**3GPP TSG-RAN WG3 Meeting #121R3-234708**

**Toulouse, France, 21 - 25 August**

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| *CR-Form-v12.2* |
| **CHANGE REQUEST** |
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|  | **37.340** | **CR** | **Draft** | **rev** | **-** | **Current version:** | **17.5.0** |  |
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| *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:***  | (Subsequent CPAC BL CR to TS 37.340) Introduction of subsequent CPAC |
|  |  |
| ***Source to WG:*** | ZTE, China Telecom, Huawei, China Unicom, LG Electronics, Samsung, Ericsson |
| ***Source to TSG:*** | R3 |
|  |  |
| ***Work item code:*** | NR\_Mob\_enh2-Core |  | ***Date:*** | 2023-08-25 |
|  |  |  |  |  |
| ***Category:*** | **B** |  | ***Release:*** | Rel-18 |
|  | *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-16 (Release 16)Rel-17 (Release 17)Rel-18 (Release 18)Rel-19 (Release 19)* |
|  |  |
| ***Reason for change:*** | Introduce subsequent CPAC |
|  |  |
| ***Summary of change:*** | Introduce subsequent CPAC1. Capture RAN3 related part from endorsed RAN2’s running CR 2306952
2. Introduce texts to reflect RAN3’s agreements
 |
|  |  |
| ***Consequences if not approved:*** | Subsequent CPAC is not supported |
|  |  |
| ***Clauses affected:*** | 3.1, 10.1, 10.2.2, 10.3.2, 10.4.2, 10.5.2, 10.X |
|  |  |
|  | **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:*** | The words highlighted in gray are copied from RAN2’s running CR R2-2306952 |
|  |  |
| ***This CR's revision history:*** | Rev 1: Revision of R3-234462, capture RAN3’s agreements made in #121 meeting |

*START OF CHANGES*

3 Definitions, symbols and abbreviations

3.1 Definitions

For the purposes of the present document, the terms and definitions given in 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 TR 21.905 [1] and TS 36.300 [2].

**Child node**: IAB-DU's or IAB-donor-DU's next hop neighbour IAB-node.

**Conditional PSCell Addition:** a PSCell addition procedure that is executed only when PSCell addition execution condition is met.

**Conditional PSCell Change:** a PSCell change procedure that is executed only when PSCell change execution condition is met.

**En-gNB:** node providing NR user plane and control plane protocol terminations towards the UE, and acting as Secondary Node in EN-DC.

**Fast MCG link recovery:** in MR-DC, an RRC procedure where the UE sends an MCG Failure Information message to the MN via the SCG upon the detection of a radio link failure on the MCG.

**IAB-donor:** gNB that provides network access to UEs via a network of backhaul and access links.

**IAB-MT:** IAB-node function that terminates the Uu interface to the parent node using the procedures and behaviours specified for UEs unless stated otherwise.

**IAB-node:** RAN node that supports NR access links to UEs and NR backhaul links to parent nodes and child nodes. The IAB-node does not support backhauling via E-UTRA.

**Master Cell Group**: in MR-DC, a group of serving cells associated with the Master Node, comprising of the SpCell (PCell) and optionally one or more SCells.

**Master node**: in MR-DC, the radio access node that provides the control plane connection to the core network. It may be a Master eNB (in EN-DC), a Master ng-eNB (in NGEN-DC) or a Master gNB (in NR-DC and NE-DC).

**MCG bearer**: in MR-DC, a radio bearer with an RLC bearer (or two RLC bearers, in case of CA packet duplication in an E-UTRAN cell group, or up to four RLC bearers in case of CA packet duplication in a NR cell group) only in the MCG.

**MN terminated bearer:** in MR-DC, a radio bearer for which PDCP is located in the MN.

**MCG SRB**: in MR-DC, a direct SRB between the MN and the UE.

**Multi-Radio Dual Connectivity:** Dual Connectivity between E-UTRA and NR nodes, or between two NR nodes.

**Ng-eNB**: as defined in TS 38.300 [3].

**NR sidelink communication**: AS functionality enabling at least V2X Communication as defined in TS 23.287 [18] and ProSe Communication (including ProSe UE-to-Network Relay and non-Relay communication) as defined in TS 23.304 [24], between two or more nearby UEs, using NR technology but not traversing any network node.

**NR sidelink discovery**: AS functionality enabling ProSe non-Relay Discovery and ProSe UE-to-Network Relay discovery for Proximity based Services as defined in TS 23.304 [24] between two or more nearby UEs, using NR technology but not traversing any network node.

**Parent node:** IAB-MT's next hop neighbour node; the parent node can be IAB-node or IAB-donor-DU.

**PCell**: SpCell of a master cell group.

**PSCell**: SpCell of a secondary cell group.

**RLC bearer:** RLC and MAC logical channel configuration of a radio bearer in one cell group.

**Secondary Cell Group**: in MR-DC, a group of serving cells associated with the Secondary Node, comprising of the SpCell (PSCell) and optionally one or more SCells.

**Secondary node**: in MR-DC, the radio access node, with no control plane connection to the core network, providing additional resources to the UE. It may be an en-gNB (in EN-DC), a Secondary ng-eNB (in NE-DC) or a Secondary gNB (in NR-DC and NGEN-DC).

**SCG bearer**: in MR-DC, a radio bearer with an RLC bearer (or two RLC bearers, in case of CA packet duplication in an E-UTRAN cell group, or up to four RLC bearers in case of CA packet duplication in a NR cell group) only in the SCG.

**SN terminated bearer:** in MR-DC, a radio bearer for which PDCP is located in the SN.

**SpCell**: primary cell of a master or secondary cell group.

**SRB3**: in EN-DC, NGEN-DC and NR-DC, a direct SRB between the SN and the UE.

**Split bearer:** in MR-DC, a radio bearer with RLC bearers both in MCG and SCG.

**Split PDU Session (or PDU Session split):** a PDU Session whose QoS Flows are served by more than one SDAP entities in the NG-RAN.

**Split SRB**: in MR-DC, a SRB between the MN and the UE with RLC bearers both in MCG and SCG.

**Subsequent Conditional PSCell Addition or Change (subsequent CPAC):** a conditional PSCell change procedure that is executed after a PSCell addition or PSCell change based on pre-configured CPA or CPC configuration of candidate PSCell(s) without reconfiguration and re-initiation of CPC/CPA.

*Editor’s note: FFS whether to support subsequent CPA, e.g. maintaining candidate PSCell configurations for CPA after SCG release.*

**User plane resource configuration:** in MR-DC with 5GC, encompasses radio network resources and radio access resources related to either one or more PDU sessions, one or more QoS flows, one or more DRBs, or any combination thereof.

**V2X sidelink communication**: AS functionality enabling V2X Communication as defined in TS 23.285 [19], between nearby UEs, using E-UTRA technology but not traversing any network node.

3.2 Abbreviations

For the purposes of the present document, the abbreviations given in 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 TR 21.905 [1] and TS 36.300 [2].

BFD Beam Failure Detection

CHO Conditional Handover

CLI Cross Link Interference

CPA Conditional PSCell Addition

CPAC Conditional PSCell Addition or Change

CPC Conditional PSCell Change

DAPS Dual Active Protocol Stack

DC Intra-E-UTRA Dual Connectivity

DCP DCI with CRC scrambled by PS-RNTI

EN-DC E-UTRA-NR Dual Connectivity

IAB Integrated Access and Backhaul

MCG Master Cell Group

MN Master Node

MR-DC Multi-Radio Dual Connectivity

NE-DC NR-E-UTRA Dual Connectivity

NGEN-DC NG-RAN E-UTRA-NR Dual Connectivity

NR-DC NR-NR Dual Connectivity

RLM Radio Link Monitoring

SCG Secondary Cell Group

SMTC SS/PBCH block Measurement Timing Configuration

SN Secondary Node

V2X Vehicle-to-Everything

*NEXT CHANGE*

10 Multi-Connectivity operation related aspects

10.1 General

Similar procedures as defined under clause 10.1.2.8 (Dual Connectivity operation) in TS 36.300 [2] apply for MR-DC.

Similar CHO principles as defined in TS 36.300 [2] and TS 38.300 [3] apply for the Conditional PSCell Change and Conditional PSCell Addition in MR-DC.

Conditional PSCell Change and conditional PSCell addition are not supported for the MR-DC options NE-DC and NGEN-DC.

Subsequent CPAC is only supported for NR-DC.

Configuration of a deactivated SCG in a conditional configuration, configuration of CPC while the SCG is deactivated and SCG deactivation while CPC is configured are not supported.

In MR-DC, CHO is supported in Master Node to eNB/gNB Change procedure and Conditional Handover with Secondary Node procedure.

10.2 Secondary Node Addition

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10.2.2 MR-DC with 5GC

The Secondary Node (SN) Addition procedure is initiated by the MN and is used to establish a UE context at the SN in order to provide resources from the SN to the UE. For bearers requiring SCG radio resources, this procedure is used to add at least the initial SCG serving cell of the SCG. This procedure can also be used to configure an SN terminated MCG bearer (where no SCG configuration is needed). In case of CPA or subsequent CPAC, the Conditional Secondary Node Addition procedure can be used for CPA or subsequent CPAC configuration and CPA or subsequent CPAC execution.

**Secondary Node Addition**

Figure 10.2.2-1 shows the SN Addition procedure.

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**Figure 10.2.2-1: SN Addition procedure**

1. The MN decides to request the target SN to allocate resources for one or more specific PDU Sessions/QoS Flows, indicating QoS Flows characteristics (QoS Flow Level QoS parameters, PDU session level TNL address information, and PDU session level Network Slice info). In addition, for bearers requiring SCG radio resources, MN indicates the requested SCG configuration information, including the entire UE capabilities and the UE capability coordination result. In this case, the MN also provides the latest measurement results for SN to choose and configure the SCG cell(s). The MN may request the SN to allocate radio resources for split SRB operation. In NGEN-DC and NR-DC, the MN always provides all the needed security information to the SN (even if no SN terminated bearers are setup) to enable SRB3 to be setup based on SN decision. The MN may request the SCG to be activated or deactivated.

 For MN terminated bearer options that require Xn-U resources between the MN and the SN, the MN provides Xn-U UL TNL address information. For SN terminated bearers, the MN provides a list of available DRB IDs. The S-NG-RAN node shall store this information and use it when establishing SN terminated bearers. The SN may reject the request.

 For SN terminated bearer options that require Xn-U resources between the MN and the SN, the MN provides in step 1 a list of QoS flows per PDU Sessions for which SCG resources are requested to be setup upon which the SN decides how to map QoS flows to DRB.

NOTE 1: For split bearers, MCG and SCG resources may be requested of such an amount, that the QoS for the respective QoS Flow is guaranteed by the exact sum of resources provided by the MCG and the SCG together, or even more. For MN terminated split bearers, the MN decision is reflected in step 1 by the QoS Flow parameters signalled to the SN, which may differ from QoS Flow parameters received over NG.

NOTE 2: For a specific QoS flow, the MN may request the direct establishment of SCG and/or split bearers, i.e. without first having to establish MCG bearers. It is also allowed that all QoS flows can be mapped to SN terminated bearers, i.e. there is no QoS flow mapped to an MN terminated bearer.

2. If the RRM entity in the SN is able to admit the resource request, it allocates respective radio resources and, dependent on the bearer type options, respective transport network resources. For bearers requiring SCG radio resources the SN triggers UE Random Access so that synchronisation of the SN radio resource configuration can be performed. The SN decides for the PSCell and other SCG SCells and provides the new SCG radio resource configuration to the MN within an SN RRC configuration message contained in the *SN Addition Request Acknowledge* message. If the MN requested the SCG to be deactivated, the SN may keep the SCG activated. If the MN requests the SCG to be activated, the SN shall keep the SCG activated. In case of bearer options that require Xn-U resources between the MN and the SN, the SN provides Xn-U TNL address information for the respective DRB, Xn-U UL TNL address information for SN terminated bearers, Xn-U DL TNL address information for MN terminated bearers. For SN terminated bearers, the SN provides the NG-U DL TNL address information for the respective PDU Session and security algorithm. If SCG radio resources have been requested, the SCG radio resource configuration is provided.

NOTE 3: In case of MN terminated bearers, transmission of user plane data may take place after step 2.

NOTE 4: In case of SN terminated bearers, data forwarding and the SN Status Transfer may take place after step 2.

NOTE 5: For MN terminated bearers for which PDCP duplication with CA is configured in NR SCG side, the MN allocates up to 4 separate Xn-U bearers and the SN provides a logical channel ID for primary or split secondary path to the MN.

 For SN terminated bearers for which PDCP duplication with CA is configured in NR MCG side, the SN allocates up to 4 separate Xn-U bearers and the MN provides a logical channel ID for primary or split secondary path to the SN via an additional MN-initiated SN modification procedure.

2a. For SN terminated bearers using MCG resources, the MN provides Xn-U DL TNL address information in the *Xn-U Address Indication* message.

3. The MN sends the MN RRC reconfiguration message to the UE including the SN RRC configuration message, without modifying it. Within the MN RRC reconfiguration message, the MN can indicate the SCG is deactivated.

4. The UE applies the new configuration and replies to MN with MN RRC reconfiguration complete message, including an SN RRC response message for SN, if needed. In case the UE is unable to comply with (part of) the configuration included in the MN RRC reconfiguration message, it performs the reconfiguration failure procedure.

5. The MN informs the SN that the UE has completed the reconfiguration procedure successfully via *SN Reconfiguration Complete* message, including the SN RRC response message, if received from the UE.

6. If configured with bearers requiring SCG radio resources and the SCG is not deactivated, the UE performs synchronisation towards the PSCell configured by the SN. The order the UE sends the MN RRC reconfiguration complete message and performs the Random Access procedure towards the SCG is not defined. The successful RA procedure towards the SCG is not required for a successful completion of the RRC Connection Reconfiguration procedure.

7. If PDCP termination point is changed to the SN for bearers using RLC AM, and when RRC full configuration is not used, the MN sends the *SN Status Transfer* message.

8. For SN terminated bearers or QoS flows moved from the MN, dependent on the characteristics of the respective bearer or QoS flow, the MN may take actions to minimise service interruption due to activation of MR-DC (Data forwarding).

9-12. If applicable, the update of the UP path towards the 5GC is performed via a PDU Session Path Update procedure*.*

**Conditional Secondary Node Addition**

Figure 10.2.2-2 shows the Conditional SN Addition procedure.

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**Figure 10.2.2-2: Conditional Secondary Node Addition procedure**

*Editor’s note: FFS whether to have a separate signaling flow for subsequent CPAC procedure, depending on further progress from RAN2 and RAN3.*

1. The MN decides to configure CPA or subsequent CPAC for the UE. The MN requests the candidate SN(s) to allocate resources for one or more specific PDU Sessions/QoS Flows, indicating QoS Flows characteristics (QoS Flow Level QoS parameters, PDU session level TNL address information, and PDU session level Network Slice info), indicating that the request is for CPA and providing the upper limit for the number of PSCells that can be prepared by the candidate SN. In addition, for bearers requiring SCG radio resources, the MN indicates the requested SCG configuration information, including the entire UE capabilities and the UE capability coordination result. In this case, the MN also provides the candidate cells recommended by MN via the latest measurement results for the candidate SN to choose and configure the SCG cell(s). If subsequent CPAC is requested, the MN may also provide a reference SCG configuration for the candidate SN to generate the candidate PSCell configuration. The MN may request the candidate SN to allocate radio resources for split SRB operation. In NR-DC, the MN always provides all the needed security information to the candidate SN (even if no SN terminated bearers are setup) to enable SRB3 to be setup based on SN decision.

*Editor’s note: FFS which node initially generates the reference configuration in subsequent CPAC.*

*Editor’s note: FFS whether the reference SCG configuration is optionally provided to the candidate SN(s).*

 For MN terminated bearer options that require Xn-U resources between the MN and the candidate SN, the MN provides Xn-U UL TNL address information. For SN terminated bearers, the MN provides a list of available DRB IDs. The candidate SN shall store this information and use it when establishing SN terminated bearers. The candidate SN may reject the addition request.

 For SN terminated bearer options that require Xn-U resources between the MN and the candidate SN, the MN provides in step 1 a list of QoS flows per PDU Sessions for which SCG resources are requested to be setup upon which the candidate SN decides how to map QoS flows to DRB.

NOTE 6: For split bearers, MCG and SCG resources may be requested of such an amount, that the QoS for the respective QoS Flow is guaranteed by the exact sum of resources provided by the MCG and the SCG together, or even more. For MN terminated split bearers, the MN decision is reflected in step 1 by the QoS Flow parameters signalled to the candidate SN, which may differ from QoS Flow parameters received over NG.

NOTE 7: For a specific QoS flow, the MN may request the direct establishment of SCG and/or split bearers, i.e. without first having to establish MCG bearers. It is also allowed that all QoS flows can be mapped to SN terminated bearers, i.e. there is no QoS flow mapped to an MN terminated bearer.

2. If the RRM entity in the candidate SN is able to admit the resource request, it allocates respective radio resources and, dependent on the bearer type options, respective transport network resources, and provides the prepared PSCell ID(s) to the MN. For bearers requiring SCG radio resources the candidate SN configures Random Access so that synchronisation of the SN radio resource configuration can be performed at the CPA execution. From the list of cells indicated within the measurement results provided by the MN, the candidate SN decides the list of PSCell(s) to prepare (considering the maximum number indicated by the MN) and, for each prepared PSCell, the candidate SN decides other SCG SCells and provides the new corresponding SCG radio resource configuration to the MN in an NR *RRCReconfiguration\*\** message, contained in the *SN Addition Request Acknowledge* message. The candidate SN can either accept or reject each of the candidate cells listed within the measurement results indicated by the MN, i.e. it cannot configure any alternative candidates. In case of bearer options that require Xn-U resources between the MN and the candidate SN, the candidate SN provides Xn-U TNL address information for the respective DRB, Xn-U UL TNL address information for SN terminated bearers, Xn-U DL TNL address information for MN terminated bearers. For SN terminated bearers, the candidate SN provides the NG-U DL TNL address information for the respective PDU Session and security algorithm. If SCG radio resources have been requested, the SCG radio resource configuration is provided. If subsequent CPAC has been requested, the candidate SN may also include an indication of that the provided SCG radio resource configuration is a complete or delta RRC configuration with respect to the reference SCG configuration.

*Editor’s note: FFS which node(s) and how to generate execution conditions for subsequent CPC. FFS if it shall be possible to do something like MN-initiated CPA/CPC where Candidate SN generate execution conditions for subsequent CPC.*

NOTE 8: For MN terminated bearers for which PDCP duplication with CA is configured in NR SCG side, the MN allocates up to 4 separate Xn-U bearers and the candidate SN provides a logical channel ID for primary or split secondary path to the MN.

 For SN terminated bearers for which PDCP duplication with CA is configured in NR MCG side, the candidate SN allocates up to 4 separate Xn-U bearers and the MN provides a logical channel ID for primary or split secondary path to the candidate SN via an additional MN-initiated SN modification procedure.

NOTE 9: In case of SN terminated bearers, early data forwarding may take place after step 2. For the early data forwarding of SN terminated bearers, the MN forwards the PDCP SDU to the candidate SN. For the early transmission of MN terminated split/SCG bearers, the MN forwards the PDCP PDU to the candidate SN.

2a. For SN terminated bearers using MCG resources, the MN provides Xn-U DL TNL address information in the *Xn-U Address Indication* message. In case of early data forwarding in CPA, the MN sends the *Early Status Transfer* message to the candidate SN.

3. The MN sends to the UE an *RRCReconfiguration* message including the CPA configuration or the subsequent CPAC configuration, i.e. a list of *RRCReconfiguration\** messagesand associated execution conditions. Each *RRCReconfiguration\** messagecontains the SCG configuration in the *RRCReconfiguration\*\** received from the candidate SN in step 2 and possibly an MCG configuration. Besides, the *RRCReconfiguration* messagecan also include an updated MCG configuration. e.g. to configure the required conditional measurements. In subsequent CPAC, the *RRCReconfiguration* message may also include a reference SCG configuration.

*Editor’s note: FFS if the reference configuration is optional in subsequent CPAC. FFS whether MCG configuration is included in the reference configuration.*

*Editor’s note: FFS whether the MCG configuration associated with the SCG configuration of a candidate PSCell is included in subsequent CPAC configuration.*

4. The UE applies the *RRCReconfiguration* message received in step 3, stores the CPA configuration or the subsequent CPAC configurationand replies to the MN with an *RRCReconfigurationComplete* message. In case the UE is unable to comply with (part of) the configuration included in the *RRCReconfiguration* message, it performs the reconfiguration failure procedure.

4a. The UE starts evaluating the execution conditions. If the execution conditionof one candidate PSCell is satisfied, the UE applies *RRCReconfiguration\** message corresponding to the selected candidate PSCell, and sends an MN *RRCReconfigurationComplete\** message, including an *RRCReconfigurationComplete\*\** message for the selected candidate PSCell, and information enabling the MN to identify the SN of the selected candidate PSCell. In subsequent CPAC, the UE keeps configured candidate PSCell configurations and evaluates the execution conditions of other candidate PSCells for subsequent CPAC.

*Editor’s note: FFS whether to support the coexistence of legacy CPA/CPC and subsequent CPAC, i.e. there are some candidates for subsequent CPAC but others for legacy CPA/CPC.*

5a-5c. The MN informs the SN of the selected candidate PSCell that the UE has completed the reconfiguration procedure successfully via *SN Reconfiguration Complete* message, including the *RRCReconfigurationComplete\*\** message. The MN sends the *SN Release Request* message(s) to cancel CPA in the other candidate SN(s), if configured. The other candidate SN(s) acknowledges the release request.

*Editor’s note: FFS. It’s up to RAN3 how to notify the source SN and the selected target SN in subsequent CPAC.*

*Editor’s note: FFS. It’s up to RAN3 whether/how to inform other candidate SN(s) in subsequent CPAC.*

6. The UE performs synchronisation towards the PSCell indicated in the *RRCReconfiguration\** message applied in step 4a. The order the UE sends the MN *RRCReconfigurationComplete\** message and performs the Random Access procedure towards the SCG is not defined. The successful RA procedure towards the SCG is not required for a successful completion of the RRC Connection Reconfiguration procedure.

7. If PDCP termination point is changed to the SN for bearers using RLC AM, and when RRC full configuration is not used, the MN sends the *SN Status Transfer* message.

8. For SN terminated bearers or QoS flows moved from the MN, dependent on the characteristics of the respective bearer or QoS flow, the MN may take actions to minimise service interruption due to activation of MR-DC (Data forwarding).

9-12. If applicable, the update of the UP path towards the 5GC is performed via a PDU Session Path Update procedure*.*

NOTE X: In subsequent CPAC, if the execution condition of one candidate PSCell is satisfied, the UE executes steps 5-16 in Figure 10.5.2-3, e.g. based on the configuration provided in step 3 in Figure 10.2.2-2.

10.2.3 Conditional PSCell Addition

A Conditional PSCell Addition (CPA) is defined as a PSCell addition that is executed by the UE when execution condition(s) is met. The UE starts evaluating the execution condition(s) upon receiving the CPA configuration, and stops evaluating the execution condition(s) once PSCell addition or PCell change is triggered.

The following principles apply to CPA:

- The CPA configuration contains the configuration of CPA candidate PSCell(s), execution condition(s) and may contain the MCG configuration, to be applied when CPA execution is triggered.

- An execution condition may consist of one or two trigger condition(s) (see *CondEvent*, as defined in TS 38.331 [4] or TS 36.331 [10]). Only a single RS type and at most two different trigger quantities (e.g. RSRP and RSRQ, RSRP and SINR, etc.) can be used for the evaluation of CPA execution condition of a single candidate PSCell.

- Before any CPA execution condition is satisfied, upon reception of PSCell addition command or PCell change command, the UE executes the PSCell addition procedure as described in clause 10.2.1 or 10.2.2, or the PCell change procedure as described in clause 9.2.3.2 in TS 38.300[3] or clause 10.1.2.1 in TS 36.300 [2], regardless of any previously received CPA configuration. Upon the successful completion of PSCell addition procedure or PCell change procedure, the UE releases the stored CPA configuration.

- While executing CPA, the UE is not required to continue evaluating the execution condition of other candidate PSCell(s) or PCell(s).

- Once the CPA procedure is executed successfully, the UE releases all stored conditional reconfigurations (i.e. for CPA and for CHO, as specified in TS 38.300 [3] or TS 36.300 [2]).

CPA configuration in HO command, in PSCell addition command, or within any conditional reconfiguration (i.e., CPA, CPC or CHO configuration) is not supported.

10.3 Secondary Node Modification (MN/SN initiated)

\*// skip unchanged part //\*

10.3.2 MR-DC with 5GC

The SN Modification procedure may be initiated either by the MN or by the SN and be used to modify the current user plane resource configuration (e.g. related to PDU session, QoS flow or DRB) or to modify other properties of the UE context within the same SN. It may also be used to transfer an RRC message from the SN to the UE via the MN and the response from the UE via MN to the SN (e.g. when SRB3 is not used). In NGEN-DC and NR-DC, the RRC message is an NR message (i.e., *RRCReconfiguration*) whereas in NE-DC it is an E-UTRA message (i.e., *RRCConnectionReconfiguration*). In case of CPA, inter-SN CPC or inter-SN subsequent CPAC, this procedure is used to modify CPA, inter-SN CPC or inter-SN subsequent CPAC configuration within the same candidate SN. In case of CPA, inter-SN CPC or inter-SN subsequent CPAC, this procedure may also be triggered by the candidate SN to add some prepared PSCells from the suggested list or cancel part of the prepared PSCells. In case of intra-SN CPC or intra-SN subsequent CPAC, this procedure is used to configure, modify or release intra-SN CPC or intra-SN subsequent CPAC configuration. This procedure may be initiated by the MN or SN to request the SN or MN to activate or deactivate the SCG.

*Editor’s note: FFS. It’s up to RAN3 on the details how to update/modify/cancel the prepared candidate PSCells for subsequent CPAC.*

The SN modification procedure does not necessarily need to involve signalling towards the UE.

**MN initiated SN Modification**

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**Figure 10.3.2-1: SN Modification procedure - MN initiated**

The MN uses the procedure to initiate configuration changes of the SCG within the same SN, including addition, modification or release of the user plane resource configuration. The MN uses this procedure to perform handover within the same MN while keeping the SN, when the SN needs to be involved (i.e. in NGEN-DC). The MN also uses the procedure to query the current SCG configuration, e.g. when delta configuration is applied in an MN initiated SN change. The MN also uses the procedure to provide the S-RLF related information to the SN or to provide additional available DRB IDs to be used for SN terminated bearers. The MN also uses this procedure to activate or deactivate the SCG. The MN may not use the procedure to initiate the addition, modification or release of SCG SCells. The SN may reject the request, except if it concerns the release of the user plane resource configuration, or if it is used to perform handover within the same MN while keeping the SN. Figure 10.3.2-1 shows an example signalling flow for an MN initiated SN Modification procedure.

1. The MN sends the *SN Modification Request* message, which may contain user plane resource configuration related or other UE context related information, PDU session level Network Slice info and the requested SCG configuration information, including the UE capabilities coordination result to be used as basis for the reconfiguration by the SN. In case a security key update in the SN is required, a new *SN Security Key* is included. In case the PDCP data recovery in the SN is required, the *PDCP Change* *Indication* is included which indicates that PDCP data recovery is required in SN.

2. The SN responds with the *SN Modification Request Acknowledge* message, which may contain new SCG radio configuration information within an SN RRC reconfiguration message*,* and data forwarding address information (if applicable). If the MN requested the SCG to be activated or deactivated, the SN indicates whether the SCG is activated or deactivated.

NOTE 1: For MN terminated bearers to be setup for which PDCP duplication with CA is configured in NR SCG side, the MN allocates up to 4 separate Xn-U bearers and the SN provides a logical channel ID for primary or split secondary path to the MN.

 For SN terminated bearers to be setup for which PDCP duplication with CA is configured in NR MCG side, the SN allocates up to 4 separate Xn-U bearers and the MN provides a logical channel ID for primary or split secondary path to the SN via an additional MN-initiated SN modification procedure.

2a. When applicable, the MN provides data forwarding address information to the SN. For SN terminated bearers using MCG resources, the MN provides Xn-U DL TNL address information in the *Xn-U Address Indication* message.

3/4. The MN initiates the RRC reconfiguration procedure, including an SN RRC reconfiguration message. The UE applies the new configuration, synchronizes to the MN (if instructed, in case of intra-MN handover) and replies with MN RRC reconfiguration complete message,including an SN RRC response message, if needed. In case the UE is unable to comply with (part of) the configuration included in the MN RRC reconfiguration message, it performs the reconfiguration failure procedure.

5. Upon successful completion of the reconfiguration, the success of the procedure is indicated in the *SN Reconfiguration Complete* message.

6. If instructed, the UE performs synchronisation towards the PSCell of the SN as described in SN addition procedure. Otherwise, the UE may perform UL transmission after having applied the new configuration.

7. If PDCP termination point is changed for bearers using RLC AM, and when RRC full configuration is not used, the SN Status Transfer takes place between the MN and the SN (Figure 10.3.2-1 depicts the case where a bearer context is transferred from the MN to the SN).

8. If applicable, data forwarding between MN and the SN takes place (Figure 10.3.2-1 depicts the case where a user plane resource configuration related context is transferred from the MN to the SN).

9. The SN sends the *Secondary RAT Data Usage Report* message to the MN and includes the data volumes delivered to and received from the UE as described in clause 10.11.2.

NOTE 2: The order the SN sends the *Secondary RAT Data Usage Report* message and performs data forwarding with MN is not defined. The SN may send the report when the transmission of the related QoS flow is stopped.

10. If applicable, a PDU Session path update procedure is performed.

**SN initiated SN Modification with MN involvement**

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**Figure 10.3.2-2: SN Modification procedure - SN initiated with MN involvement**

The SN uses the procedure to perform configuration changes of the SCG within the same SN, e.g. to trigger the modification/release of the user plane resource configuration, to trigger the release of SCG resources (e.g., release SCG lower layer resources but keep SN), and to trigger PSCell changes (e.g. when a new security key is required or when the MN needs to perform PDCP data recovery). The MN cannot reject the release request of PDU session/QoS flows and the release request of SCG resources. The SN also uses the procedure to request the MN to provide more DRB IDs to be used for SN terminated bearers or to return DRB IDs used for SN terminated bearers that are not needed any longer. The SN also uses this procedure to activate or deactivate the SCG. Figure 10.3.2-2 shows an example signalling flow for SN initiated SN Modification procedure.

1. The SN sends the *SN Modification Required* message including an SN RRC reconfiguration message, which may contain user plane resource configuration related context, other UE context related information and the new radio resource configuration of SCG. The SN may request the SCG to be activated or deactivated. In case of change of security key, the *PDCP Change* *Indication* indicates that an SN security key update is required. In case the MN needs to perform PDCP data recovery, the *PDCP Change* *Indication* indicates that PDCP data recovery is required.

 The SN can decide whether the change of security key is required.

NOTE 3a: In case that a MN initiated conditional reconfiguration (e.g. CHO, MN initiated inter-SN CPC or MN initiated inter-SN subsequent CPAC) is prepared, and if any execution of a prepared SN initiated intra-SN CPC or SN initiated intra-SN subsequent CPAC procedure or reconfiguration of the SCG, the SN notifies to the MN via the *SN Modification Required* message. In this case, the steps 2 and 3 are skipped.

NOTE 3b: In case of SN initiated inter-SN CPC or SN initiated inter-SN subsequent CPAC and in case that a candidate SN triggered the SN Initiated SN Modification procedure to include some prepared PSCells (within the candidate cells suggested by the source SN in SN initiated inter-SN CPC or SN initiated inter-SN subsequent CPAC) or to remove some prepared PSCells, the MN may decide to trigger the step 2 towards the source SN.

2/3. The MN initiated SN Modification procedure may be triggered by *SN Modification Required* message, e.g. when an SN security key change needs to be applied.

NOTE 3: For SN terminated bearers to be setup for which PDCP duplication with CA is configured in NR MCG side, the SN allocates up to 4 separate Xn-U bearers and the MN provides a logical channel ID for primary or split secondary path to the SN via the nested MN-initiated SN modification procedure.

4. The MN sends the MN RRC reconfiguration message to the UE including the SN RRC reconfiguration message with the new SCG radio resource configuration.

5. The UE applies the new configuration and sends the MN RRC reconfiguration complete message, including an SN RRC response message, if needed. In case the UE is unable to comply with (part of) the configuration included in the MN RRC reconfiguration message, it performs the reconfiguration failure procedure.

6. Upon successful completion of the reconfiguration, the success of the procedure is indicated in the *SN Modification Confirm* message including the SN RRC response message, if received from the UE.

7. If instructed, the UE performs synchronisation towards the PSCell configured by the SN as described in SN Addition procedure. Otherwise, the UE may perform UL transmission directly after having applied the new configuration.

8. If PDCP termination point is changed for bearers using RLC AM, and when RRC full configuration is not used, the SN Status Transfer takes place between the MN and the SN (Figure 10.3.2-2 depicts the case where a bearer context is transferred from the SN to the MN).

9. If applicable, data forwarding between MN and the SN takes place (Figure 10.3.2-2 depicts the case where a user plane resource configuration related context is transferred from the SN to the MN).

10. The SN sends the *Secondary RAT Data Usage Report* message to the MN and includes the data volumes delivered to and received from the UE as described in clause 10.11.2.

NOTE 4: The order the SN sends the *Secondary RAT Data Usage Report* message and performs data forwarding with MN is not defined. The SN may send the report when the transmission of the related QoS flow is stopped.

11. If applicable, a PDU Session path update procedure is performed.

**SN initiated SN Modification without MN involvement**

This procedure is not supported for NE-DC.

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**Figure 10.3.2-3: SN Modification – SN initiated without MN involvement**

The SN initiated SN modification procedure without MN involvement is used to modify the configuration within SN in case no coordination with MN is required, including the addition/modification/release of SCG SCell and PSCell change (e.g. when the security key does not need to be changed and the MN does not need to be involved in PDCP recovery). The SN may initiate the procedure to configure, modify or release intra-SN CPC or intra-SN subsequent CPAC configuration within the same SN. Figure 10.3.2-3 shows an example signalling flow for SN initiated SN modification procedure without MN involvement. The SN can decide whether the Random Access procedure is required.

1. The SN sends the SN RRC reconfiguration message to the UE through SRB3.

2. The UE applies the new configuration and replies with the SN RRC reconfiguration complete message. In case the UE is unable to comply with (part of) the configuration included in the SN RRC reconfiguration message, it performs the reconfiguration failure procedure.

3. If instructed, the UE performs synchronisation towards the PSCell of the SN as described in SN Addition procedure. Otherwise the UE may perform UL transmission after having applied the new configuration.

**SN initiated Conditional SN Modification without MN involvement (SRB3 is used)**

This procedure is not supported for NE-DC and NGEN-DC.

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**Figure 10.3.2-3a: SN Modification – SN-initiated without MN involvement and SRB3 is used to configure intra-SN CPC or intra-SN subsequent CPAC.**

*Editor’s note: FFS whether to have a separate signaling flow for subsequent CPAC procedure, depending on further progress from RAN2 and RAN3.*

The SN initiates the procedure when it needs to transfer an NR RRC message to the UE and SRB3 is used to configure intra-SN CPC or intra-SN subsequent CPAC.

1. The SN sends the SN RRC reconfiguration including CPC configuration or subsequent CPAC configuration to the UE through SRB3.

2. The UE applies the new configuration. In case the UE is unable to comply with (part of) the configuration included in the SN RRC reconfiguration message, it performs the reconfiguration failure procedure. The UE starts evaluating the execution conditions for the candidate PSCell(s). The UE maintains connection with the source PSCell and replies with the *RRCReconfigurationComplete* message to the SN via SRB3.

3. If at least one candidate PSCell satisfies the corresponding execution condition, the UE detaches from the source PSCell, applies the stored configuration corresponding to the selected candidate PSCell and synchronises to the candidate PSCell. In subsequent CPAC, the UE keeps configured candidate PSCell configurations and evaluates the execution conditions of other candidate PSCells for subsequent CPAC.

*Editor’s note: FFS whether to support the coexistence of legacy CPA/CPC and subsequent CPAC.*

4. The UE completes the CPC execution procedure by sending an *RRCReconfigurationComplete* message to the new PSCell.

NOTE X: In subsequent CPAC, if the execution condition of one candidate PSCell is satisfied, the UE executes steps 3-4, e.g. based on the configuration provided in step 1.

**Transfer of an NR RRC message to/from the UE (when SRB3 is not used)**

This procedure is supported for all the MR-DC options.

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**Figure 10.3.2-4: Transfer of an NR RRC message to/from the UE**

The SN initiates the procedure when it needs to transfer an NR RRC message to the UE and SRB3 is not used.

1. The SN initiates the procedure by sending the *SN Modification Required* to the MN including the SN RRC reconfiguration message.

2. The MN forwards the SN RRC reconfiguration message to the UE including it in the RRC reconfigurationmessage.

3. The UE applies the new configuration and replies with the RRC reconfiguration complete message by including the SN RRC reconfiguration complete message. In case the UE is unable to comply with (part of) the configuration included in the SN RRC reconfiguration message, it performs the reconfiguration failure procedure.

4. The MN forwards the SN RRC response message, if received from the UE, to the SN by including it in the *SN Modification Confirm* message.

5. If instructed, the UE performs synchronisation towards the PSCell of the SN as described in SN Addition procedure. Otherwise the UE may perform UL transmission after having applied the new configuration.

**SN initiated Conditional SN Modification without MN involvement (SRB3 is not used)**

This procedure is not supported for NE-DC and NGEN-DC.

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**Figure 10.3.2-5: SN Modification – SN-initiated without MN involvement and SRB3 is not used to configure intra-SN CPC or intra-SN subsequent CPAC**

*Editor’s note: FFS whether to have a separate signaling flow for subsequent CPAC procedure, depending on further progress from RAN2 and RAN3.*

The SN initiates the procedure when it needs to transfer an NR RRC message to the UE and SRB3 is not used to configure intra-SN CPC or intra-SN subsequent CPAC.

1. The SN initiates the procedure by sending the *SN Modification Required* to the MN including the SN RRC reconfiguration message with CPC configuration or subsequent CPAC configuration.

2. The MN forwards the SN RRC reconfiguration message to the UE including it in the *RRCReconfiguration* message.

3. The UE replies with the *RRCReconfigurationComplete* message by including the SN RRC reconfiguration complete message. In case the UE is unable to comply with (part of) the configuration included in the SN RRC reconfiguration message, it performs the reconfiguration failure procedure. The UE maintains connection with source PSCell after receiving CPC configuration or subsequent CPAC configuration, and starts evaluating the execution conditions for the candidate PSCell(s).

4. The MN forwards the SN RRC response message, if received from the UE, to the SN by including it in the *SN Modification Confirm* message.

5. If at least one candidate PSCell satisfies the corresponding execution condition, the UE completes the CPC execution procedure by an *ULInformationTransferMRDC* message to the MN which includes an embedded *RRCReconfigurationComplete* message to the selected target PSCell. In subsequent CPAC, the UE keeps configured candidate PSCell configurations and evaluates the execution conditions of other candidate PSCells for subsequent CPAC.

*Editor’s note: FFS whether to support the coexistence of legacy CPA/CPC and subsequent CPAC.*

6. The *RRCReconfigurationComplete* message is forwarded to the SN embedded in *RRC Transfer* message.

7. The UE detaches from the source PSCell, applies the stored corresponding configuration and synchronises to the selected candidate PSCell.

NOTE X: In subsequent CPAC, if the execution condition of one candidate PSCell is satisfied, the UE executes steps 5-7, e.g. based on the configuration provided in step 2.

10.4 Secondary Node Release (MN/SN initiated)

\*// skip unchanged part //\*

10.4.2 MR-DC with 5GC

The SN Release procedure may be initiated either by the MN or by the SN and is used to initiate the release of the UE context and relevant resources at the SN. The recipient node of this request can reject it, e.g., if an SN change procedure is triggered by the SN.

In case of CPA, inter-SN CPC or inter-SN subsequent CPAC, this procedure may be initiated either by the MN or the candidate SN, and it is used to cancel all the prepared PSCells at the candidate SN and initiate the release of related UE context at the candidate SN.

**MN initiated SN Release**

****

**Figure 10.4.2-1: SN release procedure - MN initiated**

Figure 10.4.2-1 shows an example signalling flow for the MN initiated SN Release procedure.

1. The MN initiates the procedure by sending the *SN Release Request* message.

2. The SN confirms SN Release by sending the *SN Release Request Acknowledge* message. If appropriate, the SN may reject SN Release, e.g., if the SN change procedure is triggered by the SN.

NOTE 00: If CPA, inter-SN CPC or inter-SN subsequent CPAC is configured, upon reception of the *SN Release Request Acknowledge* message the MN cancels all CPAC or subsequent CPAC with the target candidate SN(s).

2a. When applicable, the MN provides forwarding address information to the SN.

NOTE 0: The MN may send the *Xn-U Address Indication* message to provide forwarding address information before step 2.

3/4. If required, the MN indicates in the MN RRC reconfiguration message towards the UE that the UE shall release the entire SCG configuration. In case the UE is unable to comply with (part of) the configuration included in the MN RRC reconfiguration message, it performs the reconfiguration failure procedure.

NOTE 1: If data forwarding is applied, timely coordination between steps 1 and 2 may minimize gaps in service provision, this is however regarded to be an implementation matter.

5. If PDCP termination point is changed to the MN for bearers using RLC AM, the SN sends the *SN Status Transfer* message.

6. Data forwarding from the SN to the MN may start.

7. The SN sends the *Secondary RAT Data Usage Report* message to the MN and includes the data volumes delivered to and received from the UE as described in clause 10.11.2.

NOTE 1a: If data forwarding is applied, the order the SN sends the *Secondary RAT Data Usage Report* message and starts data forwarding with MN is not defined i.e., step 7 can take place before step 6. The SN does not need to wait for the end of data forwarding to send the *Secondary RAT Data Usage Report* message.

8. If applicable, the PDU Session path update procedure is initiated.

9. Upon reception of the *UE Context Release* message, the SN releases radio and C-plane related resources associated to the UE context. Any ongoing data forwarding may continue.

**SN initiated SN Release**

****

**Figure 10.4.2-2: SN release procedure - SN initiated**

Figure 10.4.2-2 shows an example signalling flow for the SN initiated SN Release procedure.

1. The SN initiates the procedure by sending the *SN Release Required* message which may contain inter-node message to support delta configuration.

2. If data forwarding is requested, the MN provides data forwarding addresses to the SN in the *SN Release Confirm* message. The SN may start data forwarding and stop providing user data to the UE as early as it receives the *SN Release Confirm* message.

NOTE 1b: If CPA, inter-SN CPC or inter-SN subsequent CPAC is configured, upon reception of the *SN Release Required* message the MN cancels all CPAC or subsequent CPAC with the target candidate SN(s).

3/4. If required, the MN indicates in the MN RRC reconfiguration message towards the UE that the UE shall release the entire SCG configuration. In case the UE is unable to comply with (part of) the configuration included in the MN RRC reconfiguration message, it performs the reconfiguration failure procedure.

NOTE 2: If data forwarding is applied, timely coordination between steps 2 and 3 may minimize gaps in service provision. This is however regarded to be an implementation matter.

5. If PDCP termination point is changed to the MN for bearers using RLC AM, the SN sends the *SN Status Transfer* message.

6. Data forwarding from the SN to the MN may start.

7. The SN sends the *Secondary RAT Data Usage Report* message to the MN and includes the data volumes delivered to and received from the UE as described in clause 10.11.2.

NOTE 3: If data forwarding is applied, the order the SN sends the *Secondary RAT Data Usage Report* message and starts data forwarding with MN is not defined i.e., step 7 can take place before step 6. The SN does not need to wait for the end of data forwarding to send the *Secondary RAT Data Usage Report* message.

8. If applicable, the PDU Session path update procedure is initiated.

9. Upon reception of the *UE Context Release* message, the SN releases radio and C-plane related resources associated to the UE context. Any ongoing data forwarding may continue.

10.5 Secondary Node Change (MN/SN initiated)

\*// skip unchanged part //\*

10.5.2 MR-DC with 5GC

**MN initiated SN Change**

The MN initiated SN change procedure is used to transfer a UE context from the source SN to a target SN and to change the SCG configuration in UE from one SN to another.

The Secondary Node Change procedure always involves signalling over MCG SRB towards the UE.

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**Figure 10.5.2-1: SN change procedure - MN initiated**

Figure 10.5.2-1 shows an example signalling flow for the SN Change initiated by the MN:

1/2. The MN initiates the SN change by requesting the target SN to allocate resources for the UE by means of the SN Addition procedure. The MN may include measurement results related to the target SN. If data forwarding is needed, the target SN provides data forwarding addresses to the MN. The target SN includes the indication of the full or delta RRC configuration.

NOTE 1: The MN may trigger the MN-initiated SN Modification procedure (to the source SN) to retrieve the current SCG configuration and to allow provision of data forwarding related information before step 1.

2a. For SN terminated bearers using MCG resources, the MN provides Xn-U DL TNL address information in the *Xn-U Address Indication* message.

3. If the allocation of target SN resources was successful, the MN initiates the release of the source SN resources including a Cause indicating SCG mobility. The Source SN may reject the release. If data forwarding is needed the MN provides data forwarding addresses to the source SN. If direct data forwarding is used for SN terminated bearers, the MN provides data forwarding addresses as received from the target SN to source SN. Reception of the *SN Release Request* message triggers the source SN to stop providing user data to the UE.

4/5. The MNtriggers the UE to apply the new configuration. The MN indicates the new configuration to the UE in the MN RRC reconfiguration message including the target SN RRC reconfiguration message. The UE applies the new configuration and sends the MN RRC reconfiguration complete message, including the SN RRC response message for the target SN, if needed. In case the UE is unable to comply with (part of) the configuration included in the MN RRC reconfiguration message, it performs the reconfiguration failure procedure.

6. If the RRC connection reconfiguration procedure was successful, the MN informs the target SN via *SN Reconfiguration Complete* message with the included SN RRC response message for the target SN, if received from the UE.

7. If configured with bearers requiring SCG radio resources the UE synchronizes to the target SN.

8. If PDCP termination point is changed for bearers using RLC AM, the source SN sends the *SN Status Transfer* message, which the MN sends then to the target SN, if needed.

9. If applicable, data forwarding from the source SN takes place. It may be initiated as early as the source SN receives the *SN Release Request* message from the MN.

10. The source SN sends the *Secondary RAT Data Usage Report* message to the MN and includes the data volumes delivered to and received from the UE as described in clause 10.11.2.

NOTE 2: The order the SN sends the *Secondary RAT Data Usage Report* message and performs data forwarding with MN is not defined. The SN may send the report when the transmission of the related QoS flow is stopped.

11-15. If applicable, a PDU Session path update procedure is triggered by the MN.

16. Upon reception of the *UE Context Release* message, the source SN releases radio and C-plane related resources associated to the UE context. Any ongoing data forwarding may continue

**SN initiated SN Change**

The SN initiated SN change procedure is used to transfer a UE context from the source SN to a target SN and to change the SCG configuration in UE from one SN to another.

****

**Figure 10.5.2-2: SN change procedure - SN initiated**

Figure 10.5.2-2 shows an example signalling flow for the SN Change initiated by the SN:

1. The source SN initiates the SN change procedure by sending the *SN Change Required* message, which contains a candidate target node ID and may include the SCG configuration (to support delta configuration) and measurement results related to the target SN.

2/3. The MN requests the target SN to allocate resources for the UE by means of the SN Addition procedure, including the measurement results related to the target SN received from the source SN. If data forwarding is needed, the target SN provides data forwarding addresses to the MN. The target SN includes the indication of the full or delta RRC configuration.

3a. For SN terminated bearers using MCG resources, the MN provides Xn-U DL TNL address information in the *Xn-U Address Indication* message.

4/5. The MN triggers the UE to apply the new configuration. The MN indicates the new configuration to the UE in the MN RRC reconfiguration message including the SN RRC reconfiguration message generated by the target SN. The UE applies the new configuration and sends the MN RRC reconfiguration complete message, including the SN RRC response message for the target SN, if needed. In case the UE is unable to comply with (part of) the configuration included in the MN RRC reconfiguration message, it performs the reconfiguration failure procedure.

6. If the allocation of target SN resources was successful, the MN confirms the change of the source SN. If data forwarding is needed the MN provides data forwarding addresses to the source SN. If direct data forwarding is used for SN terminated bearers, the MN provides data forwarding addresses as received from the target SN to source SN. Reception of the *SN Change Confirm* message triggers the source SN to stop providing user data to the UE and, if applicable, to start data forwarding.

7. If the RRC connection reconfiguration procedure was successful, the MN informs the target SN via *SN Reconfiguration Complete* message with the included SN RRC response message for the target SN, if received from the UE.

8. The UE synchronizes to the target SN.

9. If PDCP termination point is changed for bearers using RLC AM, the source SN sends the *SN Status Transfer* message, which the MN sends then to the target SN, if needed.

10. If applicable, data forwarding from the source SN takes place. It may be initiated as early as the source SN receives the *SN Change Confirm* message from the MN.

11. The source SN sends the *Secondary RAT Data Usage Report* message to the MN and includes the data volumes delivered to and received from the UE as described in clause 10.11.2.

NOTE 3: The order the SN sends the *Secondary RAT Data Usage Report* message and performs data forwarding with MN/target SN is not defined. The SN may send the report when the transmission of the related QoS flow is stopped.

12-16. If applicable, a PDU Session path update procedure is triggered by the MN.

17. Upon reception of the *UE Context Release* message, the source SN releases radio and C-plane related resources associated to the UE context. Any ongoing data forwarding may continue.

**MN initiated conditional SN Change**

The Conditional Secondary Node Change procedure is initiated by the MN for inter-SN CPC or inter-SN subsequent CPAC configuration and inter-SN CPC or inter-SN subsequent CPAC execution.

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**Figure 10.5.2-3: Conditional SN change procedure - MN initiated**

*Editor’s note: FFS whether to have a separate signaling flow for subsequent CPAC procedure, depending on further progress from RAN2 and RAN3.*

Figure 10.5.2-3 shows an example signalling flow for the conditional SN Change initiated by the MN:

1/2. The MN initiates the conditional SN change by requesting the candidate SN(s) to allocate resources for the UE by means of the SN Addition procedure, indicating that the request is for CPAC or subsequent CPAC . The MN also provides the candidate cells recommended by MN via the latest measurement results for the candidate SN(s) to choose and configure the SCG cell(s), provides the upper limit for the number of PSCells that can be prepared by the candidate SN. If subsequent CPAC is requested, the MN may also provide a reference SCG configuration for the candidate SN to generate the candidate PSCell configuration. Within the list of cells as indicated within the measurement results indicated by the MN, the candidate SN decides the list of PSCell(s) to prepare (considering the maximum number indicated by the MN) and, for each prepared PSCell, the candidate SN decides other SCG SCells and provides the new corresponding SCG radio resource configuration to the MN in an NR *RRCReconfiguration*\*\* message contained in the *SN Addition Request Acknowledge* message with the prepared PSCell ID(s). If data forwarding is needed, the candidate SN provides data forwarding addresses to the MN. The candidate SN includes the indication of the full or delta RRC configuration. If subsequent CPAC has been requested, the candidate SN may include an indication of that the provided SCG radio resource configuration is a complete or delta RRC configuration with respect to the reference SCG configuration. The candidate SN can either accept or reject each of the candidate cells listed within the measurement results indicated by the MN, i.e. it cannot configure any alternative candidates.

*Editor’s note: FFS which node initially generates the reference configuration in subsequent CPAC.*

*Editor’s note: FFS whether the reference SCG configuration is optionally provided to the candidate SN(s).*

*Editor’s note: FFS which node(s) and how/when to generate execution conditions for subsequent CPC, e.g. when the determination node decides the candidate PSCells for initial CPC, or after the determination node knows all candidate PSCells prepared by other candidate SNs. FFS if it shall be possible to do something like MN-initiated CPA/CPC where Candidate SN generate execution conditions for subsequent CPC.*

NOTE 4: The MN may trigger the MN-initiated SN Modification procedure (to the source SN) to retrieve the current SCG configuration and to allow provision of data forwarding related information before step 1.

2a. For SN terminated bearers using MCG resources, the MN provides Xn-U DL TNL address information in the *Xn-U Address Indication* message to the candidate SN(s).

3. The MN sends to the UE an *RRCReconfiguration* messageincluding the CPC configuration or the subsequent CPAC configuration, i.e. a list of *RRCReconfiguration\** messagesand associated execution conditions, in which each *RRCReconfiguration\** messagecontains the SCG configuration in the *RRCReconfiguration\*\** messagereceived from the candidate SN in step 2 and possibly an MCG configuration. Besides, the *RRCReconfiguration* message can also include an updated MCG configuration, e.g., to configure the required conditional measurements. In subsequent CPAC, the *RRCReconfiguration* message mayalso include a reference SCG configuration.

*Editor’s note: FFS if the reference configuration is optional in subsequent CPAC. FFS whether MCG configuration is included in the reference configuration.*

*Editor’s note: FFS whether the MCG configuration associated with the SCG configuration of a candidate PSCell is included in subsequent CPAC configuration.*

4. The UE applies the *RRCReconfiguration* message received in step 3, stores the CPC configuration or the subsequent CPAC configurationand replies to the MN with an *RRCReconfigurationComplete* message. In case the UE is unable to comply with (part of) the configuration included in the *RRCReconfiguration* message, it performs the reconfiguration failure procedure.

4a. Upon receiving the MN *RRCReconfigurationComplete* message from the UE, the MN informs the source SN that the CPC or the subsequent CPAC has been configured via Xn-U Address Indication procedure, the source SN, if applicable, together with the Early Status Transfer procedure, starts early data forwarding. The PDCP SDU forwarding may take place during early data forwarding.

NOTE 4a: Separate Xn-U Address Indication procedures may be invoked to provide different forwarding addresses of the prepared candidate target SNs. In this case, it is up to the MN and the source SN implementations to make sure that the EARLY STATUS TRANSFER message(s) from the source SN, if any, is forwarded to the right target destination. The Xn-U Address Indication procedure may further be invoked to indicate to the source SN to stop already initiated early data forwarding for some SN-terminated bearers if they are no longer subject to data forwarding due to the modification or cancellation of the prepared conditional SN change procedures.

NOTE 4b: For the early transmission of MN terminated split/SCG bearers, the MN forwads the PDCP PDU to the candidate SN(s).

5. The UE starts evaluating the execution conditions. If the execution conditionof one candidate PSCell is satisfied, the UE applies *RRCReconfiguration\** message corresponding to the selected candidate PSCell, and sends an MN *RRCReconfigurationComplete\** message, including an NR *RRCReconfigurationComplete*\*\* message for the selected candidate PSCell, and information enabling the MN to identify the SN of the selected candidate PSCell. In subsequent CPAC, the UE keeps configured candidate PSCell configurations and evaluates the execution conditions of other candidate PSCells for subsequent CPAC.

*Editor’s note: FFS whether to support the coexistence of legacy CPA/CPC and subsequent CPAC, i.e. there are some candidates for subsequent CPAC but others for legacy CPA/CPC.*

6a-6c. If the source SN was not configured as a candidate SN, the MN triggers the MN initiated SN Release procedure to inform the source SN to stop providing user data to the UE, and if applicable, triggers the Xn-U Address Indication procedure to inform the source SN the address of the SN of the selected candidate PSCell, to start late data forwarding. If the source SN was configured as a candidate SN, the MN informs the source SN of the CPC execution, FFS which procedure to use.

*Editor’s note: FFS. It’s up to RAN3 how to notify or release the source SN in subsequent CPAC, e.g. when the source SN is (not) configured as a candidate SN for subsequent CPAC.*

7a-7c. If the RRC connection reconfiguration procedure was successful, the MN informs the SN of the selected candidate PSCell via *SN Reconfiguration Complete* message, including the SN *RRCReconfigurationComplete\*\** message. The MN sends the *SN Release Request* message(s) to cancel CPC in the other candidate SN(s), if configured. The other candidate SN(s) acknowledges the release request.

*Editor’s note: FFS. It’s up to RAN3 how to notify the selected target SN in subsequent CPAC.*

*Editor’s note: FFS. It’s up to RAN3 whether/how to inform other candidate SN(s) in subsequent CPAC.*

8. The UE synchronizes to the PSCell indicated in the *RRCReconfiguration\** message applied in step 5.

9a-9b. If PDCP termination point is changed for bearers using RLC AM, the source SN sends the message, which the MN sends then to the SN of the selected candidate PSCell, if needed.

10. If applicable, data forwarding from the source SN takes place. It may be initiated as early as the source SN receives the early data forwarding address in step 4a.

11. The source SN sends the *Secondary RAT Data Usage Report* message to the MN and includes the data volumes delivered to and received from the UE as described in clause 10.11.2.

NOTE 5: The order the SN sends the *Secondary RAT Data Usage Report* message and performs data forwarding with MN is not defined. The SN may send the report when the transmission of the related QoS flow is stopped.

12-16. If applicable, a PDU Session path update procedure is triggered by the MN.

17. Upon reception of the *UE Context Release* message, the source SN releases radio and C-plane related resources associated to the UE context. Any ongoing data forwarding may continue.

NOTE X: In subsequent CPAC, if the execution condition of one candidate PSCell is satisfied, the UE executes steps 5-16, e.g. based on the configuration provided in step 3.

**SN initiated conditional SN Change**

The SN initiated conditional SN change procedure is used for inter-SN CPC or inter-SN subsequent CPAC configuration and inter-SN CPC or inter-SN subsequent CPAC execution.

The SN initiated conditional SN change procedure may also be initiated by the source SN, to modify the existing SN initiated inter-SN CPC or inter-SN subsequent CPAC configuration, or to trigger the release of the candidate SN by cancellation of all the prepared PSCells at the candidate SN and releasing the CPC or subsequent CPAC related UE context at the candidate SN.

NOTE 5a0: To modify or release an existing intra-SN CPC or intra-SN subsequent CPAC configuration, the source SN triggers an SN initiated Conditional SN Modification (with or without SRB3) without MN involvement, as specified in 10.3.

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**Figure 10.5.2-4: Conditional SN change procedure - SN initiated**

*Editor’s note: FFS whether to have a separate signaling flow for subsequent CPAC procedure, depending on further progress from RAN2 and RAN3.*

Figure 10.5.2-4 shows an example signalling flow for the conditional SN Change initiated by the SN:

1. The source SN initiates the conditional SN change procedure by sending the *SN Change Required* message, which contains a CPC initiation indication or a subsequent CPAC initiation indication. The message also contains candidate node ID(s) and may include the SCG configuration (to support delta configuration), and contains the measurements results which may include cells that are not CPC candidates. The message also includes a list of proposed PSCell candidates recommended by the source SN, including execution conditions, the upper limit for the number of PSCells that can be prepared by each candidate SN, and may also include the SCG measurement configurations for CPC (e.g. measurement ID(s) to be used for CPC).

2/3. The MN requests each candidate SN(s) to allocate resources for the UE by means of the SN Addition procedure(s), indicating the request is for CPAC or subsequent CPAC, and the measurements results which may include cells that are not CPC candidates received from the source SN to the candidate SN, and indicating a list of proposed PSCell candidates received from the source SN, but not including execution conditions. If subsequent CPAC is requested, the MN may provide a reference SCG configuration for the candidate SN to generate the candidate PSCell configuration. Within the list of PSCells suggested by the source SN, the candidate SN decides the list of PSCell(s) to prepare (considering the maximum number indicated by the MN) and, for each prepared PSCell, the candidate SN decides SCG SCells and provides the new corresponding SCG radio resource configuration to the MN in an NR *RRCReconfiguration\*\** message contained in the *SgNB Addition Request Acknowledge* message. If data forwarding is needed, the candidate SN provides data forwarding addresses to the MN. The candidate SN includes the indication of full or delta RRC configuration, and the list of prepared PSCell IDs to the MN. The candidate SN can either accept or reject each of the candidate cells suggested by the source SN, i.e., it cannot configure any alternative candidates. If subsequent CPAC has been requested, the candidate SN may include an indication of that the SCG radio resource configuration is a complete or delta RRC configuration with respect to the reference SCG configuration. Besides, the candidate SN generates execution conditions for subsequent CPC.

*Editor’s note: FFS which node initially generates the reference configuration in subsequent CPAC.*

*Editor’s note: FFS how/when to generate execution conditions for subsequent CPC, e.g. when the candidate SN decides the candidate PSCells for initial CPC, or after the candidate SN knows all candidate PSCells prepared by other candidate SNs.*

3a. For SN terminated bearers using MCG resources, the MN provides Xn-U DL TNL address information in the *Xn-U Address Indication* message to the candidate SN(s).

4/5. The MN may indicate the candidate PSCells accepted by each candidate SN to the source SN via *SN Modification Request* message before it configures the UE, e.g., when not all candidate PSCells were accepted by the candidate SN(s). If the MN does not send such indication, step 4 and 5 are skipped. If requested, the source SN sends an *SN Modification Request Acknowledge* message and if needed, provides an updated measurement configurations and/or the execution conditions to the MN.

6. The MN sends to the UE an *RRCReconfiguration* message including the CPC configuration or the subsequent CPAC configuration, i.e. a list of *RRCReconfiguration\** messagesand associated execution conditions, in which each *RRCReconfiguration\** messagecontains the SCG configuration in the *RRCReconfiguration\*\** message received from the candidate SN in step 3 and possibly an MCG configuration. Besides, the *RRCReconfiguration* messagecan also include an updated MCG configuration, as well as the NR *RRCReconfiguration\*\**\* message generated by the source SN, e.g., to configure the required conditional measurements. In subsequent CPAC, the *RRCReconfiguration* message may also include a reference SCG configuration.

*Editor’s note: FFS if the reference configuration is optional in subsequent CPAC. FFS whether MCG configuration is included in the reference configuration.*

*Editor’s note: FFS whether the MCG configuration associated with the SCG configuration of a candidate PSCell is included in subsequent CPAC configuration.*

7. The UE applies the *RRCReconfiguration* message received in step 6, stores the CPC configuration or the subsequent CPAC configurationand replies to the MN with an *RRCReconfigurationComplete* message, which can include an NR *RRCReconfigurationComplete\*\*\** message. In case the UE is unable to comply with (part of) the configuration included in the *RRCReconfiguration* message, it performs the reconfiguration failure procedure.

8. If an SN RRC response message is included, the MN informs the source SN with the SN *RRCReconfigurationComplete\*\*\** message via *SN Change Confirm* message. If step 4 and 5 are skipped, the MN will indicate the candidate PSCells accepted by each candidate SN to the source SN in the *SN Change Confirm* message.

The MN sends the *SN Change Confirm* message towards the source SN to indicate that CPC or subsequent CPAC is prepared, and in such case the source SN continues providing user data to the UE. If early data forwarding is applied, the MN informs the source SN the data forwarding addresses as received from the candidate SN(s), the source SN, if applicable, together with the Early Status Transfer procedure, starts early data forwarding. The PDCP SDU forwarding may take place during early data forwarding. In case multiple candidate SNs are prepared, the MN includes a list of Target SN ID and list of data forwarding addresses to the source SN.

NOTE 5a: The Xn-U Address Indication procedure may further be invoked to indicate to the source SN to stop already initiated early data forwarding for some PDCP SDUs if they are no longer subject to data forwarding due to the modification or cancellation of the prepared conditional PSCell change.

NOTE 5b: For the early transmission of MN terminated split/SCG bearers, the MN forwads the PDCP PDU to the candidate SN(s).

9a-9d. The source SN may send the *SN Modification Required* message to trigger an update of CPC execution condition and/or corresponding SCG measurement configuration for CPC. In such case in step 9b, the MN reconfigures the UE and in step 9c the UE responds with *RRCReconfigurationComplete*, similarly as in steps 6 and 7.

10. The UE starts evaluating the execution conditions. If the execution conditionof one candidate PSCell is satisfied, the UE applies *RRCReconfiguration\** message corresponding to the selected candidate PSCell, and sends an *RRCReconfigurationComplete\** message, including an *RRCReconfigurationComplete\*\** message for the selected candidate PSCell, and information enabling the MN to identify the SN of the selected candidate PSCell. In subsequent CPAC, the UE keeps configured candidate PSCell configurations and evaluates the execution conditions of other candidate PSCells for subsequent CPAC.

*Editor’s note: FFS whether to support the coexistence of legacy CPA/CPC and subsequent CPAC, i.e. there are some candidates for subsequent CPAC but others for legacy CPA/CPC.*

11a-11c. If the source SN was not configured as a candidate SN, the MN triggers the MN initiated SN Release procedure to inform the source SN to stop providing user data to the UE, and triggers the Xn-U Address Indication procedure to inform the source SN the address of the SN of the selected candidate PSCell and if applicable, starts late data forwarding. If the source SN was configured as a candidate SN, the MN informs the source SN of the CPC execution, FFS which procedure to use.

*Editor’s note: FFS. It’s up to RAN3 how to notify or release the source SN in subsequent CPAC, e.g. when the source SN is (not) configured as a candidate SN for subsequent CPAC.*

12a-12c. If the RRC connection reconfiguration procedure was successful, the MN informs the SN of the selected candidate PSCell via *SN Reconfiguration Complete* message, including the SN *RRCReconfigurationComplete\*\** message. The MN sends the *SN Release Request* message(s) to cancel CPC in the other candidate SN(s), if configured. The other candidate SN(s) acknowledges the release request.

*Editor’s note: FFS. It’s up to RAN3 how to notify the selected target SN in subsequent CPAC.*

*Editor’s note: FFS. It’s up to RAN3 whether/how to inform other candidate SN(s) in subsequent CPAC.*

13. The UE synchronizes to the PSCell indicated in the *RRCReconfiguration\** message applied in step 10.

14. If PDCP termination point is changed for bearers using RLC AM, the source SN sends the *SN Status Transfer* message, which the MN sends then to the SN of the selected candidate PSCell, if needed.

15. If applicable, data forwarding from the source SN takes place. It may be initiated as early as the source SN receives the data forwarding address related information from the MN.

16. The source SN sends the *Secondary RAT Data Usage Report* message to the MN and includes the data volumes delivered to and received from the UE as described in clause 10.11.2.

NOTE 6: The order the SN sends the *Secondary RAT Data Usage Report* message and performs data forwarding with MN/target SN is not defined. The SN may send the report when the transmission of the related QoS flow is stopped.

17-21. If applicable, a PDU Session path update procedure is triggered by the MN.

22. Upon reception of the *UE Context Release* message, the source SN releases radio and C-plane related resources associated to the UE context. Any ongoing data forwarding may continue.

NOTE X: In subsequent CPAC, if the execution condition of one candidate PSCell is satisfied, the UE executes steps 10-21, e.g. based on the configuration provided in step 6.

*NEXT CHANGE*

10.X Subsequent Conditional PSCell Addition or Change

A Subsequent Conditional PSCell Addition or Change (subsequent CPAC) is defined as a conditional PSCell change procedure that is executed after a PSCell addition or PSCell change based on pre-configured CPA or CPC configuration of candidate PSCells without reconfiguration and re-initiation of CPC/CPA. The UE keeps configured candidate PSCell configurations and evaluates the execution conditions of candidate PSCells after a PSCell addition or a PSCell change is triggered. SN initiated intra-SN subsequent CPAC, inter-SN subsequent CPAC initiated either by MN or SN are supported.

*Editor’s note: FFS whether to support subsequent CPA, e.g. maintaining candidate PSCell configurations for subsequent CPA after SCG release.*

*Editor’s note: FFS how many subsequent conditional PSCell changes are targeted, and potential impacts.*

The following principles apply to subsequent CPAC:

- The subsequent CPAC configuration may contain a reference SCG configuration, the SCG configuration(s) of candidate PSCell(s) and execution condition(s).

*Editor’s note: FFS if the reference configuration is optional in subsequent CPAC. FFS whether MCG configuration is included in the reference configuration. FFS RRC model for the reference configuration.*

*Editor’s note: FFS whether the MCG configuration associated with the SCG configuration of a candidate PSCell is included in subsequent CPAC.*

- Each candidate PSCell configuration can be provided as delta configuration on top of a reference configuration, which is used to form a complete candidate cell configuration. The reference configuration can be managed separately, and the UE stores the reference configuration as a separate configuration. Only one reference configuration is supported.

- The network explicitly configures a conditional reconfiguration for the current serving PSCell if the network wants to use that PSCell as a candidate PSCell for subsequent CPAC.

- The network explicitly releases all conditional reconfigurations for candidate PSCells after a PCell change (at least for inter-MN).

*Editor’s note: FFS if and how to release the conditional reconfigurations in other cases, e.g. at intra-MN PCell change, SCG release, etc.*

- A candidate PSCell configuration for CPA can be used for subsequent CPC, but with different execution conditions of the candidate PSCell.

*Editor’s note: FFS how to handle the security issue in the subsequent CPC, i.e. the same sk-counter/ S-KgNB is used while connected to SN #1 before and after being connected to SN #2 [pending to SA3].*

*END OF CHANGES*