**3GPP TSG-RAN WG3 Meeting #119bis-e R3-231184**

**Electronic meeting, 17 Apr – 26 Apr, 2023**

**Title:** (TP for MDT BL CR for TS 38.423) Addition of PNI-NPN in MDT Area Scope

**Source:** Huawei, China Telecom, CMCC

**Agenda item:** 10.2.4

**Document Type:** Discussion

# Introduction

This document contains the Xn TP mirroring to the corresponding NGAP TPs agreed in R3-231022 and in RAN3 # 119bis e-meeting.

# 2 TP for MDT BLCR for TS 38.423

/\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*Start of changes\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*/

### 8.2.1 Handover Preparation

#### 8.2.1.1 General

This procedure is used to establish necessary resources in an NG-RAN node for an incoming handover. If the procedure concerns a conditional handover, parallel transactions are allowed. Possible parallel requests are identified by the target cell ID when the source UE AP IDs are the same.

The procedure uses UE-associated signalling.

#### 8.2.1.2 Successful Operation



Figure 8.2.1.2-1: Handover Preparation, successful operation

The source NG-RAN node initiates the procedure by sending the HANDOVER REQUEST message to the target NG-RAN node. When the source NG-RAN node sends the HANDOVER REQUEST message, it shall start the timer TXnRELOCprep.

If the *Conditional Handover Information Request* IE is contained in the HANDOVER REQUEST message, the target NG-RAN node shall consider that the request concerns a conditional handover and shall include the *Conditional Handover Information* *Acknowledge* IE in the HANDOVER REQUEST ACKNOWLEDGE message.

If the *Target NG-RAN node UE XnAP ID* IE is contained in the *Conditional Handover Information Request* IE included in the HANDOVER REQUEST message, then the target NG-RAN node shall remove the existing prepared conditional HO identified by the *Target NG-RAN node UE XnAP ID* IE and the *Target Cell Global ID* IE. It is up to the implementation of the target NG-RAN node when to remove the HO information.

Upon reception of the HANDOVER REQUEST ACKNOWLEDGE message, the source NG-RAN node shall stop the timer TXnRELOCprep and terminate the Handover Preparation procedure. If the procedure was initiated for an immediate handover, the source NG-RAN node shall start the timer TXnRELOCoverall. The source NG-RAN node is then defined to have a Prepared Handover for that Xn UE-associated signalling.

For each *E-RAB ID* IE included in the *QoS Flow To Be Setup List* IE in the HANDOVER REQUEST message, the target NG-RAN node shall, if supported, store the content of the IE in the UE context and use it for subsequent inter-system handover.

If the *Masked IMEISV* IE is contained in the HANDOVER REQUEST message the target NG-RAN node shall, if supported, use it to determine the characteristics of the UE for subsequent handling.

At reception of the HANDOVER REQUEST message the target NG-RAN node shall prepare the configuration of the AS security relation between the UE and the target NG-RAN node by using the information in the *UE Security Capabilities* IE and the *AS Security Information* IE in the *UE Context Information* IE, as specified in TS 33.501 [28].

Upon reception of the *PDU Session Resource Setup List* IE, contained in the HANDOVER REQUEST message, the target NG-RAN node shall behave the same as specified in TS 38.413 [5] for the PDU Session Resource Setup procedure. The target NG-RAN node shall report in the HANDOVER REQUEST ACKNOWLEDGE message the successful establishment of the result for all the requested PDU session resources. When the target NG-RAN node reports the unsuccessful establishment of a PDU session resource, the cause value should be precise enough to enable the source NG-RAN node to know the reason for the unsuccessful establishment.

For each PDU session if the *PDU Session Aggregate Maximum Bit Rate* IE is included in the *PDU Session Resources To Be Setup List* IE contained in the HANDOVER REQUEST message, the target NG-RAN node shall store the received PDU Session Aggregate Maximum Bit Rate in the UE context and use it when enforcing traffic policing for Non-GBR QoS flows for the concerned UE as specified in TS 23.501 [7].

For each QoS flow for which the source NG-RAN node proposes to perform forwarding of downlink data, the source NG-RAN node shall include the *DL Forwarding* IE set to "DL forwarding proposed" within the *Data Forwarding and* *Offloading Info from source NG-RAN node* IE in the *PDU Session Resources To Be Setup List* IE in the HANDOVER REQUEST message. The source NG-RAN node shall include the *DL Forwarding* IE set to "DL forwarding proposed" for all the QoS flows mapped to a DRB, if it requests a DAPS handover for that DRB.

For each PDU session for which the target NG-RAN node decides to admit the data forwarding for at least one QoS flow, the target NG-RAN node may include the *PDU Session level DL data forwarding UP TNL Information* IE within the *Data Forwarding Info from target NG-RAN node* IE in the *PDU Session Resource Admitted Info* IE contained in the *PDU Session Resources Admitted List* IE in the HANDOVER REQUEST ACKNOWLEDGE message.

For each QoS flow for which the source NG-RAN node has not yet received the SDAP end marker packet if QoS flow re-mapping happened before handover, the source NG-RAN node shall include the *UL Forwarding* *Proposal* IE within the *Data Forwarding and Offloading Info from source NG-RAN node* IE in the HANDOVER REQUEST message, and if the target NG-RAN node decides to admit uplink data forwarding for at least one QoS flow, the target NG-RAN node may include the *PDU Session Level UL Data Forwarding UP TNL Information* IE in the *Data Forwarding Info from target NG-RAN node* IE in the *PDU Session Resources Admitted Item* IE contained in the *PDU Session Resources Admitted List* IE in the HANDOVER REQUEST ACKNOWLEDGE message to indicate that it accepts the uplink data forwarding.

For each PDU session resource successfully setup at the target NG-RAN, the target NG-RAN node may allocate resources for additional Xn-U PDU session resource GTP-U tunnels, indicated in the *Secondary Data Forwarding Info from target NG-RAN node List* IE.

For each PDU session in the HANDOVER REQUEST message, if the *Alternative QoS Parameters Set List* IE is included in the *GBR QoS Flow Information* IE in the *PDU Session Resources To Be Setup List* IE, the target NG-RAN node may accept the setup of the involved QoS flow when notification control has been enabled if the requested QoS parameters set or at least one of the alternative QoS parameters sets can be fulfilled at the time of handover as specified in TS 23.501 [7]. In case the target NG-RAN node accepts the handover fulfilling one of the alternative QoS parameters it shall indicate the alternative QoS parameters set which it can currently fulfil in the *Current QoS Parameters Set Index* IE within the *PDU Session Resources Admitted List* IE of the HANDOVER REQUEST ACKNOWLEDGE message while setting the QoS parameters towards the UE according to the requested QoS parameters set as specified in TS 23.501 [7].

For each DRB for which the source NG-RAN node proposes to perform forwarding of downlink data, the source NG-RAN node shall include the *DRB ID* IE and the mapped *QoS Flows List* IE within the *Source DRB to QoS Flow Mapping List* IE contained in the *PDU Session Resources To Be Setup List* IE in the HANDOVER REQUEST message. The source NG-RAN node may include the *QoS Flow Mapping Indication* IE in the *Source DRB to QoS Flow Mapping List* IE to indicate that only the uplink or downlink QoS flow is mapped to the DRB. If the target NG-RAN node decides to use the same DRB configuration and to map the same QoS flows as the source NG-RAN node, the target NG-RAN node includes the *DL Forwarding GTP Tunnel Endpoint* IE within the *Data Forwarding Response DRB List* IE in the HANDOVER REQUEST ACKNOWLEDGE message to indicate that it accepts the proposed forwarding of downlink data for this DRB.

The target NG-RAN node may additionally include the *Redundant DL Forwarding UP TNL Information* IE if at least one of the QoS flow mapped to the DRB is eligible to the redundant transmission feature as indicated in the *Redundant QoS Flow Indicator* IE within the *PDU Session Resource To Be Setup List* IE received in the HANDOVER REQUEST message for the QoS flow.

If the HANDOVER REQUEST ACKNOWLEDGE message contains the *UL Forwarding UP TNL Information* IE for a given DRB in the *Data Forwarding Response DRB List* IE within *Data Forwarding Info from target NG-RAN node* IE in the *PDU Session Resources Admitted List* IE and the source NG-RAN node accepts the data forwarding proposed by the target NG-RAN node, the source NG-RAN node shall perform forwarding of uplink data for the DRB.

If the HANDOVER REQUEST includes PDU session resources for PDU sessions associated to S-NSSAIs not supported by target NG-RAN, the target NG-RAN node shall reject such PDU session resources. In this case, and if at least one *PDU Session Resource To Be Setup Item* IE is admitted, the target NG-RAN node shall send the HANDOVER REQUEST ACKNOWLEDGE message including the *PDU Session Resources Not Admitted List* IE listing corresponding PDU sessions rejected at the target NG-RAN.

If the *Mobility Restriction List* IE is

- contained in the HANDOVER REQUEST message, the target NG-RAN node shall

- store the information received in the *Mobility Restriction List* IE in the UE context;

- use this information to determine a target for the UE during subsequent mobility action for which the NG-RAN node provides information about the target of the mobility action towards the UE, except when one of the PDU sessions has a particular ARP value (TS 23.501 [7]) in which case the information shall not apply;

- use this information to select a proper SCG during dual connectivity operation.

- use this information to select proper RNA(s) for the UE when moving the UE to RRC\_INACTIVE.

- not contained in the HANDOVER REQUEST message, the target NG-RAN node shall

- consider that no roaming and no access restriction apply to the UE except for the PNI-NPN mobility as described in TS 23.501 [7].

The target NG-RAN node shall consider that roaming or access to CAG cells is only allowed if the *Allowed PNI-NPN ID List* IE is contained in the HANDOVER REQUEST message, as described in TS 23.501 [7].

If the *Trace Activation* IE is included in the HANDOVER REQUEST message the target NG-RAN node shall, if supported, initiate the requested trace function as specified in TS 32.422 [23].

If the *Index to RAT/Frequency Selection Priority* IE is contained in the HANDOVER REQUEST message, the target NG-RAN node shall store this information and use it as defined in TS 23.501 [7].

If the *UE Context Reference at the S-NG-RAN* IE is contained in the HANDOVER REQUEST message the target NG-RAN node may use it as specified in TS 37.340 [8]. In this case, the source NG-RAN node may expect the target NG-RAN node to include the *UE Context Kept Indicator* IE set to "True" in the HANDOVER REQUEST ACKNOWLEDGE message, which shall use this information as specified in TS 37.340 [8].

For each PDU session, if the *Network Instance* IE is included in the *PDU Session Resource To Be Setup List* IE and the *Common Network Instance* IE is not present, the target NG-RAN node shall, if supported, use it when selecting transport network resource as specified in TS 23.501 [7].

Redundant transmission:

- For each PDU session, if the *Redundant UL NG-U UP TNL Information at UPF* IE is included in the *PDU Session Resource To Be Setup List* IE, the target NG-RAN node shall, if supported, use it as the uplink termination point for the user plane data for the redundant transmission for the concerned PDU session.

- For each PDU session, if the *Additional Redundant UL NG-U UP TNL Information at UPF List* IE is included in the *PDU Session Resource To Be Setup List* IE, the target NG-RAN node shall, if supported, use them as the uplink termination points for the user plane data for the redundant transmission for the concerned PDU session.

- For each PDU session, if the *Redundant Common Network Instance* IE is included in the *PDU Session Resource To Be Setup List* IE, the target NG-RAN node shall, if supported, use it when selecting transport network resource for the redundant transmission as specified in TS 23.501 [7].

- For each PDU session, if the *Redundant PDU Session Information* IE is included in the *PDU Session Resource To Be Setup List* IE contained in the HANDOVER REQUEST message, the target NG-RAN node shall, if supported, store the received information in the UE context and set up the redundant user plane for the concerned PDU session, as specified in TS 23.501 [7]. If the *PDU Session Pair ID* IE is included in the *Redundant PDU Session Information* IE, the target NG-RAN node may store and use it to identify the paired PDU sessions.

If the *TSC Traffic Characteristics* IE is included in the *QoS Flows To Be Setup* List in the *PDU Session Resource To Be Setup List* IE, the target NG-RAN node shall, if supported, use it as specified in TS 23.501 [7].

For each PDU session, if the *Common* *Network Instance* IE is included in the *PDU Session Resource To Be Setup List* IE or in the *Additional UL NG-U UP TNL Information at UPF List* IE, or in the *Additional Redundant UL NG-U UP TNL Information at UPF List* IE, the target NG-RAN node shall, if supported, use it when selecting transport network resource for the concerned NG-U transport bearer as specified in TS 23.501 [7].

For each PDU session for which the *Security Indication* IE is included in the *PDU Session Resource To Be Setup List* IE and the *Integrity Protection Indication* IE or *Confidentiality Protection Indication* IE is set to "required", the target NG-RAN node shall perform user plane integrity protection or ciphering, respectively. If the NG-RAN node is not able to perform the user plane integrity protection or ciphering, it shall reject the setup of the PDU Session Resources with an appropriate cause value.

If the NG-RAN node is an ng-eNB, it shall reject all PDU sessions for which the *Integrity Protection Indication* IE is set to "required".

For each PDU session for which the *Security Indication* IE is included in the *PDU Session Resource To Be Setup List* IE and the *Integrity Protection Indication* IE or the *Confidentiality Protection Indication* IE is set to "preferred", the target NG-RAN node should, if supported, perform user plane integrity protection or ciphering, respectively and shall notify the SMF whether it succeeded the user plane integrity protection or ciphering or not for the concerned security policy.

For each PDU session for which the *Maximum Integrity Protected Data Rate* IE is included in the *Security Indication* IE in the *PDU Session Resources To Be Setup List* IE, the NG-RAN node shall store the respective information and, if integrity protection is to be performed for the PDU session, it shall enforce the traffic corresponding to the received *Maximum Integrity Protected Data Rate* IE, for the concerned PDU session and concerned UE, as specified in TS 23.501 [7].

For each PDU session for which the *Security Indication* IE is included in the *PDU Session Resource To Be Setup List* IE and the *Integrity Protection Indication* IE or *Confidentiality Protection Indication* IE is set to "not needed", the target NG-RAN node shall not perform user plane integrity protection or ciphering, respectively, for the concerned PDU session.

For each PDU session, if the *Additional UL NG-U UP TNL Information List* IE is included in the *PDU Session Resources To Be Setup List* IE contained in the HANDOVER REQUEST message, the target NG-RAN node may forward the UP transport layer information to the target S-NG-RAN node as the uplink termination point for the user plane data for this PDU session split in different tunnel.

If the *Location Reporting Information* IE is included in the HANDOVER REQUEST message, then the target NG-RAN node should initiate the requested location reporting functionality as defined in TS 38.413 [5].

Upon reception of *UE History Information* IE in the HANDOVER REQUEST message, the target NG-RAN node shall collect the information defined as mandatory in the *UE History Information* IE and shall, if supported, collect the information defined as optional in the *UE History Information* IE, for as long as the UE stays in one of its cells, and store the collected information to be used for future handover preparations.

If the *Trace Activation* IE is included in the HANDOVER REQUEST message which includes

- the *MDT Activation* IE set to "Immediate MDT and Trace", then the target NG-RAN node shall if supported, initiate the requested trace session and MDT session as described in TS 32.422 [23].

- the *MDT Activation* IE set to "Immediate MDT Only" or "Logged MDT only", the target NG-RAN node shall, if supported, initiate the requested MDT session as described in TS 32.422 [23] and the target NG-RAN node shall ignore the *Interfaces To Trace* IE, and the *Trace Depth* IE.

- the *MDT Location Information* IE, within the *MDT Configuration* IE, the target NG-RAN node shall, if supported, store this information and take it into account in the requested MDT session.

- the *MDT Activation* IE set to "Immediate MDT Only" or "Logged MDT only", and if the *Signalling based MDT PLMN List* IE is included in the *MDT Configuration* IE, the target NG-RAN node may use it to propagate the MDT Configuration as described in TS 37.320 [43].

- the *Bluetooth Measurement Configuration* IE, within the *MDT Configuration* IE, the target NG-RAN node shall, if supported, take it into account for MDT Configuration as described in TS 37.320 [43].

- the *WLAN Measurement Configuration* IE, within the *MDT Configuration* IE, the target NG-RAN node shall, if supported, take it into account for MDT Configuration as described in TS 37.320 [43].

- the *Sensor Measurement Configuration* IE, within the *MDT Configuration* IE, the target NG-RAN node shall take it into account for MDT Configuration as described in TS 37.320 [43].

- the *MDT Configuration* IE and if the target NG-RAN node is a gNB receiving a *MDT Configuration-EUTRA* IE, or the target NG-RAN node is a ng-eNB receiving a *MDT Configuration-NR* IE, the target NG-RAN node shall store it as part of the UE context, and use it as described in TS 37.320 [43].

If the *Management Based MDT PLMN List* IE is contained in the HANDOVER REQUEST message, the target NG-RAN node shall, if supported, store the received information in the UE context, and use this information to allow subsequent selection of the UE for management based MDT defined in TS 32.422 [23].

If the HANDOVER REQUEST message includes the *Management Based MDT PLMN List* IE, the target NG-RAN node shall, if supported, store it in the UE context, and take it into account if it includes information regarding the PLMN serving the UE in the target NG-RAN node.

If the *Mobility Information* IE is provided in the HANDOVER REQUEST message, the target NG-RAN node shall, if supported, store this information. The target NG-RAN shall, if supported, store the C-RNTI assigned at the source cell as received in the HANDOVER REQUEST message.

Upon reception of the *UE History Information from the UE* IE in the HANDOVER REQUEST message, the target NG-RAN node shall, if supported, store the collected information and use it for future handover preparations.

For each QoS flow which has been successfully established in the target NG-RAN node, if the *QoS Monitoring Request* IE was included in the *QoS Flow Level QoS Parameters* IE contained in the HANDOVER REQUEST message, the target NG-RAN node shall store this information, and shall, if supported, perform delay measurement and QoS monitoring, as specified in TS 23.501 [7]. If the *QoS Monitoring Reporting Frequency* IE was included in the *QoS Flow Level QoS Parameters* IE contained in the HANDOVER REQUEST message, the target NG-RAN node shall store this information, and shall, if supported, use it for RAN part delay reporting.

If the *5GC Mobility Restriction List Container* IE is included in the HANDOVER REQUEST message, the target NG-RAN node shall, if supported, store this information in the UE context and use it as specified in TS 38.300 [9].

V2X:

- If the *NR V2X Services Authorized* IE is included in the HANDOVER REQUEST message and it contains one or more IEs set to "authorized", the target NG-RAN node shall, if supported, consider that the UE is authorized for the relevant service(s).

- If the *LTE V2X Services Authorized* IE is included in the HANDOVER REQUEST message and it contains one or more IEs set to "authorized", the target NG-RAN node shall, if supported, consider that the UE is authorized for the relevant service(s).

- If the *NR UE Sidelink Aggregate Maximum Bit Rate* IE is included in the HANDOVER REQUEST message, the target NG-RAN node shall, if supported, use the received value for the concerned UE’s sidelink communication in network scheduled mode for NR V2X services.

- If the *LTE UE Sidelink Aggregate Maximum Bit Rate* IE is included in the HANDOVER REQUEST message, the target NG-RAN node shall, if supported, use the received value for the concerned UE’s sidelink communication in network scheduled mode for LTE V2X services.

5G ProSe:

- If the *5G ProSe Authorized* IE is included in the HANDOVER REQUEST message and it contains one or more IEs set to "authorized", the target NG-RAN node shall, if supported, consider that the UE is authorized for the relevant service(s).

- If the *5G ProSe UE PC5 Aggregate Maximum Bit Rate* IE is included in the HANDOVER REQUEST message, the target NG-RAN node shall, if supported, use the received value for the concerned UE’s sidelink communication in network scheduled mode for 5G ProSe services.

- If the *5G ProSe PC5 QoS Parameters* IE is included in theHANDOVER REQUEST message, the target NG-RAN node shall, if supported, use it as defined in TS 23.304 [48].

If the *PC5 QoS Parameters* IE is included in theHANDOVER REQUEST message, the target NG-RAN node shall, if supported, use it as defined in TS 23.287 [38].

If the *DAPS Request Information* IE is included for a given DRB in the HANDOVER REQUEST message, the target NG-RAN node shall consider that the request concerns a DAPS handover for that DRB, as described in TS 38.300 [9]. Accordingly, the target NG-RAN node shall include the *DAPS Response Information* IE in the HANDOVER REQUEST ACKNOWLEDGE message.

If the *Maximum Number of CHO Preparations* IE is included in the *Conditional Handover Information* *Acknowledge* IE contained in the HANDOVER REQUEST ACKNOWLEDGE message, then the source NG-RAN node should not prepare more candidate target cells for a CHO for the same UE towards the target NG-RAN node than the number indicated in the IE.

If the *Estimated Arrival Probability* IE is contained in the *Conditional Handover Information Request* IE included in the HANDOVER REQUEST message, then the target NG-RAN node may use the information to allocate necessary resources for the incoming CHO.

If the *IAB Node Indication* IE is contained in the HANDOVER REQUEST message, the target NG-RAN node shall, if supported, consider that the handover is for an IAB node. In addition:

- If the *No PDU Session Indication* IE is contained in the HANDOVER REQUEST message, the target NG-RAN node shall, if supported, consider the UE as an IAB-node which does not have any PDU sessions activated, and ignore the *PDU Session Resources To Be Setup List* IE, and shall not take any action with respect to PDU session setup. Subsequently, the source NG-RAN node shall, if supported, ignore the *PDU Session Resources Admitted To Be Added List* IE in the HANDOVER REQUEST ACKNOWLEDGE message.

If the *UE Radio Capability ID* IE is contained in the HANDOVER REQUEST message, the target NG-RAN node shall, if supported, store this information in the UE context and use it as defined in TS 23.501 [7] and TS 23.502 [13].

If for a given QoS Flow the *Source DL Forwarding IP Address* IE is included within the *Data Forwarding and* *Offloading Info from source NG-RAN node* IE in the *PDU Session Resources To Be Setup List* IE contained in the HANDOVER REQUEST message, the target NG-RAN node shall, if supported, store this information and use it as part of its ACL functionality configuration actions, if such ACL functionality is deployed.

If the *MBS Session Information List* IE is contained in the HANDOVER REQUEST message, the target NG-RAN node shall, if supported, establish an NG-RAN MBS session resources context as specified in TS 23.247 [46] and TS 38.300 [9], if applicable.

If the HANDOVER REQUEST message includes the *MBS Area Session ID* IE, the target NG-RAN, if supported, shall use this information as an indication from which MBS Area Session ID the UE is handed over. For each MBS session for which the *Active MBS Session Information* IE is included in the *MBS Session Information Item List* IE, the target NG-RAN shall, if supported, use this information to setup respective MBS session resources. The target NG-RAN node shall, if supported, consider that the MBS sessions for which the *Active MBS Session Information* IE is not included are inactive.

If the HANDOVER REQUEST ACKNOWLEDGE message contains in the *MBS Session Information Response List* IE the *MBS Data Forwarding Response Info* IE that the source NG-RAN node shall use the information for forwarding MBS traffic to the target NG-RAN node.

If the *MBS Session Associated Information List* IE is included in the *PDU Session Resources To Be Setup List* IE in the HANDOVER REQUEST message, the target NG-RAN node shall, if supported, use the information contained in the *Associated QoS Flows Information List* IE as specified in TS 23.247 [46].

For each MRB indicated in the *MBS Mapping and Data Forwarding Request Info from source NG-RAN node* IE, the target NG-RAN node shall use the *MRB ID* IE and, if included, the *MRB Progress Information* IE which includes the highest PDCP SN of the packet which has already been delivered to the UE for the MRB, to decide whether to apply data forwarding for that MRB and to establish respective resources.

The source NG-RAN shall, for each MRB in the *MBS Data Forwarding Response Info from target NG-RAN node* IE in the HANDOVER REQUEST ACKNOWLEDGE message, start data forwarding to the indicated DL Forwarding UP TNL Information. If the *MRB Progress Information* IE is included the source NG-RAN node may use the information to determine when to stop data forwarding.

If the *Time Synchronisation Assistance Information* IE is contained in the HANDOVER REQUEST message, the target NG-RAN node shall, if supported, store this information in the UE context and use it as defined in TS 23.501 [7].

If the *QMC Configuration Information* IE is contained in the HANDOVER REQUEST message, the target NG-RAN node shall, if supported, take it into account for QoE measurements handling, as described in TS 38.300 [9].

If the *UE Slice-Maximum Bit Rate List* IE is contained in HANDOVER REQUEST message, the target NG-RAN node shall, if supported, store the received UE Slice Maximum Bit Rate List in the UE context, and use the received UE Slice Maximum Bit Rate value for each S-NSSAI for the concerned UE as specified in TS 23.501 [7].

If the *PNI-NPN Area Scope of MDT* IE is included in the *MDT Configuration-NR* IE included in the HANDOVER REQUEST message, the target NG-RAN node shall, if supported, use it to derive the MDT area scope for MDT measurement collection in PNI-NPN. Upon reception of the *PNI-NPN Area Scope of MDT* IE, the target NG-RAN node shall consider that the area scope for MDT measurement collections of PNI-NPN areas is defined only by the areas included in the *PNI-NPN Area Scope of MDT* IE.

**Interaction with SN Status Transfer procedure:**

If the *UE Context Kept Indicator* IE set to "True" and the *DRBs transferred to MN* IE are included in the HANDOVER REQUEST ACKNOWLEDGE message, the source NG-RAN node shall, if supported, include the uplink/downlink PDCP SN and HFN status received from the S-NG-RAN node in the SN Status Transfer procedure towards the target NG-RAN node, as specified in TS 37.340 [8].

#### 8.2.1.3 Unsuccessful Operation



Figure 8.2.1.3-1: Handover Preparation, unsuccessful operation

If the target NG-RAN node does not admit at least one PDU session resource, or a failure occurs during the Handover Preparation, the target NG-RAN node shall send the HANDOVER PREPARATION FAILURE message to the source NG-RAN node. The message shall contain the *Cause* IE with an appropriate value.

If the *Conditional Handover Information* *Request* IE is contained in the HANDOVER REQUEST message and the target NG-RAN node rejects the handover or a failure occurs during the Handover Preparation, the target NG-RAN node shall include the *Requested Target Cell ID* IE in the HANDOVER PREPARATION FAILURE message.

**Interactions with Handover Cancel procedure:**

If there is no response from the target NG-RAN node to the HANDOVER REQUEST message before timer TXnRELOCprep expires in the source NG-RAN node, the source NG-RAN node should cancel the Handover Preparation procedure towards the target NG-RAN node by initiating the Handover Cancel procedure with the appropriate value for the *Cause* IE. The source NG-RAN node shall ignore any HANDOVER REQUEST ACKNOWLEDGE or HANDOVER PREPARATION FAILURE message received after the initiation of the Handover Cancel procedure and remove any reference and release any resources related to the concerned Xn UE-associated signalling.

#### 8.2.1.4 Abnormal Conditions

If the supported algorithms for encryption defined in the *UE Security Capabilities* IE in the *UE Context Information* IE, plus the mandated support of the EEA0 and NEA0 algorithms in all UEs (TS 33.501 [28]), do not match any allowed algorithms defined in the configured list of allowed encryption algorithms in the NG-RAN node (TS 33.501 [28]), the NG-RAN node shall reject the procedure using the HANDOVER PREPARATION FAILURE message.

If the supported algorithms for integrity defined in the *UE Security Capabilities* IE in the *UE Context Information* IE, plus the mandated support of the EIA0 and NIA0 algorithms in all UEs (TS 33.501 [28]), do not match any allowed algorithms defined in the configured list of allowed integrity protection algorithms in the NG-RAN node (TS 33.501 [28]), the NG-RAN node shall reject the procedure using the HANDOVER PREPARATION FAILURE message.

If the *CHO trigger* IE is set to "CHO-replace" in the HANDOVER REQUEST message, but there is no CHO prepared for the included Target NG-RAN node UE XnAP ID, or the candidate cell in the *Targe*t *Cell ID* IE was not prepared using the same UE-associated signaling connection, the NG-RAN node shall reject the procedure using the HANDOVER PREPARATION FAILURE message.

If the HANDOVER REQUEST message includes information for a PLMN not serving the UE in the target NG-RAN node in the *Management Based MDT PLMN List* IE, the target NG-RAN node shall ignore information for that PLMN within the Management Based MDT PLMN List.

If both the *PNI-NPN Area Scope of MDT* IE and the *Area Scope of MDT* IE are included in the *MDT Configuration-NR* IE in the HANDOVER REQUEST message, and the *Area Scope of MDT* IE is set to "PNI-NPN based", the target NG-RAN node shall, if supported, use it to derive the MDT area scope for MDT measurement collections in PNI-NPN areas, and ignore the *PNI-NPN Area Scope of MDT* IE.

/\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*Next change\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*/

### 8.2.4 Retrieve UE Context

#### 8.2.4.1 General

The purpose of the Retrieve UE Context procedure is to either retrieve the UE context from the old NG-RAN node and transfer it to the NG-RAN node where the UE RRC Connection has been requested to be established, or to enable the old NG-RAN node to forward an RRC message to the UE via the new NG-RAN node without context transfer.

The procedure uses UE-associated signalling.

#### 8.2.4.2 Successful Operation



Figure 8.2.4.2-1: Retrieve UE Context, successful operation

<Unchanged part omitted>

If the *UE Slice-Maximum Bit Rate List* IE is contained in RETRIEVE UE CONTEXT RESPONSE message, the new NG-RAN node shall, if supported, store the received UE Slice Maximum Bit Rate List in the UE context, and use the received UE Slice Maximum Bit Rate value for each S-NSSAI for the concerned UE as specified in TS 23.501 [7].

If the *Positioning Information* IE is contained in the RETRIEVE UE CONTEXT RESPONSE message, the new NG-RAN node shall, if supported, take it into account to allocate proper SRS resources and make corresponding response to LMF when positioning a UE.

If the *PNI-NPN Area Scope of MDT* IE is included in the *MDT Configuration-NR* IE included in the RETRIEVE UE CONTEXT REQUEST message, the new NG-RAN node shall, if supported, use it to derive the MDT area scope for MDT measurement collections in PNI-NPN. Upon reception of the *PNI-NPN Area Scope of MDT* IE, the new NG-RAN node shall consider that the area scope for MDT measurement collections of PNI-NPN areas is defined only by the areas included in the *PNI-NPN Area Scope of MDT* IE.

**Interaction with the Retrieve UE Context Confirm procedure**

If the *UE Context Reference at the S-NG-RAN* IE is contained in the RETRIEVE UE CONTEXT RESPONSE message, the new NG-RAN node may use it to establish dual connectivity with the S-NG-RAN node and shall trigger the Retrieve UE Context Confirm procedure to the old NG-RAN node when the UE successfully resumes on the new NG-RAN node.

#### 8.2.4.3 Unsuccessful Operation



Figure 8.2.4.3-1: Retrieve UE Context, unsuccessful operation

If the old NG-RAN node is not able to identify the UE context by means of the UE Context ID, or if the integrity protection contained in the RETRIEVE UE CONTEXT REQUEST message is not valid, or, if it decides not to provide the UE context to the new NG-RAN node, it shall respond to the new NG-RAN node with the RETRIEVE UE CONTEXT FAILURE message.

If the old NG-RAN node decides to keep the UE context in case of periodic RNAU or in case of RACH based SDT, it shall store the *Allocated C-RNTI* IE and the *Access PCI* IE in the *UE Context ID* IE, as described in TS 38.300 [9].

If the *Old NG-RAN node to New NG-RAN node Resume Container* IE is included in the RETRIEVE UE CONTEXT FAILURE message, the new NG-RAN node should transparently forward the content of this IE to the UE as described in TS 38.300 [9].

**Interaction with Partial UE Context Transfer procedure**

In case of RACH based SDT, if the old NG-RAN node decides to not transfer/relocate the UE Context to the new NG-RAN node, it may trigger the Partial UE Context Transfer procedure as specified in TS 38.300 [9]. After the old NG-RAN node has decided to end the SDT session, it shall terminate the Retrieve UE Context procedure by sending the RETRIEVE UE CONTEXT FAILURE message.

#### 8.2.4.4 Abnormal Conditions

If both the *PNI-NPN Area Scope of MDT* IE and the *Area Scope of MDT* IE are included in the *MDT Configuration-NR* IE in the RETRIEVE UE CONTEXT REQUEST message, and the *Area Scope of MDT* IE is set to "PNI-NPN based", the new NG-RAN node shall, if supported, use it to derive the MDT area scope for MDT measurement collection in PNI-NPN areas, and ignore the *PNI-NPN Area Scope of MDT* IE.

/\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*Next change\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*/

### 8.3.14 Trace Start

#### 8.3.14.1 General

The purpose of the Trace Start procedure is to allow the M-NG-RAN node to request the S-NG-RAN node to initiate a trace session for a UE. The procedure uses UE-associated signalling.

#### 8.3.14.2 Successful Operation



Figure 8.3.14.2-1: Trace Start, successful operation

The Trace Start procedure is initiated by the M-NG-RAN sending the TRACE START message to the S-NG-RAN for that specific UE. Upon reception of the TRACE START message, the S-NG-RAN node shall initiate the requested trace session as described in TS 32.422 [23].

If the *Trace Activation* IE includes

- the *MDT Activation* IE set to "Immediate MDT and Trace", and if the S-NG-RAN node is a gNB, it shall, if supported, initiate the requested trace session and MDT session as described in TS 32.422[23].

- the *MDT Activation* IE set to "Immediate MDT Only"or "Logged MDT only", and if the S-NG-RAN node is a gNB, it shall, if supported, initiate the requested MDT session as described in TS 32.422[23] and the S-NG-RAN node shall ignore the *Interfaces To Trace* IE and the *Trace Depth* IE.

- the *MDT Location Information* IE, within the *MDT Configuration* IE, and if the S-NG-RAN node is a gNB, it shall, if supported, store this information and take it into account in the requested MDT session.

- the *MDT Activation* IE set to "Immediate MDT Only" or "Logged MDT only", and if the *Signalling based MDT PLMN List* IE is included in the *MDT Configuration* IE, and if the S-NG-RAN node is gNB, it may use it to propagate the MDT Configuration as described in TS 37.320 [43].

- the *Bluetooth Measurement Configuration* IE, within the *MDT Configuration* IE, and if the S-NG-RAN node is a gNB, it shall, if supported, take it into account for MDT Configuration as described in TS 37.320 [43].

- the *WLAN Measurement Configuration* IE, within the *MDT Configuration* IE, and if the S-NG-RAN node is a gNB, it shall, if supported, take it into account for MDT Configuration as described in TS 37.320 [43].

- the *Sensor Measurement Configuration* IE, within the *MDT Configuration* IE, the S-NG-RAN node shall take it into account for MDT Configuration as described in TS 37.320 [43].

- the *MDT Configuration* IE, and if the S-NG-RAN Node is a gNB at least *the MDT Configuration-NR* IE shall be present, while if the S-NG-RAN Node is an ng-eNB at least the *MDT Configuration-EUTRA* IE shall be present.

If the *PNI-NPN Area Scope of MDT* IE is included in the *MDT Configuration-NR* IE included in the TRACE START message, the S-NG-RAN node shall, if supported, use it to derive the MDT area scope for MDT measurement collections in PNI-NPN. Upon reception of the *PNI-NPN Area Scope of MDT* IE, the S-NG-RAN node shall consider that the area scope for MDT measurement collections of PNI-NPN areas is defined only by the areas included in the *PNI-NPN Area Scope of MDT* IE.

#### 8.3.14.3 Abnormal Conditions

If both the *PNI-NPN Area Scope of MDT* IE and the *Area Scope of MDT* IE are included in the *MDT Configuration-NR* IE in the TRACE START message, and the *Area Scope of MDT* IE is set to "PNI-NPN based", the S-NG-RAN node shall, if supported, use it to derive the MDT area scope for MDT measurement collection in PNI-NPN areas, and ignore the *PNI-NPN Area Scope of MDT* IE.

/\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*Next change\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*/

#### 9.2.3.126 MDT Configuration-NR

The IE defines the MDT configuration parameters of NR.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| IE/Group Name | Presence | Range | IE type and reference | Semantics description |
| MDT Activation | M |  | ENUMERATED  (Immediate MDT only, Logged MDT only, Immediate MDT and Trace,…) |  |
| CHOICE *Area Scope of MDT-NR* | O |  |  |  |
| >*Cell based* |  |  |  | It covers non-CAG cells only |
| >>**Cell ID List for MDT-NR** |  | *1 .. <maxnoofCellIDforMDT>* |  |  |
| >>>NR CGI | M |  | 9.2.2.7 |  |
| >*TA based* |  |  |  | It covers non-CAG cells only |
| >>**TA List for MDT** |  | *1 .. <maxnoofTAforMDT>* |  |  |
| >>>TAC | M |  | OCTET STRING (SIZE (3)) | The TAI is derived using the current serving PLMN. |
| >*TAI based* |  |  |  | It covers non-CAG cells only |
| >>**TAI List for MDT** |  | *1 .. <maxnoofTAforMDT>* |  |  |
| >>>TAI | M |  | 9.2.3.20 |  |
| *>PNI-NPN based* |  |  |  |  |
| >>CAG List for MDT |  | *1..<maxnoofCAGforMDT>* |  |  |
| >>>PLMN ID |  |  | 9.2.3.5 |  |
| >>>CAG | M |  | 9.2.2.26 |  |
| CHOICE *MDT Mode* | M |  |  |  |
| >*Immediate MDT-NR* |  |  |  |  |
| >>Measurements to Activate | M |  | BITSTRING  (SIZE(8)) | Each position in the bitmap indicates a MDT measurement, as defined in TS 37.320 [43].  First Bit = M1,  Second Bit= M2,  Fourth Bit = M4,  Fifth Bit = M5,  Sixth Bit = logging of M1 from event triggered measurement reports according to existing RRM configuration,  Seventh Bit = M6,  Eighth Bit = M7.  Value "1" indicates "activate" and value "0" indicates "do not activate".  This version of the specification does not use bits 3. |
| >>M1 Configuration | C-ifM1 |  | 9.2.3.128 |  |
| >>M4 Configuration | C-ifM4 |  | 9.2.3.129 |  |
| >>M5 Configuration | C-ifM5 |  | 9.2.3.130 |  |
| >>MDT Location Information | O |  | BITSTRING(SIZE(8)) | Each position in the bitmap represents requested location information as defined in TS 37.320 [43].  First Bit = GNSS  Other bits are reserved for future use and are ignored if received.  Value "1" indicates "activate" and value "0" indicates "do not activate".  The eNB shall ignore the first bit unless the *Measurements to Activate* IE has the first bit or the sixth bit set to "1". |
| >>M6 Configuration | C-ifM6 |  | 9.2.3.131 |  |
| >>M7 Configuration | C-ifM7 |  | 9.2.3.132 |  |
| >>Bluetooth Measurement Configuration | O |  | 9.2.3.11 |  |
| >>WLAN Measurement Configuration | O |  | 9.2.3.12 |  |
| >>Sensor Measurement Configuration | O |  | 9.2.3.136 |  |
| >*Logged MDT-NR* |  |  |  |  |
| >>Logging interval | M |  | ENUMERATED (ms320, ms640, ms1280, ms2560, ms5120, ms10240, ms20480, ms30720, ms40960 and ms61440, infinity) | This IE is defined in TS 38.331 [10]. The value "infinity" represents one shot logging, i.e., only one log per event in the logged MDT report. |
| >>Logging duration | M |  | ENUMERATED (10, 20, 40, 60, 90, 120) | This IE is defined in TS 38.331 [10]. Unit: [minute]. |
| >>CHOICE *Report Type* | M |  |  |  |
| >>>*Periodical* |  |  |  |  |
| >>>*Event Triggered* |  |  |  |  |
| >>>>Logged Event Trigger Config | M |  | 9.2.3.137 |  |
| >>Bluetooth Measurement Configuration | O |  | 9.2.3.134 |  |
| >>WLAN Measurement Configuration | O |  | 9.2.3.135 |  |
| >>Sensor Measurement Configuration | O |  | 9.2.3.136 |  |
| >>Area Scope of Neighbour Cells | O |  | 9.2.3.140 |  |
| >>Early Measurement | O |  | ENUMERATED  (true, ...) | This IE indicates whether the UE is allowed to log measurements on early measurement related frequencies in logged MDT as specified in TS 38.331 [10]. |
| Signalling based MDT PLMN List | O |  | MDT PLMN List  9.2.3.133 |  |
| PNI-NPN Area Scope of MDT | O |  | 9.2.3.x |  |

|  |  |
| --- | --- |
| Range bound | Explanation |
| maxnoofCellIDforMDT | Maximum no. of Cell ID subject for MDT scope. Value is 32. |
| maxnoofTAforMDT | Maximum no. of TA subject for MDT scope. Value is 8. |
| maxnoofCAGforMDT | Maximum no. of PNI-NPN CAG IDs for MDT scope. Value is 256. |

|  |  |
| --- | --- |
| Condition | Explanation |
| ifM1 | This IE shall be present if the *Measurements to Activate* IE has the first bit set to "1". |
| ifM4 | This IE shall be present if the *Measurements to Activate* IE has the fourth bit set to "1". |
| ifM5 | This IE shall be present if the *Measurements to Activate* IE has the fifth bit set to "1". |
| ifM6 | This IE shall be present if the Measurements to Activate IE has the seventh bit set to "1". |
| ifM7 | This IE shall be present if the Measurements to Activate IE has the eighth bit set to "1". |

Editor´s note 1: The text in the Semantics Descriptions may be revisited if needed

#### 9.2.3.x PNI-NPN Area Scope of MDT

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| IE/Group Name | Presence | Range | IE type and reference | Semantics description |
| CAG List for MDT |  | *1..< maxnoofCAGforMDT >* |  |  |
| >PLMN Identity | M |  | 9.2.3.5 |  |
| >CAG ID | M |  | 9.2.3.47 |  |

|  |  |
| --- | --- |
| **Range bound** | **Explanation** |
| maxnoofCAGforMDT | Maximum no. of PNI-NPN CAG IDs for MDT area scope. Value is FFS. |

/\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*End of changes\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*/