## 5.2 Data transfer

### 5.2.1 Transmit operation

At reception of a PDCP SDU from upper layers, the transmitting PDCP entity shall:

- if *discardTimerForLowImportance* is configured and PSI based SDU discard is activated, and the PDCP SDU belongs to a low importance PDU Set:

- start the *discardTimerForLowImportance* associated with this PDCP SDU;

- else:

- start the *discardTimer* associated with this PDCP SDU (if configured).

NOTE 0: Identification of PSI of a PDU Set and determination of low importance PDU Set are left up to UE implementation.

For a PDCP SDU received from upper layers, the transmitting PDCP entity shall:

- associate the COUNT value corresponding to TX\_NEXT to this PDCP SDU;

NOTE 1: Associating more than half of the PDCP SN space of contiguous PDCP SDUs with PDCP SNs, when e.g., the PDCP SDUs are discarded or transmitted without acknowledgement, may cause HFN desynchronization problem. How to prevent HFN desynchronization problem is left up to UE implementation.

- perform header compression of the PDCP SDU using ROHC as specified in the clause 5.7.4 and/or using EHC as specified in the clause 5.12.4;

- perform uplink data compression of the PDCP SDU as specified in clause 5.14.4;

- perform integrity protection, and ciphering using the TX\_NEXT as specified in the clause 5.9 and 5.8, respectively;

- set the PDCP SN of the PDCP Data PDU to TX\_NEXT modulo 2[*pdcp-SN-SizeUL*];

- increment TX\_NEXT by one;

- submit the resulting PDCP Data PDU to lower layer as specified below.

When submitting a PDCP PDU to lower layer, the transmitting PDCP entity shall:

- if the transmitting PDCP entity is associated with one SRAP entity:

- submit the PDCP PDU to the associated SRAP entity;

- else, if the transmitting PDCP entity is associated with one RLC entity:

- submit the PDCP PDU to the associated RLC entity;

- else, if the transmitting PDCP entity is associated with one or more RLC entities and, either one SRAP entity or the N3C:

- if PDCP duplication is activated for the RB:

- if the PDCP PDU is a PDCP Data PDU:

- duplicate the PDCP Data PDU and submit the PDCP Data PDU to both the primary path and secondary path, including any associated Uu RLC entities activated for PDCP duplication;

- else:

- submit the PDCP Control PDU to the primary path;

- else (i.e., PDCP duplication is deactivated for the RB):

- if the total amount of PDCP data volume, RLC data volume pending for initial transmission (as specified in TS 38.322 [5]) in the RLC entity, and data volume pending for either transmission in the N3C (if available) or mapped SL RLC entity associated with the SRAP entity, is equal to or larger than *ul-DataSplitThreshold*:

- submit the PDCP PDU to either the primary path or secondary path;

- else:

- submit the PDCP PDU to the primary path;

- else, if the transmitting PDCP entity is associated with at least two RLC entities:

- if the PDCP duplication is activated for the RB:

- if the PDCP PDU is a PDCP Data PDU:

- duplicate the PDCP Data PDU and submit the PDCP Data PDU to the associated RLC entities activated for PDCP duplication;

- else:

- submit the PDCP Control PDU to the primary RLC entity;

- else (i.e. the PDCP duplication is deactivated for the RB or the RB is a DAPS bearer):

- if the split secondary RLC entity is configured; and

- if the total amount of PDCP data volume and RLC data volume pending for initial transmission (as specified in TS 38.322 [5]) in the primary RLC entity and the split secondary RLC entity is equal to or larger than *ul-DataSplitThreshold*:

- submit the PDCP PDU to either the primary RLC entity or the split secondary RLC entity;

- else, if the transmitting PDCP entity is associated with the DAPS bearer:

- if the uplink data switching has not been requested:

- submit the PDCP PDU to the RLC entity associated with the source cell;

- else:

- if the PDCP PDU is a PDCP Data PDU:

- submit the PDCP Data PDU to the RLC entity associated with the target cell;

- else:

- if the PDCP Control PDU is associated with source cell:

- submit the PDCP Control PDU to the RLC entity associated with the source cell;

- else:

- submit the PDCP Control PDU to the RLC entity associated with the target cell;

- else:

- submit the PDCP PDU to the primary RLC entity.

NOTE 2: If the transmitting PDCP entity is associated with two RLC entities, or with one or more RLC entities and either an SRAP entity or the N3C, the UE should minimize the amount of PDCP PDUs submitted to lower layers before receiving request from lower layers and minimize the PDCP SN gap between PDCP PDUs submitted to two associated RLC entities, or to the RLC entity and either the SRAP entity or the N3C, to minimize PDCP reordering delay in the receiving PDCP entity.

### 5.2.2 Receive operation

#### 5.2.2.1 Actions when a PDCP Data PDU is received from lower layers

In this clause, following definitions are used:

- HFN(State Variable): the HFN part (i.e. the number of most significant bits equal to HFN length) of the State Variable;

- SN(State Variable): the SN part (i.e. the number of least significant bits equal to PDCP SN length) of the State Variable;

- RCVD\_SN: the PDCP SN of the received PDCP Data PDU, included in the PDU header;

- RCVD\_HFN: the HFN of the received PDCP Data PDU, calculated by the receiving PDCP entity;

- RCVD\_COUNT: the COUNT of the received PDCP Data PDU = [RCVD\_HFN, RCVD\_SN].

At reception of a PDCP Data PDU from lower layers, the receiving PDCP entity shall determine the COUNT value of the received PDCP Data PDU, i.e. RCVD\_COUNT, as follows:

- if RCVD\_SN < SN(RX\_DELIV) – Window\_Size:

- RCVD\_HFN = HFN(RX\_DELIV) + 1.

- else if RCVD\_SN >= SN(RX\_DELIV) + Window\_Size:

- RCVD\_HFN = HFN(RX\_DELIV) – 1.

- else:

- RCVD\_HFN = HFN(RX\_DELIV);

- RCVD\_COUNT = [RCVD\_HFN, RCVD\_SN].

After determining the COUNT value of the received PDCP Data PDU = RCVD\_COUNT, the receiving PDCP entity shall:

- perform deciphering and integrity verification of the PDCP Data PDU using COUNT = RCVD\_COUNT;

- if integrity verification fails:

- indicate the integrity verification failure to upper layer;

- discard the PDCP Data PDU and consider it as not received;

- if RCVD\_COUNT < RX\_DELIV; or

- if the PDCP Data PDU with COUNT = RCVD\_COUNT has been received before:

- discard the PDCP Data PDU;

If the received PDCP Data PDU with COUNT value = RCVD\_COUNT is not discarded above, the receiving PDCP entity shall:

- store the resulting PDCP SDU in the reception buffer;

- if RCVD\_COUNT >= RX\_NEXT:

- update RX\_NEXT to RCVD\_COUNT + 1.

- if *outOfOrderDelivery* is configured:

- deliver the resulting PDCP SDU to upper layers after performing header decompression using EHC.

- if RCVD\_COUNT = RX\_DELIV:

- deliver to upper layers in ascending order of the associated COUNT value after performing header decompression, if not decompressed before;

- all stored PDCP SDU(s) with consecutively associated COUNT value(s) starting from COUNT = RX\_DELIV;

- update RX\_DELIV to the COUNT value of the first PDCP SDU which has not been delivered to upper layers, with COUNT value > RX\_DELIV;

- if *t-Reordering* is running, and if RX\_DELIV >= RX\_REORD:

- stop and reset *t-Reordering*.

- if *t-Reordering* is not running (includes the case when *t-Reordering* is stopped due to actions above), and RX\_DELIV < RX\_NEXT:

- update RX\_REORD to RX\_NEXT;

- start *t-Reordering*.

#### 5.2.2.2 Actions when a *t-Reordering* expires

When *t-Reordering* expires, the receiving PDCP entity shall:

- deliver to upper layers in ascending order of the associated COUNT value after performing header decompression, if not decompressed before:

- all stored PDCP SDU(s) with associated COUNT value(s) < RX\_REORD;

- all stored PDCP SDU(s) with consecutively associated COUNT value(s) starting from RX\_REORD;

- update RX\_DELIV to the COUNT value of the first PDCP SDU which has not been delivered to upper layers, with COUNT value >= RX\_REORD;

- if RX\_DELIV < RX\_NEXT:

- update RX\_REORD to RX\_NEXT;

- start *t-Reordering*.

#### 5.2.2.3 Actions when the value of *t-Reordering* is reconfigured

When the value of the *t-Reordering* is reconfigured by upper layers while the *t-Reordering* is running, the receiving PDCP entity shall:

- update RX\_REORD to RX\_NEXT;

- stop and restart *t-Reordering*.

### 5.2.3 Sidelink transmit operation

For NR sidelink transmission of the SLRB, the UE shall follow the procedures in clause 5.2.1 with following modification:

- perform the header compression using ROHC as specified in clause 5.7.4, if SDU Type is IP;

- set the PDCP SN of the PDCP Data PDU to TX\_NEXT modulo 2[*sl-PDCP-SN-Size*];

- if the transmitting PDCP entity is associated with two RLC entities:

- consider PDCP duplication as activated;

- submit the PDCP control PDU to one of the associated RLC entities.

NOTE: How to decide to which RLC entity a PDCP control PDU is submitted is left up to UE implementation.

### 5.2.4 Sidelink receive operation

For sidelink reception of the SLRB, the UE shall follow the procedures in clause 5.2.2 with following modification:

- perform the header decompression using ROHC as specified in clause 5.7.5, if SDU Type is IP.

NOTE: For reception of sidelink SRBs except sidelink SRB3, the UE may deliver the PDCP SDU to the upper layer along with an indication whether it is PC5-S message or NR sidelink discovery message.

## 5.3 SDU discard

When the successful delivery of a PDCP SDU is confirmed by PDCP status report, the transmitting PDCP entity shall discard the PDCP SDU along with the corresponding PDCP Data PDU.

When the *discardTimer* or *discardTimerForLowImportance* expires for a PDCP SDU, the transmitting PDCP entity shall:

- if *pdu-SetDiscard* is configured:

- discard all PDCP SDUs belonging to the PDU Set to which the PDCP SDU belongs along with the corresponding PDCP Data PDUs;

NOTE 1: PDCP SDUs subsequently received from upper layers are also discarded if they belong to the PDU Set.

- else:

- discard the PDCP SDU along with the corresponding PDCP Data PDU.

If the corresponding PDCP Data PDU has already been submitted to lower layers, the discard is indicated to lower layers.

For SRBs, when upper layers request a PDCP SDU discard, the PDCP entity shall discard all stored PDCP SDUs and PDCP PDUs.

NOTE 2: Discarding a PDCP SDU already associated with a PDCP SN causes a SN gap in the transmitted PDCP Data PDUs, which increases PDCP reordering delay in the receiving PDCP entity. It is up to UE implementation how to minimize SN gap after SDU discard.

## 5.4 Status reporting

### 5.4.1 Transmit operation

For AM DRBs configured by upper layers to send a PDCP status report in the uplink (*statusReportRequired* in TS 38.331 [3]), the receiving PDCP entity shall trigger a PDCP status report when:

- upper layer requests a PDCP entity re-establishment;

- upper layer requests a PDCP data recovery;

- upper layer requests a uplink data switching;

- upper layer reconfigures the PDCP entity to release DAPS and *daps-SourceRelease* is configured in TS 38.331 [3].

For UM DRBs configured by upper layers to send a PDCP status report in the uplink (*statusReportRequired* in TS 38.331 [3]), the receiving PDCP entity shall trigger a PDCP status report when:

- upper layer requests a uplink data switching.

For AM DRBs in the sidelink, the receiving PDCP entity shall trigger a PDCP status report when:

- upper layer requests a PDCP entity re-establishment.

For AM MRBs configured by upper layers to send a PDCP status report in the uplink (*statusReportRequired* in TS 38.331 [3]), the receiving PDCP entity shall trigger a PDCP status report when:

- upper layer requests a PDCP entity re-establishment;

- upper layer requests a PDCP data recovery.

If a PDCP status report is triggered, the receiving PDCP entity shall:

- compile a PDCP status report as indicated below by:

- setting the FMC field to RX\_DELIV;

- if RX\_DELIV < RX\_NEXT:

- allocating a Bitmap field of length in bits equal to the number of COUNTs from and not including the first missing PDCP SDU up to and including the last out-of-sequence PDCP SDUs, rounded up to the next multiple of 8, or up to and including a PDCP SDU for which the resulting PDCP Control PDU size is equal to 9000 bytes, whichever comes first;

- setting in the bitmap field as '0' for all PDCP SDUs that have not been received, and optionally PDCP SDUs for which decompression have failed;

- setting in the bitmap field as '1' for all PDCP SDUs that have been received;

- submit the PDCP status report to lower layers as the first PDCP PDU for transmission via the transmitting PDCP entity as specified in clause 5.2.1 for Uu interface and in clause 5.2.3 for PC5 interface.

### 5.4.2 Receive operation

For AM DRBs, when a PDCP status report is received in the downlink or in the sidelink, the transmitting PDCP entity shall:

- consider for each PDCP SDU, if any, with the bit in the bitmap set to '1', or with the associated COUNT value less than the value of FMC field as successfully delivered, and discard the PDCP SDU as specified in clause 5.3.

## 5.5 Data recovery

For AM DRBs, when upper layers request a PDCP data recovery for a radio bearer, the transmitting PDCP entity shall:

- perform retransmission of all the PDCP Data PDUs previously submitted to re-established or released AM RLC entities in ascending order of the associated COUNT values for which the successful delivery has not been confirmed by lower layers, following the data submission procedure in clause 5.2.1.

After performing the above procedures, the transmitting PDCP entity shall follow the procedures in clause 5.2.1.

## 5.6 Data volume calculation

For the purpose of MAC buffer status reporting, the transmitting PDCP entity shall consider the following as PDCP data volume:

- the PDCP SDUs for which no PDCP Data PDUs have been constructed;

- the PDCP Data PDUs that have not been submitted to lower layers;

- the PDCP Control PDUs;

- for AM DRBs, the PDCP SDUs to be retransmitted according to clause 5.1.2 and clause 5.13;

- for AM DRBs, the PDCP Data PDUs to be retransmitted according to clause 5.5.

If the transmitting PDCP entity is associated with at least two RLC entities, or with an RLC entity and either an SRAP entity or the N3C, when indicating the PDCP data volume to a MAC entity for BSR triggering and Buffer Size calculation (as specified in TS 38.321 [4] and TS 36.321 [12]), the transmitting PDCP entity shall:

- if the PDCP duplication is activated for the RB:

- indicate the PDCP data volume to the MAC entity associated with the primary RLC entity or primary path;

- indicate the PDCP data volume excluding the PDCP Control PDU to the MAC entity associated with the RLC entity other than the primary RLC entity or primary path activated for PDCP duplication;

- indicate the PDCP data volume as 0 to the MAC entity associated with RLC entity deactivated for PDCP duplication;

- else (i.e. the PDCP duplication is deactivated for the RB or the RB is a DAPS bearer):

- if the split secondary RLC entity is configured; and

- if the total amount of PDCP data volume and RLC data volume pending for initial transmission (as specified in TS 38.322 [5]) in the primary RLC entity and the split secondary RLC entity is equal to or larger than *ul-DataSplitThreshold*:

- indicate the PDCP data volume to both the MAC entity associated with the primary RLC entity and the MAC entity associated with the split secondary RLC entity;

- indicate the PDCP data volume as 0 to the MAC entity associated with RLC entity other than the primary RLC entity and the split secondary RLC entity;

- else, if the total amount of PDCP data volume, RLC data volume pending for initial transmission (as specified in TS 38.322 [5]) in the RLC entity, and data volume pending for either transmission in the N3C (if available), or mapped SL RLC entity associated with the SRAP entity, is equal to or larger than *ul-DataSplitThreshold*:

- indicate the PDCP data volume to the MAC entity;

- else, if the transmitting PDCP entity is associated with the DAPS bearer:

- if the uplink data switching has not been requested:

- indicate the PDCP data volume to the MAC entity associated with the source cell;

- else:

- indicate the PDCP data volume excluding the PDCP Control PDU for interspersed ROHC feedback associated with the source cell to the MAC entity associated with the target cell;

- indicate the PDCP data volume of PDCP Control PDU for interspersed ROHC feedback associated with the source cell to the MAC entity associated with the source cell;

- else:

- indicate the PDCP data volume to the MAC entity associated with the primary RLC entity or primary path;

- indicate the PDCP data volume as 0 to the MAC entity associated with the RLC entity other than the primary RLC entity or primary path.

## 5.7 Robust header compression and decompression

### 5.7.1 Supported header compression protocols and profiles

The ROHC protocol is based on the Robust Header Compression (ROHC) framework defined in RFC 5795 [7]. There are multiple ROHC algorithms, called profiles, defined for the ROHC framework. Each profile is specific to the particular network layer, transport layer or upper layer protocol combination e.g. TCP/IP and RTP/UDP/IP.

The detailed definition of the ROHC channel is specified as part of the ROHC framework defined in RFC 5795 [7]. This includes how to multiplex different flows (header compressed or not) over the ROHC channel, as well as how to associate a specific IP flow with a specific context state during initialization of the compression algorithm for that flow.

The implementation of the functionality of the ROHC framework and of the functionality of the supported header compression profiles is not covered in this specification.

In this version of the specification the support of the following profiles is described:

Table 5.7.1-1: Supported ROHC protocols and profiles

|  |  |  |
| --- | --- | --- |
| Profile Identifier | Usage | Reference |
| 0x0000 | No compression | RFC 5795 |
| 0x0001 | RTP/UDP/IP | RFC 3095, RFC 4815 |
| 0x0002 | UDP/IP | RFC 3095, RFC 4815 |
| 0x0003 | ESP/IP | RFC 3095, RFC 4815 |
| 0x0004 | IP | RFC 3843, RFC 4815 |
| 0x0006 | TCP/IP | RFC 6846 |
| 0x0101 | RTP/UDP/IP | RFC 5225 |
| 0x0102 | UDP/IP | RFC 5225 |
| 0x0103 | ESP/IP | RFC 5225 |
| 0x0104 | IP | RFC 5225 |

### 5.7.2 Configuration of ROHC

PDCP entities associated with DRBs and MRBs can be configured by upper layers TS 38.331 [3] to use ROHC. Each PDCP entity carrying user plane data may be configured to use ROHC. PDCP entities associated with sidelink DRBs can be configured to use ROHC for IP SDUs. For DRBs and MRBs other than DAPS bearers, the PDCP entity uses at most one ROHC compressor instance and at most one ROHC decompressor instance. For DAPS bearers, the PDCP entity uses at most one ROHC compressor instance (i.e. use the ROHC compressor instance for source cell before uplink data switching, and use the ROHC compressor instance for target cell after uplink data switching) and at most two ROHC decompressor instances.

### 5.7.3 Protocol parameters

RFC 5795 [7] has configuration parameters that are mandatory and that must be configured by upper layers between compressor and decompressor peers ; these parameters define the ROHC channel. The ROHC channel is a unidirectional channel, i.e. if *rohc* is configured there is one channel for the downlink and one for the uplink, and if *uplinkOnlyROHC* is configured there is only one channel for the uplink. There is thus one set of parameters for each channel, and if *rohc* is configured the same values shall be used for both channels belonging to the same PDCP entity.

These parameters are categorized in two different groups, as defined below:

- M: Mandatory and configured by upper layers;

- N/A: Not used in this specification.

The usage and definition of the parameters shall be as specified below.

- MAX\_CID (M): This is the maximum CID value that can be used. One CID value shall always be reserved for uncompressed flows. The parameter MAX\_CID is configured by upper layers (*maxCID* in TS 38.331 [3]);

- LARGE\_CIDS: This value is not configured by upper layers, but rather it is inferred from the configured value of MAX\_CID according to the following rule:

- If MAX\_CID > 15 then LARGE\_CIDS = TRUE else LARGE\_CIDS = FALSE;

- PROFILES (M): Profiles are used to define which profiles are allowed to be used by the UE. The list of supported profiles is described in clause 5.7.1. The parameter PROFILES is configured by upper layers (*profiles* for uplink and downlink, *sl-RoHC-Profiles* in *SidelinkPreconfigNR* for sidelink in TS 38.331 [3]);

- FEEDBACK\_FOR (N/A): This is a reference to the channel in the opposite direction between two compression endpoints and indicates to what channel any feedback sent refers to. Feedback received on one ROHC channel for this PDCP entity shall always refer to the ROHC channel in the opposite direction for this same PDCP entity;

- MRRU (N/A): ROHC segmentation is not used.

### 5.7.4 Header compression using ROHC

If ROHC is configured, the ROHC protocol generates two types of output packets:

- ROHC compressed packets, each associated with one PDCP SDU;

- standalone packets not associated with a PDCP SDU, i.e. interspersed ROHC feedback.

A ROHC compressed packet is associated with the same PDCP SN and COUNT value as the related PDCP SDU. The header compression is not applicable to the SDAP header and the SDAP Control PDU if included in the PDCP SDU.

For DAPS bearers, the PDCP entity shall perform the header compression for the PDCP SDU using the ROHC protocol either configured for the source cell or configured for the target cell, based on to which cell the PDCP SDU is transmitted.

Interspersed ROHC feedback are not associated with a PDCP SDU. They are not associated with a PDCP SN and are not ciphered.

NOTE 1: If the MAX\_CID number of ROHC contexts are already established for the compressed flows and a new IP flow does not match any established ROHC context, the compressor should associate the new IP flow with one of the ROHC CIDs allocated for the existing compressed flows or send PDCP SDUs belonging to the IP flow as uncompressed packet.

NOTE 2: For downlink, the ROHC protocol of the target cell should maintain the IR state if operating in U-mode and O-mode during DAPS handover before release of source cell.

### 5.7.5 Header decompression using ROHC

If ROHC is configured by upper layers for PDCP entities associated with user plane data, the PDCP Data PDUs are decompressed by the ROHC protocol after performing deciphering as explained in clause 5.8. The header decompression is not applicable to the SDAP header and the SDAP Control PDU if included in the PDCP Data PDU.

For DAPS bearers, the PDCP entity shall perform the header decompression for the PDCP SDU using the ROHC protocol either configured for the source cell or configured for the target cell, based on from which cell the PDCP SDU is received.

### 5.7.6 PDCP Control PDU for interspersed ROHC feedback

#### 5.7.6.1 Transmit Operation

When an interspersed ROHC feedback is generated by the ROHC protocol, the transmitting PDCP entity shall:

- submit to lower layers the corresponding PDCP Control PDU as specified in clause 6.2.3.2 i.e. without associating a PDCP SN, nor performing ciphering, as specified in clause 5.2.1.

#### 5.7.6.2 Receive Operation

At reception of a PDCP Control PDU for interspersed ROHC feedback from lower layers, the receiving PDCP entity shall:

- deliver the corresponding interspersed ROHC feedback to the associated ROHC protocol without performing deciphering.

## 5.8 Ciphering and deciphering

The ciphering function includes both ciphering and deciphering and is performed in PDCP, if configured. The data unit that is ciphered is the MAC-I (see clause 6.3.4) and the data part of the PDCP Data PDU (see clause 6.3.3) except the SDAP header and the SDAP Control PDU if included in the PDCP SDU. The ciphering is not applicable to PDCP Control PDUs.

For downlink and uplink, the ciphering algorithm and key to be used by the PDCP entity are configured by upper layers TS 38.331 [3] and the ciphering method shall be applied as specified in TS 33.501 [6].

The ciphering function is activated/suspended/resumed by upper layers TS 38.331 [3]. When security is activated and not suspended, the ciphering function shall be applied to all PDCP Data PDUs indicated by upper layers TS 38.331 [3] for the downlink and the uplink, respectively.

For DAPS bearers, the PDCP entity shall perform the ciphering or deciphering for the PDCP SDU using the ciphering algorithm and key either configured for the source cell or configured for the target cell, based on to/from which cell the PDCP SDU is transmitted/received.

For downlink and uplink ciphering and deciphering, the parameters that are required by PDCP for ciphering are defined in TS 33.501 [6] and are input to the ciphering algorithm. The required inputs to the ciphering function include the COUNT value, and DIRECTION (direction of the transmission: set as specified in TS 33.501 [6]). The parameters required by PDCP which are provided by upper layers TS 38.331 [3] are listed below:

- BEARER (defined as the radio bearer identifier in TS 33.501 [6]. It will use the value RB identity –1 as in TS 38.331 [3]);

- KEY (the ciphering keys for the control plane and for the user plane are KRRCenc and KUPenc, respectively).

For NR sidelink communication, the ciphering algorithm and key to be used by the PDCP entity are configured by upper layers as specified in TS 24.587 [16] and the ciphering method shall be applied as specified in TS 33.536 [14].

For NR sidelink communication, the ciphering function is activated for sidelink SRBs (except for SL-SRB0) and/or sidelink DRBs for a PC5 unicast ‎link by upper layers, as specified in TS 38.331 [3]. When security is activated for sidelink SRBs, the ciphering function ‎shall be applied to all PDCP Data PDUs (except for carrying Direct Security Mode Command message as specified in TS 33.536 [14]) for the sidelink SRBs which belong to ‎the PC5 unicast link.‎ When security is activated for sidelink DRBs, the ciphering function ‎shall be applied to all PDCP Data PDUs for the sidelink DRBs which belong to ‎the PC5 unicast link.‎

For NR sidelink communication, the ciphering and deciphering function as specified in TS 33.536 [14] is applied with KEY (NRPEK), COUNT, BEARER (LSB 5 bits of LCID with values 1 to 19 associated with the PDCP entity, as specified in TS 38.321 [4]) and DIRECTION (which value shall be set is specified in TS 33.536 [14]) as input.

The ciphering and deciphering are not applied to MRBs and sidelink SRB4.

## 5.9 Integrity protection and verification

The integrity protection function includes both integrity protection and integrity verification and is performed in PDCP, if configured. The data unit that is integrity protected is the PDU header and the data part of the PDU before ciphering. The integrity protection is always applied to PDCP Data PDUs of SRBs. The integrity protection is applied to sidelink SRB1, SRB2 and SRB3. The integrity protection is applied to PDCP Data PDUs of DRBs (including sidelink DRBs for unicast) for which integrity protection is configured. The integrity protection is not applicable to PDCP Control PDUs.

For downlink and uplink, the integrity protection algorithm and key to be used by the PDCP entity are configured by upper layers TS 38.331 [3] and the integrity protection method shall be applied as specified in TS 33.501 [6] for NR and in TS 33.401 [17] for E-UTRA/EPC.

The integrity protection function is activated/suspended/resumed by upper layers TS 38.331 [3]. When security is activated and not suspended, the integrity protection function shall be applied to all PDUs including and subsequent to the PDU indicated by upper layers TS 38.331 [3] for the downlink and the uplink, respectively.

NOTE 1: As the RRC message which activates the integrity protection function is itself integrity protected with the configuration included in this RRC message, this message needs first be decoded by RRC before the integrity protection verification could be performed for the PDU in which the message was received.

NOTE 2: As the PC5-S message which activates the integrity protection function is itself integrity protected with the configuration included in this PC5-S message, this message needs first be decoded by upper layer before the integrity protection verification could be performed for the PDU in which the message was received.

For DAPS bearers, the PDCP entity shall perform the integrity protection or verification for the PDCP SDU using the integrity protection algorithm and key either configured for the source cell or configured for the target cell, based on to/from which cell the PDCP SDU is transmitted/received.

For downlink and uplink integrity protection and verification, the parameters that are required by PDCP for integrity protection are defined in TS 33.501 [6] or TS 33.401 [17] and are input to the integrity protection algorithm. The required inputs to the integrity protection function include the COUNT value, and DIRECTION (direction of the transmission: set as specified in TS 33.501 [6]) or TS 33.401 [17]. The parameters required by PDCP which are provided by upper layers TS 38.331 [3] are listed below:

- BEARER (defined as the radio bearer identifier in TS 33.501 [6] or TS 33.401 [17]. It will use the value RB identity –1 as in TS 38.331 [3]);

- KEY (the integrity protection keys for the control plane and for the user plane are KRRCint and KUPint, respectively).

For NR sidelink communication, the integrity protection algorithm and key to be used by the PDCP entity are configured by upper layers TS 24.587 [16] and the integrity protection method shall be applied as specified in TS 33.536 [14].

For NR sidelink communication, the integrity protection function is activated for sidelink SRBs and/or sidelink DRBs for a PC5 unicast link ‎by upper layers, as specified in TS 38.331 [3]. When security is activated for sidelink SRBs, the integrity protection ‎function shall be applied to all PDUs including and subsequent to the PDU for the ‎sidelink SRBs which belong to the PC5 unicast link.‎ When security is activated for sidelink DRBs, the integrity protection ‎function shall be applied to all PDUs including and subsequent to the PDU for the ‎sidelink DRBs which belong to the PC5 unicast link.‎

For the SLRB that needs integrity protection and verification, the parameters that are required by PDCP for integrity protection are defined in TS 33.536 [14] and are input to the integrity protection algorithm. The required inputs to the integrity protection function include the KEY (NRPIK), COUNT, BEARER (LSB 5 bits of LCID with values 1 to 19 associated with the PDCP entity, as specified in TS 38.321 [4]) and DIRECTION (which value shall be set is specified in TS 33.536 [14]).

At transmission, the UE computes the value of the MAC-I field and at reception it verifies the integrity of the PDCP Data PDU by calculating the X-MAC based on the input parameters as specified above. If the calculated X-MAC corresponds to the received MAC-I, integrity protection is verified successfully.

The integrity protection and verification are not applied to MRBs and sidelink SRB4.

## 5.10 Handling of unknown, unforeseen, and erroneous protocol data

When a PDCP PDU that contains reserved or invalid values is received, the receiving PDCP entity shall:

- discard the received PDU.

NOTE: For NR sidelink communication for unicast, the invalid values include the invalid value of KNRP-sess ID.

## 5.11 PDCP duplication

### 5.11.1 Activation/Deactivation of PDCP duplication

For the PDCP entity configured with *pdcp-Duplication*, the transmitting PDCP entity shall:

- for SRBs:

- activate the PDCP duplication;

- for DRBs:

- if the activation of PDCP duplication is indicated for the DRB:

- activate the PDCP duplication for the DRB;

- if the activation of PDCP duplication is indicated for at least one associated RLC entities:

- activate the PDCP duplication for the indicated associated RLC entities;

- activate the PDCP duplication for the DRB;

- if the deactivation of PDCP duplication is indicated for the DRB:

- deactivate the PDCP duplication for the DRB;

- if the deactivation of PDCP duplication is indicated for at least one associated RLC entities:

- deactivate the PDCP duplication for the indicated associated RLC entities;

- if all associated RLC entities other than the primary RLC entity are deactivated for PDCP duplication:

- deactivate the PDCP duplication for the DRB.

### 5.11.2 Duplicate PDU discard

For the PDCP entity configured with *pdcp-Duplication* or for the PDCP entity associated with two RLC entities for an SLRB, the transmitting PDCP entity shall:

- if the successful delivery of a PDCP Data PDU is confirmed by one of the associated AM RLC entities and the AM RLC entity is not associated with an SRAP entity:

- indicate to the other AM RLC entities to discard the duplicated PDCP Data PDU;

- if the deactivation of PDCP duplication is indicated for the DRB:

- indicate to the RLC entities other than the primary RLC entity to discard all duplicated PDCP Data PDUs;

- if the deactivation of PDCP duplication is indicated for at least one associated RLC entities:

- indicate to the RLC entities deactivated for PDCP duplication to discard all duplicated PDCP Data PDUs.

## 5.12 Ethernet header compression and decompression

### 5.12.1 Supported header compression protocols

The EHC protocol is based on the Ethernet Header Compression (EHC) framework defined in Annex A.

### 5.12.2 Configuration of EHC

PDCP entities associated with DRBs and MRBs can be configured by upper layers TS 38.331 [3] to use EHC. Each PDCP entity carrying user plane data may be configured to use EHC. Every PDCP entity uses at most one EHC compressor instance and at most one EHC decompressor instance.

### 5.12.3 Protocol parameters

The usage and definition of the parameters shall be as specified below.

- MAX\_CID\_EHC\_UL: This is the maximum CID value that can be used for uplink. One CID value shall always be reserved for uncompressed flows. The parameter MAX\_CID\_EHC\_UL is configured by upper layers (*maxCID-EHC-UL* in TS 38.331 [3]);

### 5.12.4 Header compression using EHC

If EHC is configured, the EHC protocol generates two types of output packets:

- EHC compressed packets (i.e. EHC full header packets and EHC compressed header packets), each associated with one PDCP SDU;

- standalone packets not associated with a PDCP SDU, i.e. EHC feedback.

An EHC compressed packet is associated with the same PDCP SN and COUNT value as the related PDCP SDU. The header compression is not applicable to the SDAP header and the SDAP Control PDU if included in the PDCP SDU.

EHC feedback are not associated with a PDCP SDU. They are not associated with a PDCP SN and are not ciphered/integrity protected.

### 5.12.5 Header decompression using EHC

If EHC is configured by upper layers for PDCP entities associated with user plane data, the PDCP Data PDUs are decompressed by the EHC protocol after performing deciphering and integrity verification as explained in clause 5.8 and 5.9, respectively. The header decompression is not applicable to the SDAP header and the SDAP Control PDU if included in the PDCP Data PDU.

### 5.12.6 PDCP Control PDU for EHC feedback

#### 5.12.6.1 Transmit Operation

When an EHC feedback is generated by the EHC protocol, the transmitting PDCP entity shall:

- submit to lower layers the corresponding PDCP Control PDU as specified in clause 6.2.3.3 i.e. without associating a PDCP SN, nor performing ciphering/integrity protection.

#### 5.12.6.2 Receive Operation

At reception of a PDCP Control PDU for EHC feedback from lower layers, the receiving PDCP entity shall:

- deliver the corresponding EHC feedback to the EHC protocol without performing deciphering/integrity verification.

### 5.12.7 Simultaneous configuration of ROHC and EHC

If both ROHC and EHC are configured for a DRB/MRB, the ROHC header shall be located after the EHC header. Figure 5.12.7-1 shows the location of the ROHC header and the EHC header in a PDCP Data PDU.



Figure 5.12.7-1: Location of ROHC header and EHC header in a PDCP Data PDU

If a PDCP SDU including non-IP Ethernet packet is received from upper layers, the EHC compressor shall bypass the ROHC compressor and submit the EHC compressed non-IP Ethernet packet to lower layers according to clause 5.2.1.

If a PDCP Data PDU including non-IP Ethernet packet is received from lower layers, the EHC decompressor shall bypass the ROHC decompressor and deliver the EHC decompressed non-IP Ethernet packet to upper layers according to clause 5.2.2.

## 5.13 Uplink data switching

For DAPS bearers, when upper layers request uplink data switching, the transmitting PDCP entity shall:

- for AM DRBs, from the first PDCP SDU for which the successful delivery of the corresponding PDCP Data PDU has not been confirmed by the RLC entity associated with the source cell, perform retransmission or transmission of all the PDCP SDUs already associated with PDCP SNs in ascending order of the COUNT values associated to the PDCP SDU prior to uplink data switching to the RLC entity associated with the target cell as specified below:

- perform header compression of the PDCP SDU using ROHC as specified in the clause 5.7.4;

- perform integrity protection and ciphering of the PDCP SDU using the COUNT value associated with this PDCP SDU as specified in the clause 5.9 and 5.8, respectively;

- submit the resulting PDCP Data PDU to lower layer, as specified in clause 5.2.1.

- for UM DRBs, for all PDCP SDUs which have been processed by PDCP but which have not yet been submitted to lower layers, perform transmission of the PDCP SDUs in ascending order of the COUNT values to the RLC entity associated with the target cell as specified below:

- perform header compression of the PDCP SDU using ROHC as specified in the clause 5.7.4;

- perform integrity protection and ciphering of the PDCP SDU using the COUNT value associated with this PDCP SDU as specified in the clause 5.9 and 5.8, respectively;

- submit the resulting PDCP Data PDU to lower layer, as specified in clause 5.2.1.

## 5.14 Uplink Data compression and decompression

### 5.14.1 UDC protocol

The UDC protocol is based on IETF RFC 1951 (DEFLATE Compressed Data Format Specification) [19].

Static Huffman coding tree defined in [19] is used as the DEFLATE compression strategy.

UDC Data Block should be byte-alignment. Z\_SYNC\_FLUSH is used as the DEFLATE byte-alignment with corresponding reference [21], wherein the fixed last four bytes, 0x00 0x00 0xFF 0xFF, are removed before transmission.

### 5.14.2 Configuration of UDC

The PDCP entities associated with DRBs can be configured by upper layers, see TS 38.331 [3], to use UDC. If UDC is configured, the UE shall apply UDC compression function (details see Annex B) to process the received PDCP SDU from upper layers corresponding to the configured DRB. The size of compression buffer is configured by upper layers via *bufferSize*. If pre-defined dictionary is configured by upper layers, the UE shall first set the compression buffer to all zeros and then prefill the configured pre-defined dictionary in the compression buffer upon configuration of UDC. If pre-defined dictionary is not configured by upper layers, UE shall set the compression buffer to all zeros.

### 5.14.3 UDC header

UDC header (1 byte) is added in UDC compression function followed by UDC data block. The UDC header contains the information about whether the current PDCP SDU is compressed by UDC protocol or not. Only the compressed packets are stored in the buffer. The UDC header also contains a reset bit to inform the decompressor that the compression buffer has been reset. The validation bits (checksum) of the compression buffer are also contained in UDC header. Checksum mechanism could be used to resolve miss-match (if any) between the compression and de-compression buffers. If both SDAP and UDC are configured for a DRB, the UDC header shall be located after the SDAP header. Figure 5.14.3-1 shows the location of the UDC header in a PDCP data PDU.



Figure 5.14.3-1: Location of UDC header in a PDCP Data PDU

### 5.14.4 Uplink data compression

The UDC protocol generates UDC packets, each associated with one PDCP SDU.

A UDC packet is associated with the same PDCP SN and COUNT values as the related PDCP SDU. The uplink data compression is not applicable to the SDAP header and the SDAP Control PDU if included in the PDCP Data PDU.

### 5.14.5 PDCP Control PDU for UDC feedback

At reception of a PDCP Control PDU for UDC feedback from lower layers, the receiving PDCP entity shall:

- deliver the corresponding UDC feedback to the UDC protocol without performing deciphering/integrity verification.

### 5.14.6 Pre-defined dictionary

One standard dictionary for SIP and SDP and one operator defined dictionary can be used as pre-defined dictionaries in UDC. The standard dictionary for SIP and SDP consists of the first 3468 bytes of the dictionary for SigComp defined in RFC 3485 [20]. When UDC is configured, at most one dictionary, configured by upper layers, is put into the tail of the compression buffer. Also, the compression buffer acts as a FIFO and hence the content of the dictionary is to be totally pushed out of the compression buffer after the size of transmitted uncompressed packets compressed by UDC exceeds the compression buffer size. If the size of dictionary is larger than the compression buffer size, only the tail of the dictionary is inserted in the compression buffer.

### 5.14.7 UDC buffer reset procedure

UDC works on the condition that compression buffer and de-compression buffer are synchronized. UDC buffer reset mechanism is to resynchronize buffer when error is detected. For resynchronization, UE shall reset the compression buffer to all zeros.

### 5.14.8 UDC checksum error handling

UDC checksum error notification PDCP control PDU indicates the compression buffer and de-compression buffer are out of synchronization. When receiving the notification, the UE shall trigger UDC buffer reset procedure to resynchonize the compression buffer.

## 5.15 Data volume calculation for delay status reporting

For the purpose of MAC delay status reporting, the transmitting PDCP entity shall consider the following as delay-critical PDCP data volume:

- the delay-critical PDCP SDUs for which no PDCP Data PDUs have been constructed;

- the PDCP Data PDUs that contain the delay-critical PDCP SDUs and have not been submitted to lower layers;

- the PDCP Control PDUs;

- for AM DRBs, the PDCP SDUs to be retransmitted according to clause 5.1.2 and clause 5.13;

- for AM DRBs, the PDCP Data PDUs to be retransmitted according to clause 5.5.

If a PDCP SDU becomes a delay-critical PDCP SDU, and if the corresponding PDCP Data PDU has already been submitted to lower layers, the delay-critical indication for the PDCP Data PDU is provided to lower layers.

## 5.X Header-only PDCP Data PDU

### 5.X.1 Transmit Operation

For AM DRBs and UM DRBs configured by upper layers to send a PDCP SN gap report in the uplink (*sn-GapReport* in TS 38.331 [3]), the transmitting PDCP entity shall:

- if the PDCP SDU(s) are already associated with a COUNT value; and

- if the PDCP SDU(s) are discarded as specified in clause 5.3; and

- if there is at least one stored PDCP SDU which is associated with a COUNT value larger than the COUNT value of the to be discarded PDCP SDU; and

- if the PDCP SDU has not been transmitted by lower layers:

- replace the corresponding PDCP Data PDU by the header-only PDCP Data PDU by removing the Data field and MAC-I field from the corresponding PDCP Data PDU.

### 5.X.2 Receive Operation

For UM DRBs and AM DRBs, when a header-only PDCP Data PDU is received, the receiving PDCP entity shall:

- perform the actions in clause 5.2.2.1 considering the received PDCP Data PDU as received without applying header decompression, integrity verification and deciphering, storing in reception buffer, and delivery to upper layer.

# 6 Protocol data units, formats, and parameters

## 6.1 Protocol data units

### 6.1.1 Data PDU

The PDCP Data PDU is used to convey one or more of followings in addition to the PDU header:

- user plane data;

- control plane data;

- a MAC-I.

### 6.1.2 Control PDU

The PDCP Control PDU is used to convey one of followings in addition to the PDU header:

- a PDCP status report;

- an interspersed ROHC feedback;

- an EHC feedback;

- a UDC feedback.

## 6.2 Formats

### 6.2.1 General

A PDCP PDU is a bit string that is byte aligned (i.e. multiple of 8 bits) in length. In the figures in clause 6.2, bit strings are represented by tables in which the most significant bit is the leftmost bit of the first line of the table, the least significant bit is the rightmost bit on the last line of the table, and more generally the bit string is to be read from left to right and then in the reading order of the lines. The bit order of each parameter field within a PDCP PDU is represented with the first and most significant bit in the leftmost bit and the last and least significant bit in the rightmost bit.

PDCP SDUs are bit strings that are byte aligned (i.e. multiple of 8 bits) in length. A compressed or uncompressed SDU is included into a PDCP Data PDU from the first bit onward.

### 6.2.2 Data PDU

#### 6.2.2.1 Data PDU for SRBs

Figure 6.2.2.1-1 shows the format of the PDCP Data PDU with 12 bits PDCP SN. This format is applicable for SRBs.



Figure 6.2.2.1-1: PDCP Data PDU format for SRBs

#### 6.2.2.2 Data PDU for DRBs and MRBs with 12 bits PDCP SN

Figure 6.2.2.2-1 shows the format of the PDCP Data PDU with 12 bits PDCP SN. This format is applicable for UM DRBs, AM DRBs, UM MRBs and AM MRBs. For the header-only PDCP data PDU, the Data and MAC-I parts are not applicable.



Figure 6.2.2.2-1: PDCP Data PDU format with 12 bits PDCP SN

#### 6.2.2.3 Data PDU for DRBs and MRBs with 18 bits PDCP SN

Figure 6.2.2.3-1 shows the format of the PDCP Data PDU with 18 bits PDCP SN. This format is applicable for UM DRBs, AM DRBs, UM MRBs and AM MRBs. For the header-only PDCP data PDU, the Data and MAC-I parts are not applicable.



Figure 6.2.2.3-1: PDCP Data PDU format for DRBs with 18 bits PDCP SN

#### 6.2.2.4 Data PDU for sidelink DRBs for groupcast and broadcast, for the sidelink SRB0‎ and for the sidelink SRB4

Figure 6.2.2.4-1 shows the format of the PDCP Data PDU with 12 bits PDCP SN. This format is applicable for sidelink DRBs for groupcast and broadcast, for the sidelink SRB0 and for the sidelink SRB4.



Figure 6.2.2.4-1: PDCP Data PDU format for sidelink DRBs for groupcast and broadcast, for the sidelink SRB0‎ and for the sidelink SRB4

NOTE: There is no control PDU for SLRBs for groupcast and broadcast. Thus, there is no D/C field in the PDCP Data PDU format for SLRBs for groupcast and broadcast. SDU type is only applicable for sidelink DRB.

#### 6.2.2.5 Data PDU for sidelink SRBs for unicast

Figure 6.2.2.5-1 shows the format of the PDCP Data PDU with 12 bits PDCP SN. This format is applicable for sidelink SRB1, SRB2 and SRB3 for unicast.



Figure 6.2.2.5-1: PDCP Data PDU format for sidelink SRB1, SRB2 and SRB3 for unicast

#### 6.2.2.6 Data PDU for sidelink DRBs for unicast with 12 bits PDCP SN

Figure 6.2.2.6-1 shows the format of the PDCP Data PDU with 12 bits PDCP SN. This format is applicable for sidelink DRBs for unicast.



Figure 6.2.2.6-1: PDCP Data PDU format for sidelink DRBs for unicast with 12 bits PDCP SN

#### 6.2.2.7 Data PDU for sidelink DRBs for unicast with 18 bits PDCP SN

Figure 6.2.2.7-1 shows the format of the PDCP Data PDU with 18 bits PDCP SN. This format is applicable for sidelink DRBs for unicast.



Figure 6.2.2.7-1: PDCP Data PDU format for sidelink DRBs for unicast with 18 bits PDCP SN

### 6.2.3 Control PDU

#### 6.2.3.1 Control PDU for PDCP status report

Figure 6.2.3.1-1 shows the format of the PDCP Control PDU carrying one PDCP status report. This format is applicable for UM DRBs, AM DRBs (including sidelink DRBs for unicast) and AM MRBs.



Figure 6.2.3.1-1: PDCP Control PDU format for PDCP status report

#### 6.2.3.2 Control PDU for interspersed ROHC feedback

Figure 6.2.3.2-1 shows the format of the PDCP Control PDU carrying one interspersed ROHC feedback. This format is applicable for UM DRBs, AM DRBs (including sidelink DRBs for unicast), UM MRBs and AM MRBs.



Figure 6.2.3.2-1: PDCP Control PDU format for interspersed ROHC feedback

#### 6.2.3.3 Control PDU for EHC feedback

Figure 6.2.3.3-1 shows the format of the PDCP Control PDU carrying one EHC feedback. This format is applicable for UM DRBs, AM DRBs, UM MRBs and AM MRBs.



Figure 6.2.3.3-1: PDCP Control PDU format for EHC feedback

#### 6.2.3.4 Control PDU for UDC feedback

Figure 6.2.3.4-1 shows the format of the PDCP Control PDU carrying one UDC feedback. This format is applicable for AM DRBs.



Figure 6.2.3.4-1: PDCP Control PDU format for UDC feedback

## 6.3 Parameters

### 6.3.1 General

If not otherwise mentioned in the definition of each field then the bits in the parameters shall be interpreted as follows: the left most bit string is the first and most significant and the right most bit is the last and least significant bit.

Unless otherwise mentioned, integers are encoded in standard binary encoding for unsigned integers. In all cases the bits appear ordered from MSB to LSB when read in the PDU.

### 6.3.2 PDCP SN

Length: 12 or 18 bits as indicated in table 6.3.2-1. The length of the PDCP SN is configured by upper layers (*pdcp-SN-SizeUL,* *pdcp-SN-SizeDL,* or *sl-PDCP-SN-Size* in TS 38.331 [3]).

Table 6.3.2-1: PDCP SN length

|  |  |
| --- | --- |
| Length | Description |
| 12 | SRBs, UM DRBs, AM DRBs (including sidelink SRBs and sidelink DRBs), UM MRBs and AM MRBs |
| 18 | UM DRBs, AM DRBs (including sidelink DRBs for unicast), UM MRBs and AM MRBs |

NOTE: For NR sidelink communication for groupcast and broadcast, only 12 bits PDCP SN length is used for the sidelink DRBs.

### 6.3.3 Data

Length: Variable

This field includes one of the followings:

- Uncompressed PDCP SDU (user plane data, or control plane data);

- Compressed PDCP SDU (user plane data only).

NOTE: All fields other than PDCP PDU header and MAC-I belong to Data field.‎

### 6.3.4 MAC-I

Length: 32 bits

This field carries a message authentication code calculated as specified in clause 5.9.

For SRBs for Uu interface, the MAC-I field is always present. If integrity protection is not configured, the MAC-I field is still present but should be padded with padding bits set to 0.

For sidelink SRB1, SRB2 and SRB3, the MAC-I field is present only when the sidelink SRB1, SRB2 and SRB3 are configured with integrity ‎protection‎.‎

For DRBs (including sidelink DRBs for unicast), the MAC-I field is present only when the DRB is configured with integrity protection.

### 6.3.5 COUNT

Length: 32 bits

The COUNT value is composed of a HFN and the PDCP SN. The size of the HFN part in bits is equal to 32 minus the length of the PDCP SN.



Figure 6.3.5-1: Format of COUNT

NOTE: COUNT does not wrap around.

### 6.3.6 R

Length: 1 bit

Reserved. In this version of the specification reserved bits shall be set to 0. Reserved bits shall be ignored by the receiver.

### 6.3.7 D/C

Length: 1 bit

This field indicates whether the corresponding PDCP PDU is a PDCP Data PDU or a PDCP Control PDU.

Table 6.3.7-1: D/C field

|  |  |
| --- | --- |
| Bit | Description |
| 0 | Control PDU |
| 1 | Data PDU |

### 6.3.8 PDU type

Length: 3 bits

This field indicates the type of control information included in the corresponding PDCP Control PDU.

Table 6.3.8-1: PDU type

|  |  |
| --- | --- |
| Bit | Description |
| 000 | PDCP status report |
| 001 | Interspersed ROHC feedback |
| 010 | EHC feedback |
| 011 | UDC feedback |
| 100-111 | Reserved |

### 6.3.9 FMC

Length: 32 bits

First Missing COUNT. This field indicates the COUNT value of the first missing PDCP SDU within the reordering window, i.e. RX\_DELIV.

### 6.3.10 Bitmap

Length: Variable. The length of the bitmap field can be 0.

This field indicates which SDUs are missing and which SDUs are correctly received in the receiving PDCP entity. The bit position of Nth bit in the Bitmap is N, i.e., the bit position of the first bit in the Bitmap is 1.

Table 6.3.10-1 Bitmap

|  |  |
| --- | --- |
| Bit | Description |
| 0 | PDCP SDU with COUNT = (FMC + bit position) modulo 232 is missing.  |
| 1 | PDCP SDU with COUNT = (FMC + bit position) modulo 232 is correctly received.  |

### 6.3.11 Interspersed ROHC feedback

Length: Variable

This field contains one ROHC packet with only feedback, i.e. a ROHC packet that is not associated with a PDCP SDU as defined in clause 5.7.4.

### 6.3.12 SDU Type

Length: 3 bits

PDCP SDU type, i.e. Layer-3 Protocol Data Unit type as specified in [13] and [18]. PDCP entity may handle the SDU differently per SDU Type, e.g. ROHC is applicable to IP SDU but not Non-IP SDU, Ethernet SDU, Unstructured SDU and ARP SDU.

Table 6.3.12-1: SDU Type

|  |  |
| --- | --- |
| Bit | Description |
| 000 | IP |
| 001 | Non-IP |
| 010 | Ethernet |
| 011 | Unstructured |
| 100 | ARP |
| 101-111 | Reserved |

### 6.3.13 KNRP-sess ID

Length: 16 bits

KNRP-sess Identity as specified in TS 33.536 [14].

For the SLRB that does not need integrity and ciphering protection, the UE shall set KNRP-sess ID to "0" in the PDCP PDU header.

### 6.3.14 FE

Length: 1 bit

Indication of whether checksum error is detected or not. Value '1' means checksum error is detected and the UE shall reset the compression buffer.

Table 6.3.14-1: FE field

|  |  |
| --- | --- |
| **Bit** | **Description** |
| 0 | No Error |
| 1 | Checksum Error Notification |

# 7 State variables, constants, and timers

## 7.1 State variables

This clause describes the state variables used in PDCP entities in order to specify the PDCP protocol. The state variables defined in this clause are normative.

All state variables are non-negative integers, and take values from 0 to [232 – 1].

PDCP Data PDUs are numbered integer sequence numbers (SN) cycling through the field: 0 to [2[*pdcp-SN-SizeUL*] – 1] or 0 to [2[*pdcp-SN-SizeDL*] – 1] or 0 to [2[*sl-PDCP-SN-Size*] – 1].

The transmitting PDCP entity shall maintain the following state variables:

a) TX\_NEXT

This state variable indicates the COUNT value of the next PDCP SDU to be transmitted. The initial value is 0, except for SRBs configured with state variables continuation. For target SRB configured with state variables continuation, the initial value is the value stored in PDCP entity for the corresponding source SRB. For source SRB configured with state variables continuation, the initial value is the value stored in PDCP entity for the corresponding target SRB.

The receiving PDCP entity shall maintain the following state variables:

a) RX\_NEXT

This state variable indicates the COUNT value of the next PDCP SDU expected to be received. The initial value is 0, except for sidelink broadcast and groupcast, for SRBs configured with state variables continuation, for multicast MRBs whose PDCP COUNT is not synchronized as indicated by upper layer, and for broadcast MRBs. For NR sidelink communication for broadcast and groupcast or sidelink SRB4 for NR sidelink discovery, the initial value of the SN part of RX\_NEXT is (x +1) modulo (2[*sl-PDCP-SN-Size*]), where x is the SN of the first received PDCP Data PDU. For multicast MRBs whose PDCP COUNT is not synchronized as indicated by upper layer, and for broadcast MRBs, the initial value of the SN part of RX\_NEXT is (x +1) modulo (2[*PDCP-SN-SizeDL*]), where x is the SN of the first received PDCP Data PDU. For target SRB configured with state variables continuation, the initial value is the value stored in PDCP entity for the corresponding source SRB. For source SRB configured with state variables continuation, the initial value is the value stored in PDCP entity for the corresponding target SRB.

NOTE 1: For NR sidelink communication for broadcast and groupcast or sidelink SRB4 for NR sidelink discovery, it is up to UE implementation to select the HFN part for RX\_NEXT such that initial value of RX\_DELIV should be a positive value.

NOTE 2: For multicast MRBs whose PDCP COUNT is not synchronized as indicated by upper layer, and for broadcast MRBs, the initial value of the HFN part of RX\_NEXT is set by UE implementation.

b) RX\_DELIV

This state variable indicates the COUNT value of the first PDCP SDU not delivered to the upper layers, but still waited for. The initial value is 0, except for sidelink broadcast and groupcast, for SRBs configured with state variables continuation, and for MRBs. For NR sidelink communication for broadcast and groupcast or sidelink SRB4 for NR sidelink discovery, the initial value of the SN part of RX\_DELIV is (x – 0.5 × 2[*sl-PDCP-SN-Size*–1]) modulo (2[*sl-PDCP-SN-Size*]), where x is the SN of the first received PDCP Data PDU. For multicast MRBs whose PDCP COUNT is not synchronized as indicated by upper layer, and for broadcast MRBs, the initial value of the SN part of RX\_DELIV is set to (x – 0.5 × 2[*PDCP-SN-SizeDL*–1]) modulo (2[*PDCP-SN-SizeDL*]), where x is the SN of the first received PDCP Data PDU. For multicast MRBs, the initial value of RX\_DELIV is set, if provided, by *initialRX-DELIV* in TS 38.331 [3]. For target SRB configured with state variables continuation, the initial value is the value stored in PDCP entity for the corresponding source SRB. For source SRB configured with state variables continuation, the initial value is the value stored in PDCP entity for the corresponding target SRB.

NOTE 3: For multicast MRBs whose PDCP COUNT is not synchronized as indicated by upper layer, and for broadcast MRBs, the initial value of the HFN part of RX\_DELIV is set by UE implementation.

c) RX\_REORD

This state variable indicates the COUNT value following the COUNT value associated with the PDCP Data PDU which triggered *t-Reordering*. For target SRB configured with state variables continuation, the initial value is the value stored in PDCP entity for the corresponding source SRB. For source SRB configured with state variables continuation, the initial value is the value stored in PDCP entity for the corresponding target SRB.

## 7.2 Constants

a) Window\_Size

This constant indicates the size of the reordering window. The value equals to 2[*pdcp-SN-SizeDL*] – 1 for SRB/DRB/MRB and 2[*sl-PDCP-SN-Size*] – 1 for SLRB.

## 7.3 Timers

The transmitting PDCP entity shall maintain the following timers:

a) *discardTimer*

This timer is configured only for DRBs. The duration of the timer is configured by upper layers TS 38.331 [3]. In the transmitter, a new timer is started upon reception of an SDU from upper layer as specified in clause 5.2.1.

b) *discardTimerForLowImportance*

This timer is configured only for DRBs. The duration of the timer is configured by upper layers TS 38.331 [3]. In the transmitter, a new timer is started upon reception of an SDU belonging to a low importance PDU Set from upper layer as specified in clause 5.2.1.

The receiving PDCP entity shall maintain the following timers:

c) *t-Reordering*

The duration of the timer is configured by upper layers TS 38.331 [3], except for the case of NR sidelink communication or sidelink SRB4. For NR sidelink communication or sidelink SRB4, the *t-Reordering* timer is determined by the UE implementation. This timer is used to detect loss of PDCP Data PDUs as specified in clause 5.2.2. If *t-Reordering* is running, *t-Reordering* shall not be started additionally, i.e. only one *t-Reordering* per receiving PDCP entity is running at a given time.

Annex A (normative):
Ethernet Header Compression (EHC) protocol

# A.1 EHC principle

The Ethernet header compression (EHC) protocol compresses Ethernet header as shown in Figure A.1-1 [15]. The fields that are compressed (i.e. removed from the Ethernet header) by the EHC protocol are: DESTINATION ADDRESS, SOURCE ADDRESS, 802.1Q TAG, and LENGTH/TYPE. The fields PREAMBLE, SFD, and FCS are not transmitted in 3GPP system, and thus not considered in EHC protocol. There may be more than one 802.1Q TAG fields in the Ethernet header, and all are compressed by the EHC protocol. The padding (PAD) is not compressed by the EHC protocol.



Figure A.1-1: Ethernet packet format [15]

The EHC compressor and the EHC decompressor store original header field information as a "EHC context". Each EHC context is identified by a unique identifier, called Context ID (CID). The EHC context must be synchronized between the EHC compressor and the EHC decompressor; otherwise, the EHC decompressor erroneously decompresses the "Compressed Header (CH)" packets.

For an Ethernet packet stream, the EHC compressor establishes the EHC context and associates it with the CID. Then, the EHC compressor transmits the "Full Header (FH)" packet to the EHC decompressor including the associated CID. The EHC compressor keeps transmitting the FH packets until the EHC feedback is received from the EHC decompressor.

NOTE: If the maximum number of EHC contexts are already established for the compressed flows and a new Ethernet flow does not match any established EHC context, the compressor should associate the new Ethernet flow with one of the EHC CIDs allocated for the existing compressed flows or send PDCP SDUs belonging to the Ethernet flow as uncompressed packet.

When the EHC decompressor receives the FH packet, the EHC decompressor establishes the EHC context identified by the CID, and transmits the EHC feedback to the EHC compressor to indicate that the EHC context associated with the CID is successfully established in the EHC decompressor.

After receiving the EHC feedback, the EHC compressor starts to transmit the CH packets to the EHC decompressor including the associated CID. The CH packet includes only the header fields not stored in the EHC context.

When the EHC decompressor receives the CH packet, the EHC decompressor restores original header fields based on the stored EHC context identified by the associated CID.

Figure A.1-2 represents a conceptual view of EHC operation.



Figure A.1-2: EHC operation

# A.2 EHC packet format and parameters

## A.2.1 EHC packet format

### A.2.1.1 EHC Full Header packet and EHC Compressed Header packet

Figure A.2.1.1-1 and Figure A.2.1.1-2 show the formats of EHC FH packet and EHC CH packet, respectively.



Figure A.2.1.1-1: EHC Full Header packet format



Figure A.2.1.1-2: EHC Compressed Header packet format

### A.2.1.2 EHC feedback packet

Figure A.2.1.2-1 shows the format of the EHC feedback packet.



Figure A.2.1.2-1: EHC feedback packet format

## A.2.2 Parameters

### A.2.2.1 F/C

Length: 1 bit

This field indicates whether the corresponding EHC packet is a FH packet or a CH packet.

Table A.2.2.1-1: F/C field

|  |  |
| --- | --- |
| Bit | Description |
| 0 | FH packet |
| 1 | CH packet |

### A.2.2.2 CID

Length: 7, or 15 bits. The length of the CID is configured by upper layers (*ehc-CID-Length* in TS 38.331 [3]).

The CID = "all zeros" indicates that the corresponding Ethernet header is "uncompressed". The EHC decompressor does not establish the EHC context identified by the CID = "all zeros".

Annex B (normative):
Uplink Data Compression Protocol

# B.1 UDC general description

A UDC packet consists of a UDC header and a UDC data block. A UDC data block contains either DEFLATE compressed blocks generated by UDC protocol or original PDCP SDU for SDU not compressed by UDC protocol; the type is specified in FU field (details see Annex B.2.2.1) in UDC header. The FR field (details see Annex B.2.2.2) and the Checksum field (details see Annex B.2.2.3) in UDC header are used only if FU field is set to 1.

If reset procedure is triggered, after performing the reset, the FR field in UDC header of the first compressed PDU shall be set to 1.

NOTE: UE is allowed not to compress the PDCP SDUs if the UL data rate before compression is higher than what the UE is capable of.

# B.2 UDC packet format and parameters

## B.2.1 UDC Header and UDC Data Block format

Figure B.2.1-1 shows the format of UDC Header and UDC Data Block.



Figure B.2.1-1: UDC header and UDC data block format

## B.2.2 UDC parameters

### B.2.2.1 FU

Length: 1 bit

Indication of whether this packet is compressed by UDC protocol or not. Value '1' means the packet is compressed by UDC protocol.

Table B.2.2.1-1: FU field

|  |  |
| --- | --- |
| Bit | Description |
| 0 | Packet is not compressed using UDC protocol |
| 1 | Packet is compressed using UDC protocol |

### B.2.2.2 FR

Length: 1 bit

Indication of whether UDC compression buffer is reset or not. Value '1' means this is the first compressed packet after UDC buffer reset.

Table B.2.2.2-1: FR field

|  |  |
| --- | --- |
| Bit | Description |
| 0 | Compression buffer is not reset. |
| 1 | Compression buffer has been reset. |

### B.2.2.3 Checksum

Length: 4 bits

This field contains the validation bits for the compression buffer content: The checksum is calculated by the content of current compression buffer before the current packet is put into buffer.

The checksum is derived from the values of the first 4 bytes and the last 4 bytes in the whole compression buffer. The calculation is described as follows:

- Each byte is divided into two 4-bit numbers.

- The 16 4-bit numbers are added together to obtain a sum;

- The checksum is one's complement of the right-most 4 bits (i.e. 4 LSB) of the sum.

An example of checksum calculation is shown in Annex B.2.3.

## B.2.3 An example of UDC Checksum calculation

The current UDC compression/decompression buffer has the following binary values for example:

Header <1,1,0,0,0,1,0,1,0,0,1,1,1,1,1,1,0,0,0,1,1,0,0,1,0,1,0,1,0,0,0,1, ……, 0,1,1,1,1,1,0,1,1,0,0,0,1,0,1,0,1,0,0,1,1,1,1,1,1,0,0,1,1,1,0,0> Tail

The sum of the first 4 bytes and the last 4 bytes can be calculated:

1100+0101+0011+1111+0001+1001+0101+0001+0111+1101+1000+1010+1001+1111+1001+1100 = 10000110;

And checksum value will be one's complement of the right-most 4 bits (i.e. 4 LSB) of the above sum. Hence checksum is 1001.

Annex C (informative):
Change history

|  |
| --- |
| **Change history** |
| **Date** | **Meeting** | **TDoc** | **CR** | **Rev** | **Cat** | **Subject/Comment** | **New Version** |
| 2017.03 | RAN2#97bis | R2-1703512 | - | - | - | First version. | x.y.z |
| 2017.04 | RAN2#97bis | R2-1703916 | - | - | - | Change clause name "Retransmission" to "Data recovery" | 0.0.1 |
| 2017.05 | RAN2#98 | R2-1704076 | - | - | - | Initial draft TS capturing outcome of e-mail discussion [97bis#24] | 0.0.5 |
| 2017.06 | RAN2 NR AH | R2-1706868 | - | - | - | Capture agreements made in RAN2#98 | 0.1.0 |
| 2017.08 | RAN2 NR AH | R2-1707507 | - | - | - | Capture agreements made in RAN2 NR AH#2 | 0.2.0 |
| 2017.08 | RAN2#99 | R2-1709097 | - | - | - | Adding integrity protection in clause 5.1.2 | 0.2.1 |
| 2017.08 | RAN2#99 | R2-1709753 | - | - | - | Capture agreements made in RAN2#99 | 0.3.0 |
| 2017.09 | RANP#77 | RP-171993 | - | - | - | Provided for information to RAN | 1.0.0 |
| 2017.10 | RAN2#99bis  | R2-1713660  | - | - | - | Capture agreements made in RAN2#99bis  | 1.0.1 |
| 2017.11 | RAN2#100 | R2-1714273 | - | - | - | Capture agreements made in RAN2#100 | 1.1.0 |
| 2017.12 | RP-78 | RP-172335 | - | - | - | Provided for approval to RAN | 2.0.0 |
| 2017/12 | RP-78 |  |  |  |  | Upgraded to Rel-15 (MCC) | 15.0.0 |
| 2018/03 | RP-79 | RP-180440 | 0002 | 1 | F | Corrections to PDCP specification | 15.1.0 |
| 2018/06 | RP-80 | RP-181215 | 0006 | 3 | F | Corrections to PDCP specification | 15.2.0 |
|  | RP-80 | RP-181215 | 0009 | 1 | B | Introduction of PDCP duplication | 15.2.0 |
| 2018/09 | RP-81 | RP-181942 | 0011 | 4 | F | Clarification on PDCP transmission | 15.3.0 |
| 2018/12 | RP-82 | RP-182650 | 0022 | 1 | F | Suspend and resume of security | 15.4.0 |
|  | RP-82 | RP-182655 | 0023 | - | F | Introducing PDCP suspend procedure | 15.4.0 |
|  | RP-82 | RP-182656 | 0024 | - | F | Clarification on ciphering MAC-I | 15.4.0 |
| 2019/03 | RP-83 | RP-190544 | 0025 | 2 | F | Correction on the PDCP re-establishment for AM DRB | 15.5.0 |
|  | RP-83 | RP-190540 | 0027 | 1 | F | Correction on PDCP SN length | 15.5.0 |
| 2019/06 | RP-84 | RP-191375 | 0031 | 1 | F | PDCP association with RLC for RBs configured with PDCP duplication | 15.6.0 |
| 2020/03 | RP-87 | RP-200346 | 0038 | 2 | B | 38.323 CR for NR V2X | 16.0.0 |
|  | RP-87 | RP-200352 | 0039 | 3 | B | Introduction of NR IIOT | 16.0.0 |
|  | RP-87 | RP-200347 | 0042 | 2 | B | Introduction of DAPS handover | 16.0.0 |
| 2020/07 | RP-88 | RP-201190 | 0032 | 6 | F | PDCP security issue about duplicate detection | 16.1.0 |
|  | RP-88 | RP-201195 | 0045 | 3 | C | CR on 38.323 for NR mobility enhancement | 16.1.0 |
|  | RP-88 | RP-201176 | 0048 | 1 | F | 38.323 CR for NR V2X | 16.1.0 |
|  | RP-88 | RP-201181 | 0049 | 1 | F | NR PDCP corrections for NR IIOT | 16.1.0 |
| 2020/09 | RP-89 | RP-201963 | 0050 | 2 | F | Correction on receive operation when both EHC and out-of-order delivery are configured for a DRB | 16.2.0 |
|  | RP-89 | RP-201932 | 0052 | 1 | F | PDCP entity associated with AM RLC entity | 16.2.0 |
|  | RP-89 | RP-201927 | 0056 | - | F | 38.323 corrections‎ on Sidelink | 16.2.0 |
| 2021/03 | RP-91 | RP-210692 | 0064 | 1 | F | Correction on PDCP transmit operation | 16.3.0 |
| 2021/06 | RP-92 | RP-211485 | 0074 | 1 | A | Correction on suspended AM DRB in PDCP re-establishment | 16.4.0 |
|  | RP-92 | RP-211470 | 0078 | 1 | F | PDCP miscellaneous corrections | 16.4.0 |
| 2021/09 | RP-93 | RP-212442 | 0080 | 1 | F | CR for the ciphering of EHC header | 16.5.0 |
| 2021/12 | RP-94 | RP-213342 | 0082 | 1 | F | Correction to Window\_Size for SLRB | 16.6.0 |
| 2022/03 | RP-95 | RP-220495 | 0085 | 1 | B | Introducing support of UP IP for EPC connected architectures using NR PDCP | 17.0.0 |
|  | RP-95 | RP-220491 | 0086 | 2 | B | Introduction of SL Relay in 38.323 | 17.0.0 |
|  | RP-95 | RP-220489 | 0087 | 1 | B | Introduction of the support for UDC in NR | 17.0.0 |
|  | RP-95 | RP-220484 | 0088 | - | B | Introduction of NR MBS into 38.323 | 17.0.0 |
| 2022/06 | RP-96 | RP-221712 | 0092 | - | A | Correction on PDCP SN setting for SLRB transmit operation | 17.1.0 |
|  | RP-96 | RP-221732 | 0093 | 1 | F | Correction on PDCP for SL relay | 17.1.0 |
|  | RP-96 | RP-221731 | 0094 | 1 | F | Corrections to UDC | 17.1.0 |
|  | RP-96 | RP-221712 | 0095 | - | A | Corrections on receiving PDCP entity establishment for SL-SRB0/SL-SRB1 | 17.1.0 |
|  | RP-96 | RP-221754 | 0096 | - | F | PDCP Corrections for MBS | 17.1.0 |
| 2022/09 | RP-97 | RP-222524 | 0097 | 1 | F | Correction on PDCP for L2 U2N Relay | 17.2.0 |
|  | RP-97 | RP-222523 | 0098 | 1 | F | Corrections for MBS 38.323 | 17.2.0 |
| 2022/12 | RP-98 | RP-223406 | 0102 | 4 | F | MBS corrections for PDCP | 17.3.0 |
|  | RP-98 | RP-223412 | 0104 | 2 | F | PDCP correction for SL relay | 17.3.0 |
|  | RP-98 | RP-223413 | 0105 | 2 | F | Correction on PDCP Control PDU for UDC feedback | 17.3.0 |
|  | RP-98 | RP-223414 | 0111 | 1 | A | Data volume calculation for DAPS | 17.3.0 |
|  | RP-98 | RP-223406 | 0112 | - | F | PDCP Initialisation of MRB | 17.3.0 |
| 2023/03 | RP-99 | RP-230692 | 0115 | 1 | F | Clarification on PDCP for L2 U2N Relay | 17.4.0 |
| 2023/06 | RP-100 | RP-231416 | 0123 | 1 | F | Clarification on the services expected from SRAP layer | 17.5.0 |
| 2023/12 | RP-102 | RP-233897 | 0126 | 2 | B | Introduction of NR sidelink PDCP duplication in TS 38.323 | 18.0.0 |
|  | RP-102 | RP-233904 | 0127 | 1 | B | Introduction of Enhanced NR Sidelink Relay | 18.0.0 |
|  | RP-102 | RP-233908 | 0128 | 2 | B | Introduction of XR Enhancements | 18.0.0 |
|  | RP-102 | RP-233907 | 0130 | 1 | B | Introduction of eMBS in TS 38.323 | 18.0.0 |