN node Configuration Update procedure is to update application level configuration data needed for two NG-RAN nodes to interoperate correctly over the Xn-C interface.

NOTE: Update of application level configuration data also applies between two NG-RAN nodes in case the SN (i.e. the gNB) does not broadcast system information other than for radio frame timing and SFN, as specified in the TS 37.340 [8]. How to use this information when this option is used is not explicitly specified.

The procedure uses non UE-associated signalling.

#### 8.4.2.2 Successful Operation



Figure 8.4.2.2-1: NG-RAN node Configuration Update, successful operation

The NG-RAN node1 initiates the procedure by sending the NG-RAN NODE CONFIGURATION UPDATE message to a peer NG-RAN node2.

If Supplementary Uplink is configured at the NG-RAN node1, the NG-RAN node1 shall include in the NG-RAN NODE CONFIGURATION UPDATE message the *SUL Information* IE and the *Supported SUL band List* IE for each cell added in the *Served NR Cells To Add* IE and in the *Served NR Cells To Modify* IE.

If Supplementary Uplink is configured at the NG-RAN node2, the NG-RAN node2 shall include in the NG-RAN NODE CONFIGURATION UPDATE ACKNOWLEDGE message the *SUL Information* IE and the *Supported SUL band List* IE for each cell added in the *Served NR Cells* IE if any.

If the *TAI Support List* IE is included in the NG-RAN NODE CONFIGURATION UPDATE message, the receiving node shall replace the previously provided *TAI Support List* IE by the received *TAI Support List* IE.

If the *Cell Assistance Information NR* IE is present, the NG-RAN node2 shall, if supported, use it to generate the *Served NR Cells* IE and include the list in the NG-RAN NODE CONFIGURATION UPDATE ACKNOWLEDGE message.

If the *Partial List Indicator NR* IE is included in the NG-RAN NODE CONFIGURATION UPDATE ACKNOWLEDGE message and set to "partial" the NG-RAN node1 shall, if supported, assume that the *Served NR Cells* IE in the NG-RAN NODE CONFIGURATION UPDATE ACKNOWLEDGE message includes a partial list of NR cells.

If the *Cell and Capacity Assistance Information NR* IE is present in the NG-RAN NODE CONFIGURATION UPDATE ACKNOWLEDGE message from the candidate NG-RAN node2, the NG-RAN node1 shall, if supported, store the collected information to be used for future NG-RAN node interface management.

Upon reception of the NG-RAN NODE CONFIGURATION UPDATE message, NG-RAN node2 shall update the information for NG-RAN node1 as follows:

If case of network sharing with multiple cell ID broadcast with shared Xn-C signalling transport, as specified in TS 38.300 [9], the NG-RAN NODE CONFIGURATION UPDATE message and the NG-RAN NODE CONFIGURATION UPDATE ACKNOWLEDGE message shall include the *Interface Instance Indication* IE to identify the corresponding interface instance.

**Update of Served Cell Information NR:**

- If *Served Cells NR To Add* IE is contained in the NG-RAN NODE CONFIGURATION UPDATE message, NG-RAN node2 shall add cell information according to the information in the *Served Cell Information* *NR* IE.

- If *Served Cells NR To Modify* IE is contained in the NG-RAN NODE CONFIGURATION UPDATE message, NG-RAN node2 shall modify information of cell indicated by *Old NR-CGI* IE according to the information in the *Served Cell Information* *NR* IE.

- When either served cell information or neighbour information of an existing served cell in NG-RAN node1 need to be updated, the whole list of neighbouring cells, if any, shall be contained in the *Neighbour Information NR* IE. The NG-RAN node2 shall overwrite the served cell information and the whole list of neighbour cell information for the affected served cell.

- If the *Deactivation Indication* IE is contained in the *Served Cells NR To Modify* IE, it indicates that the concerned cell was switched off to lower energy consumption.

- If *Served Cells NR To Delete* IE is contained in the NG-RAN NODE CONFIGURATION UPDATE message, NG-RAN node2 shall delete information of cell indicated by *Old NR-CGI* IE.

- If the *Intended TDD DL-UL Configuration NR* IE is contained in the NG-RAN NODE CONFIGURATION UPDATE message, the NG-RAN node2 should take this information into account for cross-link interference management with the NG-RAN node1. The NG-RAN node2 shall consider the received *Intended TDD DL-UL Configuration NR* IE content valid until reception of a new update of the IE for the same NG-RAN node2.

**Update of Served Cell Information** **E-UTRA:**

- If *Served Cells* *E-UTRA To Add* IE is contained in the NG-RAN NODE CONFIGURATION UPDATE message, NG-RAN node2 shall add cell information according to the information in the *Served Cell Information* *E-UTRA* IE.

- If *Served Cells E-UTRA To Modify* IE is contained in the NG-RAN NODE CONFIGURATION UPDATE message, NG-RAN node2 shall modify information of cell indicated by *Old ECGI* IE according to the information in the *Served Cell Information* *E-UTRA* IE.

- When either served cell information or neighbour information of an existing served cell in NG-RAN node1 need to be updated, the whole list of neighbouring cells, if any, shall be contained in the *Neighbour Information E-UTRA* IE. The NG-RAN node2 shall overwrite the served cell information and the whole list of neighbour cell information for the affected served cell.

- If the *Deactivation Indication* IE is contained in the *Served Cells E-UTRA To Modify* IE, it indicates that the concerned cell was switched off to lower energy consumption.

- If the *Served Cells E-UTRA To Delete* IE is contained in the NG-RAN NODE CONFIGURATION UPDATE message, NG-RAN node2 shall delete information of cell indicated by *Old ECGI* IE.

- If the *Protected E-UTRA Resource Indication* IE is included into the NG-RAN NODE CONFIGURATION UPDATE (inside the *Served Cell Information* *E-UTRA* IE), the receiving gNB should take this into account for cell-level resource coordination with the ng-eNB. The gNB shall consider the received *Protected E-UTRA Resource Indication* IE content valid until reception of a new update of the IE for the same ng-eNB. The protected resource pattern indicated in the *Protected E-UTRA Resource Indication* IE is not valid in subframes indicated by the *Reserved Subframes* IE (contained in E-UTRA - NR CELL RESOURCE COORDINATION REQUEST messages), as well as in the non-control region of the MBSFN subframes i.e. it is valid only in the control region therein. The size of the control region of MBSFN subframes is indicated in the *Protected E-UTRA Resource Indication* IE.

**Update of TNL addresses for SCTP associations:**

If the *TNL Association to Add List* IE is included in the NG-RAN NODE CONFIGURATION UPDATE message, the NG-RAN node2 shall, if supported, use it to establish the TNL association(s) with the NG-RAN node1. The NG-RAN node2 shall report to the NG-RAN node1, in the NG-RAN NODE CONFIGURATION UPDATE ACKNOWLEDGE message, the successful establishment of the TNL association(s) with the NG-RAN node1 as follows:

- A list of successfully established TNL associations shall be included in the *TNL Association Setup List* IE;

- A list of TNL associations that failed to be established shall be included in the *TNL Association Failed to Setup List* IE.

If the *TNL Association to Remove List* IE is included in the NG-RAN NODE CONFIGURATION UPDATE message the NG-RAN node2 shall, if supported, initiate removal of the TNL association(s) indicated by the received Transport Layer information towards the NG-RAN node1.

If the *TNL Association to Update List* IE is included in the NG-RAN NODE CONFIGURATION UPDATE message the NG-RAN node2 shall, if supported, update the TNL association(s) indicated by the received Transport Layer information towards the NG-RAN node1.

**Update of AMF Region Information:**

- If *AMF Region Information To Add* IE is contained in the NG-RAN NODE CONFIGURATION UPDATE message, the NG-RAN node2 shall add the AMF Regions to its AMF Region List.

- If *AMF Region Information To Delete* IE is contained in the NG-RAN NODE CONFIGURATION UPDATE message, the NG-RAN node2 shall remove the AMF Regions from its AMF Region List.

If the *TNL Configuration Info* IE is contained in the NG-RAN NODE CONFIGURATION UPDATE message, the NG-RAN node2 shall take this IE into account for IPSec establishment.

If the *TNL Configuration Info* IE is contained in the NG-RAN NODE CONFIGURATION UPDATE ACKNOWLEDGE message, the NG-RAN node1 shall take this IE into account for IPSec establishment.

#### 8.4.2.3 Unsuccessful Operation



Figure 8.4.2.3-1: NG-RAN node Configuration Update, unsuccessful operation

If the NG-RAN node2 cannot accept the update it shall respond with the NG-RAN NODE CONFIGURATION UPDATE FAILURE message and appropriate cause value.

If the NG-RAN NODE CONFIGURATION UPDATE FAILURE message includes the *Time To Wait* IE, the NG-RAN node1 shall wait at least for the indicated time before reinitiating the NG-RAN Node Configuration Update procedure towards the same NG-RAN node2. Both nodes shall continue to operate the Xn with their existing configuration data.

If case of network sharing with multiple cell ID broadcast with shared Xn-C signalling transport, as specified in TS 38.300 [9], the NG-RAN NODE CONFIGURATION UPDATE message and the NG-RAN NODE CONFIGURATION UPDATE FAILURE message shall include the *Interface Instance Indication* IE to identify the corresponding interface instance.

#### 8.4.2.4 Abnormal Conditions

If the NG-RAN node1 after initiating NG-RAN node Configuration Update procedure receives neither NG-RAN NODE CONFIGURATION UPDATE ACKNOWLEDGE message nor NG-RAN NODE CONFIGURATION UPDATE FAILURE message, the NG-RAN node1 may reinitiate the NG-RAN node Configuration Update procedure towards the same NG-RAN node2, provided that the content of the new NG-RAN NODE CONFIGURATION UPDATE message is identical to the content of the previously unacknowledged NG-RAN NODE CONFIGURATION UPDATE message.