**3GPP TSG-RAN3 Meeting #107 *R3-xxxx***

**Athens, GR, 24-28 February 2020**

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| *CR-Form-v12.0* |
| **CHANGE REQUEST** |
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|  | **38.473** | **CR** | **0477** | **rev** | **3** | **Current version:** | 16.0.0 |  |
|  |
| *For* [***HE******LP***](http://www.3gpp.org/3G_Specs/CRs.htm#_blank)*on using this form: comprehensive instructions can be found at* [*http://www.3gpp.org/Change-Requests*](http://www.3gpp.org/Change-Requests)*.* |
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| ***Proposed change affects:*** | UICC apps |  | ME |  | Radio Access Network | **X** | Core Network |  |

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|  |
| ***Title:***  | Introduction of NR\_IIOT support to TS 38.473 |
|  |  |
| ***Source to WG:*** | Huawei |
| ***Source to TSG:*** | RAN3 |
|  |  |
| ***Work item code:*** | NR\_IIOT |  | ***Date:*** | 2020-02-14 |
|  |  |  |  |  |
| ***Category:*** | **B** |  | ***Release:*** | Rel-16 |
|  | *Use one of the following categories:****F*** *(correction)****A*** *(mirror corresponding to a change in an earlier release)****B*** *(addition of feature),* ***C*** *(functional modification of feature)****D*** *(editorial modification)*Detailed explanations of the above categories canbe found in 3GPP [TR 21.900](http://www.3gpp.org/ftp/Specs/html-info/21900.htm). | *Use one of the following releases:Rel-8 (Release 8)Rel-9 (Release 9)Rel-10 (Release 10)Rel-11 (Release 11)Rel-12 (Release 12)**Rel-13 (Release 13)Rel-14 (Release 14)Rel-15 (Release 15)Rel-16 (Release 16)* |
|  |  |
| ***Reason for change:*** | Introduce enhancements to support TSC QoS flows, which use a Delay Critical GBR resource type and TSC Assistance Information as specified in TS 23.501 |
|  |  |
| ***Summary of change:*** | Addition of TSC Assistance Information to the *GBR QoS Flow Information* IE. |
|  |  |
| ***Consequences if not approved:*** | TSC deterministic QoS is not possible |
|  |  |
| ***Clauses affected:*** | 8.3.1, 8.3.4, 8.X (new), 9.2.X (new), 9.3.1.47, 9.3.1.49, 9.3.1.51, 9.3.1.x (new), 9.3.1.y (new), 9.3.1.xx (new), 9.3.1.yy (new), 9.3.1.XX (new), 9.3.1.YY (new), 9.3.1.ZZ (new) |
|  |  |
|  | **Y** | **N** |  |  |
| ***Other specs*** |  |  |  Other core specifications  | TS/TR ... CR ...  |
| ***affected:*** |  |  |  Test specifications | TS/TR ... CR ...  |
| ***(show related CRs)*** |  |  |  O&M Specifications | TS/TR ... CR ...  |
|  |  |
| ***Other comments:*** |  |
|  |  |
| ***This CR's revision history:*** | Rev0: submitted as R3-195783Rev1: R3-196490 resubmission to RAN3#106 meetingRev2: R3-197829 Include agreements from RAN3#106 meeting (R3-196660, R3-197702)Rev3:  Rebaseline to TS 38.473 v16.0.0 Make several editorial changes, including * Update the message name in section 8.1
* Update the message names to be upper class in section 8.x
* Make the Periodicity to be extensible in section 9.3.1.xx
* change the font type and size in Tabulars.
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*Beginning of Text Proposal for TS 38.473*

## 8.1 List of F1AP Elementary procedures

In the following tables, all EPs are divided into Class 1 and Class 2 EPs (see subclause 3.1 for explanation of the different classes):

Table 1: Class 1 procedures

|  |  |  |  |
| --- | --- | --- | --- |
| Elementary Procedure | Initiating Message | Successful Outcome | Unsuccessful Outcome |
| Response message | Response message |
| Reset | RESET | RESET ACKNOWLEDGE |  |
| F1 Setup | F1 SETUP REQUEST | F1 SETUP RESPONSE | F1 SETUP FAILURE |
| gNB-DU Configuration Update | GNB-DU CONFIGURATION UPDATE | GNB-DU CONFIGURATION UPDATE ACKNOWLEDGE | GNB-DU CONFIGURATION UPDATE FAILURE |
| gNB-CU Configuration Update | GNB-CU CONFIGURATION UPDATE | GNB-CU CONFIGURATION UPDATE ACKNOWLEDGE | GNB-CU CONFIGURATION UPDATE FAILURE |
| UE Context Setup | UE CONTEXT SETUP REQUEST | UE CONTEXT SETUP RESPONSE | UE CONTEXT SETUP FAILURE |
| UE Context Release (gNB-CU initiated) | UE CONTEXT RELEASE COMMAND | UE CONTEXT RELEASE COMPLETE |  |
| UE Context Modification (gNB-CU initiated) | UE CONTEXT MODIFICATION REQUEST | UE CONTEXT MODIFICATION RESPONSE | UE CONTEXT MODIFICATION FAILURE |
| UE Context Modification Required (gNB-DU initiated) | UE CONTEXT MODIFICATION REQUIRED | UE CONTEXT MODIFICATION CONFIRM | UE CONTEXT MODIFICATION REFUSE |
| Write-Replace Warning  | WRITE-REPLACE WARNING REQUEST | WRITE-REPLACE WARNING RESPONSE |  |
| PWS Cancel | PWS CANCEL REQUEST | PWS CANCEL RESPONSE |  |
| GNB-DU RESOURCE COORDINATION | GNB-DU RESOURCE COORDINATION REQUEST | GNB-DU RESOURCE COORDINATION RESPONSE |  |

Table 2: Class 2 procedures

|  |  |
| --- | --- |
| Elementary Procedure | Message |
| Error Indication | ERROR INDICATION |
| UE Context Release Request (gNB-DU initiated) | UE CONTEXT RELEASE REQUEST |
| Initial UL RRC Message Transfer | INITIAL UL RRC MESSAGE TRANSFER |
| DL RRC Message Transfer | DL RRC MESSAGE TRANSFER |
| UL RRC Message Transfer | UL RRC MESSAGE TRANSFER |
| UE Inactivity Notification  | UE INACTIVITY NOTIFICATION |
| System Information Delivery | SYSTEM INFORMATION DELIVERY COMMAND |
| Paging | PAGING |
| Notify | NOTIFY |
| PWS Restart Indication | PWS RESTART INDICATION |
| PWS Failure Indication | PWS FAILURE INDICATION |
| gNB-DU Status Indication | GNB-DU STATUS INDICATION |
| RRC Delivery Report | RRC DELIVERY REPORT |
| Network Access Rate Reduction | NETWORK ACCESS RATE REDUCTION |
| Trace Start | TRACE START |
| Deactivate Trace | DEACTIVATE TRACE |
| DU-CU Radio Information Transfer | DU-CU RADIO INFORMATION TRANSFER |
| CU-DU Radio Information Transfer | CU-DU RADIO INFORMATION TRANSFER |
| Reference Time Information Reporting Control | REFERENCE TIME INFORMATION REPORTING CONTROL |
| Reference Time Information Report | REFERENCE TIME INFORMATION REPORT |

*Next Change*

### 8.3.1 UE Context Setup

#### 8.3.1.1 General

The purpose of the UE Context Setup procedure is to establish the UE Context including, among others, SRB, and DRB configuration. The procedure uses UE-associated signalling.

#### 8.3.1.2 Successful Operation



Figure 8.3.1.2-1: UE Context Setup Request procedure: Successful Operation

The gNB-CU initiates the procedure by sending UE CONTEXT SETUP REQUEST message to the gNB-DU. If the gNB-DU succeeds to establish the UE context, it replies to the gNB-CU with UE CONTEXT SETUP RESPONSE. If no UE-associated logical F1-connection exists, the UE-associated logical F1-connection shall be established as part of the procedure.

If the *UE-CapabilityRAT-ContainerList* IE is included in the UE CONTEXT SETUP REQUEST, the gNB-DU shall take this information into account for UE specific configurations.

If the *servingCellMO* IE is included in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall configure servingCellMO for the indicated SpCell accordingly.

If the *SpCell UL Configured* IE is included in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall configure UL for the indicated SpCell accordingly.

If the *SCell To Be Setup List* IE is included in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall consider it as a list of candidate SCells to be set up. If the *SCell UL Configured* IE is included in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall configure UL for the indicated SCell accordingly. If the *servingCellMO* IE is included in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall configure servingCellMO for the indicated SCell accordingly.

If the *DRX Cycle* IE is contained in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall use the provided value from the gNB-CU.

If the *UL Configuration* IE in *DRB to Be Setup Item* IE is contained in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall take it into account for UL scheduling.

If the *SRB To Be Setup List* IE is contained in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall act as specified in TS 38.401 [4]. If *Duplication Indication* IE is contained in the *SRB To Be Setup List* IE, the gNB-DU shall, if supported, setup two RLC entities for the indicated SRB.

If the *DRB To Be Setup List* IE is contained in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall act as specified in TS 38.401 [4]. If the *QoS Flow Mapping Indication* IE is included in the *DRB To Be Setup List* IE for a QoS flow, the gNB-DU may take it into account that only the uplink or downlink QoS flow is mapped to the indicated DRB.

If two *UL UP TNL Information* IEs are included in UE CONTEXT SETUP REQUEST message for a DRB, gNB-DU shall include two *DL UP TNL Information* IEs in UE CONTEXT SETUP RESPONSE message and setup two RLC entities for the indicated DRB. gNB-CU and gNB-DU use the *UL UP TNL Information* IEs and *DL UP TNL Information* IEs to support packet duplication for intra-gNB-DU CA as defined in TS 38.470 [2]. The first *UP TNL Information* IE of the two *UP TNL Information* IEs is for the primary path*.*

If *Duplication Activation IE* is included in the UE CONTEXT SETUP REQUEST message for a DRB, gNB-DU should take it into account when activing/deactiving CA based PDCP duplication for the DRB.

If *DC Based Duplication Configured* IE is included in the UE CONTEXT SETUP REQUEST message for a DRB, gNB-DU shall regard that DC based PDCP duplication is configured for this DRB if the value is set to be "true" and it should take the responsibility of PDCP duplication activation/deactivation. If *DC Based Duplication Activation* IE is included in the UE CONTEXT SETUP REQUEST message for a DRB, gNB-DU should take it into account when activing/deactiving DC based PDCP duplication for this DRB.

If *UL PDCP SN length* IE is included in the UE CONTEXT SETUP REQUEST message for a DRB, gNB-DU shall, if supported, store this information and use it for lower layer configuration.

For EN-DC operation, and if the *Subscriber Profile ID* *for RAT/Frequency priority* IE is received from an MeNB, the UE CONTEXT SETUP REQUEST message shall contain the *Subscriber Profile ID* *for RAT/Frequency priority* IE. If the *Additional RRM Policy Index* IE is received from an MeNB, the UE CONTEXT SETUP REQUEST message shall, if supported, contain the *Additional RRM Policy Index* IE. The gNB-DU shall store the received Subscriber Profile ID for RAT/Frequency priority in the UE context and use it as defined in TS 36.300 [20]. The gNB-DU shall, if supported, store the received Additional RRM Policy Index in the UE context and use it as defined in TS 36.300 [20].

If the *Index to RAT/Frequency Selection Priority* IE is available at the gNB-CU, the *Index to RAT/Frequency Selection Priority* IE shall be included in the UE CONTEXT SETUP REQUEST. The gNB-DU may use it for RRM purposes.

The gNB-DU shall report to the gNB-CU, in the UE CONTEXT SETUP RESPONSE message, the result for all the requested DRBs and SRBs in the following way:

- A list of DRBs which are successfully established shall be included in the *DRB Setup List* IE;

- A list of DRBs which failed to be established shall be included in the *DRB Failed to Setup List* IE;

- A list of SRBs which failed to be established shall be included in the *SRB Failed to Setup List* IE.

- A list of successfully established SRBs with logical channel identities for primary path shall be included in the *SRB Setup List* IE only if CA based PDCP duplication is initiated for the concerned SRBs.

When the gNB-DU reports the unsuccessful establishment of a DRB or SRB, the cause value should be precise enough to enable the gNB-CU to know the reason for the unsuccessful establishment.

For EN-DC operation, the gNB-CU shall include in the UE CONTEXT SETUP REQUEST the *E-UTRAN QoS* IE. The allocation of resources according to the values of the *Allocation and Retention Priority* IE included in the *E-UTRAN QoS* IE shall follow the principles described for the E-RAB Setup procedure in TS 36.413 [15].

For NG-RAN operation, the gNB-CU shall include in the UE CONTEXT SETUP REQUEST the *DRB Information* IE.

For DC operation, the CG-ConfigInfo IE shall be included in the CU to DU RRC Information IE at the gNB acting as secondary node. If the CG-ConfigInfo IE is included in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall regard it as a reconfiguration with sync as defined in TS 38.331 [8].

If the *HandoverPreparationInformation* IE is included in the *CU to DU RRC Information* IE in the UE CONTEXT SETUP REQUEST message, the gNB-DU of the gNB acting as master node shall regard it as a reconfiguration with sync as defined in TS 38.331 [8]. The gNB-CU of the gNB acting as master node shall only initiate the UE Context Setup procedure for handover or secondary node addition when at least one DRB is setup for the UE. If the received *CU to DU RRC Information* IE does not include source cell group configuration, the gNB-DU shall generate the cell group configuration using full configuration. Otherwise, delta configuration is allowed.

If the gNB-CU includes the SMTC information of the measured frequency(ies) in the *MeasurementTimingConfiguration* IE of the *CU to DU RRC Information* IE that is included in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall generate the measurement gaps based on the received SMTC information. Then the gNB-DU shall send the measurement gaps information to the gNB-CU in the *MeasGapConfig* IE of the *DU to CU RRC Information* IE that is included in the UE CONTEXT SETUP RESPONSE message.

For EN-DC operation, if the gNB-CU includes the *Resource Coordination Transfer Information* IE in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall, if supported, use it for the purpose of resource coordination. If the *Ignore PRACH Configuration* IE is present and set to "true" the *E-UTRA PRACH Configuration* IE in the UE CONTEXT SETUP REQUEST message shall be ignored. If the gNB-CU received the MeNB Resource Coordination Information as defined in TS 36.423 [9], it shall transparently transfer it to the gNB-DU via the *Resource Coordination Transfer Container* IE in the UE CONTEXT SETUP REQUEST message. The gNB-DU shall use the information received in the *Resource Coordination Transfer Container* IE for reception of MeNB Resource Coordination Information at the gNB acting as secondary node as described in TS 36.423 [9]. If the *Resource Coordination E-UTRA Cell Information* IE is included in the *Resource Coordination Information* IE, the gNB-DU shall store the information replacing previously received information for the same E-UTRA cell, and use the stored information for the purpose of resource coordination.

For NGEN-DC or NE-DC operation, if the gNB-CU includes the *Resource Coordination Transfer Information* IE in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall, if supported, use it for the purpose of resource coordination. If the gNB-CU received the MR-DC Resource Coordination Information as defined in TS 38.423 [28], it shall transparently transfer it to the gNB-DU via the *Resource Coordination Transfer Container* IE in the UE CONTEXT SETUP REQUEST message. The gNB-DU shall use the information received in the *Resource Coordination Transfer Container* IE for reception of MR-DC Resource Coordination Information at the gNB as described in TS 38.423 [28].

The *UEAssistanceInformation* IE shall be included in *CU to DU RRC Information* IE in the UE CONTEXT SETUP REQUEST message if the gNB-CU received this IE from the UE; if the *UEAssistanceInformation* IE is included in the *CU to DU RRC Information* IE in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall, if supported, take it into account when configuring resources for the UE.

If the *Resource Coordination Transfer Container* IE is included in the UE CONTEXT SETUP RESPONSE, the gNB-CU shall transparently transfer this information for the purpose of resource coordination as described in TS 36.423 [9], TS 38.423 [28].

If the *Masked IMEISV* IE is contained in the UE CONTEXT SETUP REQUEST message the gNB-DU shall, if supported, use it to determine the characteristics of the UE for subsequent handling.

If the *SCell Failed To Setup List* IE is contained in the UE CONTEXT SETUP RESPONSE message, the gNB-CU shall regard the corresponding SCell(s) failed to be set up with an appropriate cause value for each SCell failed to setup.

If the *Inactivity Monitoring Request* IE is contained in the UE CONTEXT SETUP REQUEST message, gNB-DU may consider that the gNB-CU has requested the gNB-DU to perform UE inactivity monitoring. If the *Inactivity Monitoring Response* IE is contained in the UE CONTEXT SETUP RESPONSE message and set to "Not-supported", the gNB-CU shall consider that the gNB-DU does not support UE inactivity monitoring for the UE.

If the *CellGroupConfig* IE is included in the *DU to CU RRC Information* IE contained in the UE CONTEXT SETUP RESPONSE message, the gNB-CU shall perform RRC Reconfiguration or RRC connection resume as described in TS 38.331 [8]. The *CellGroupConfig* IE shall transparently be signaled to the UE as specified in TS 38.331 [8].

If the *Full Configuration* IE is contained in the UE CONTEXT SETUP RESPONSE message, the gNB-CU shall consider that the gNB-DU has generated the *CellGroupConfig* IE using full configuration.

If the *C-RNTI* IE is included in the UE CONTEXT SETUP RESPONSE, the gNB-CU shall consider that the C-RNTI has been allocated by the gNB-DU for this UE context.

The UE Context Setup Procedure is not used to configure SRB0.

If the UE CONTEXT SETUP REQUEST message contains the *RRC-Container* IE, the gNB-DU shall send the corresponding RRC message to the UE via SRB1.

If the *Notification Control* IE is included in the *DRB to Be Setup List* IE and it is set to active, the gNB-DU shall, if supported, monitor the QoS of the DRB and notify the gNB-CU if the QoS cannot be fulfilled any longer or if the QoS can be fulfilled again. The *Notification Control* IE can only be applied to GBR bearers.

If the *UL PDU Session Aggregate Maximum Bit Rate* IE is included in the *QoS Flow Level QoS Parameters* IE containded in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall store the received UL PDU Session Aggregate Maximum Bit Rate and use it when enforcing uplink traffic policing for non-GBR Bearers for the concerned UE as specified in TS 23.501 [21].

The gNB-DU shall store the received gNB-DU UE Aggregate Maximum Bit Rate Uplink and use it for non-GBR Bearers for the concerned UE.

If the UE CONTEXT SETUP REQUEST message contains the *QoS Flow Mapping Indication* IE, the gNB-DU may take it into account that only the uplink or downlink QoS flow is mapped to the DRB.

If the UE CONTEXT SETUP REQUEST message contains the *New gNB-CU UE F1AP ID* IE, the gNB-DU shall, if supported, replace the value received in the *gNB-CU UE F1AP ID* IE by the value of the *New gNB-CU UE F1AP ID* and use it for further signalling.

If the *RAN UE ID* IE is contained in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall store and replace any previous information received.

If the Trace Activation IE is included in the UE CONTEXT SETUP REQUEST message the gNB-DU shall, if supported, initiate the requested trace function as described in TS 32.422 [29].

If the *TSC Traffic Characteristics* IE is included in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall, if supported, take into account the corresponding information received in the *TSC Traffic Characteristics* IE.

*Next Change*

### 8.3.4 UE Context Modification (gNB-CU initiated)

#### 8.3.4.1 General

The purpose of the UE Context Modification procedure is to modify the established UE Context, e.g., establishing, modifying and releasing radio resources. This procedure is also used to command the gNB-DU to stop data transmission for the UE for mobility (see TS 38.401 [4]). The procedure uses UE-associated signalling.

#### 8.3.4.2 Successful Operation



Figure 8.3.4.2-1: UE Context Modification procedure. Successful operation

The UE CONTEXT MODIFICATION REQUEST message is initiated by the gNB-CU.

Upon reception of the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall perform the modifications, and if successful reports the update in the UE CONTEXT MODIFICATION RESPONSE message.

If the *SpCell ID* IE is included in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall replace any previously received value and regard it as a reconfiguration with sync as defined in TS 38.331 [8]. If the *ServCellIndex* IE is included in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall take this into account for the indicated SpCell. If the *SpCell UL Configured* IE is included in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall configure UL for the indicated SpCell accordingly. If the *servingCellMO* IE is included in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall configure servingCellMO for the indicated SpCell accordingly.

If the *SCell To Be Setup List* IE or *SCell To Be Removed List* IE is included in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall consider it as a list of candidate SCells to be set up. If the *SCell To Be Setup List* IE is included in the UE CONTEXT MODIFICATION REQUEST message and the indicated SCell(s) are already setup, the gNB-DU shall replace any previously received value. If the *SCell UL Configured* IE is included in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall configure UL for the indicated SCell accordingly. If the *servingCellMO* IE is included in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall configure servingCellMO for the indicated SCell accordingly.

If the *DRX Cycle* IE is contained in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall use the provided value from the gNB-CU. If the *DRX configuration indicator* IE is contained in the UE CONTEXT MODIFICATION REQUEST message and set to "release", the gNB-DU shall release DRX configuration.

If the *SRB To Be Setup List* IE is contained in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall act as specified in the TS 38.401 [4], and replace any previously received value. If *Duplication Indication* IE is contained in the *SRB To Be Setup List* IE, the gNB-DU shall, if supported, setup two RLC entities for the indicated SRB if the value is set to be "true", or delete the RLC entity of secondary path if the value is set to be "false".

If the *DRB To Be Setup List* IE is contained in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall act as specified in the TS 38.401 [4].

If two *UL UP TNL Information* IEs are included in UE CONTEXT MODIFICATION REQUEST message for a DRB, the gNB-DU shall include two *DL UP TNL Information* IEs in UE CONTEXT MODIFICATION RESPONSE message and setup two RLC entities for the indicated DRB. gNB-CU and gNB-DU use the *UL UP TNL Information* IEs and *DL UP TNL Information* IEs to support packet duplication for intra-gNB-DU CA as defined in TS 38.470 [2]. The first *UP TNL Information* IE of the two *UP TNL Information* IEs is for the primary path*.*

If *Duplication Activation* IE is included in the UE CONTEXT MODIFICATION REQUEST message for a DRB, the gNB-DU should take it into account when activing/deactiving CA based PDCP duplication for the DRB.

If *DC Based Duplication Configured* IE is included in the UE CONTEXT MODIFICATION REQUEST message for a DRB, the gNB-DU shall regard that DC based PDCP duplication is configured for this DRB if the value is set to be "true" and it should take the responsibility of PDCP duplication activation/deactivation. Otherwise, the gNB-DU shall regard that DC based PDCP duplication is de-configured for this DRB id the value is set to be "false", and it should stop PDCP duplication activation/deactivation by MAC CE. If *DC Based Duplication Activation* IE is included in the UE CONTEXT MODIFICATION REQUEST message for a DRB, the gNB-DU should take it into account when activing/deactiving DC based PDCP duplication for this DRB.

For a certain DRB which was allocated with two GTP-U tunnels, if such DRB is modified and given one GTP-U tunnel via the UE Context Modification procedure, the gNB-DU shall consider that the CA based PDCP duplication for the concerned DRB is de-configured. If such UE Context Modification procedure occurs, the *Duplication Activation* IE shall not be included for the concerned DRB.

If the *UL Configuration* IE in *DRB to Be Setup Item* IE or *DRB to Be Modified* *Item* IE is contained in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall take it into account for UL scheduling.

If the ongoing reconfiguration procedure involves changes of the L1/L2 configuration at the gNB-DU signalled to the gNB-CU via the *CellGroupConfig* IE, the gNB-CU shall include the *RRC Reconfiguration Complete Indicator* IE in the UE CONTEXT MODIFICATION REQUEST message to inform the gNB-DU that the ongoing reconfiguration procedure, including *CellGroupConfig* IE, has been successfully or unsuccesfully performed. In the case that the ongoing reconfiguration procedure has failed, the gNB-DU shall continue to use the old UE configuration.

If *DL PDCP SN* *length* IE is included in the UE CONTEXT MODIFICATION REQUEST message for a DRB, gNB-DU shall, if supported, store this information and use it for lower layer configuration.

If *UL PDCP SN length* IE is included in the UE CONTEXT MODIFICATION REQUEST message for a DRB, gNB-DU shall, if supported, store this information and use it for lower layer configuration.

If the *RLC Failure Indication* IE is included in UE CONTEXT MODIFICATION REQUEST message, the gNB-DU should consider that the RLC entity indicated by such IE needs to be re-established when the CA-based packet duplication is active, and the gNB-DU may include the *Associated SCell List* IE in UE CONTEXT MODIFICATION RESPONSE by containing a list of SCell(s) associated with the RLC entity indicated by the *RLC Failure Indication* IE.

If the UE CONTEXT MODIFICATION REQUEST message contains the *RRC-Container* IE, the gNB-DU shall send the corresponding RRC message to the UE. If the UE CONTEXT MODIFICATION REQUEST message includes the *Execute Duplication* IE, the gNB-DU shall perform CA based duplication, if configured, for the SRB for the included *RRC-Container* IE.

If the UE CONTEXT MODIFICATION REQUEST message contains the *Transmission Action Indicator* IE, the gNB-DU shall stop or restart (if already stopped) data transmission for the UE, according to the value of this IE. It is up to gNB-DU implementation when to stop or restart the UE scheduling.

For EN-DC operation, if the *DRB to Be Setup List* IE is present in the UE CONTEXT MODIFICATION REQUEST message the gNB-CU shall include the *E-UTRAN QoS* IE. The allocation of resources according to the values of the *Allocation and Retention Priority* IE included in the *E-UTRAN QoS* IE shall follow the principles described for the E-RAB Setup procedure in TS 36.413 [15]. For NG-RAN operation, the gNB-CU shall include the *DRB Information* IE in the UE CONTEXT MODIFICATION REQUEST message.

If the gNB-CU includes the SMTC information of the measured frequency(ies) in the *MeasurementTimingConfiguration* IE of the *CU to DU RRC Information* IE that is included in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall generate the measurement gaps based on the received SMTC information. Then the gNB-DU shall send the measurement gaps information to the gNB-CU in the *MeasGapConfig* IE of the *DU to CU RRC Information* IE that is included in the UE CONTEXT MODIFICATION RESPONSE message.

For DC operation, if the gNB-CU includes the *CG-Config* IE in the *CU to DU RRC Information* IE that is included in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU may initiate low layer parameters coordination taking this information into account.

For EN-DC operation, if the gNB-CU includes the *Resource Coordination Transfer Information* IE in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall, if supported, use it for the purpose of resource coordination. If the gNB-CU received the MeNB Resource Coordination Information as defined in TS 36.423 [9], after completion of UE Context Setup procedures, the gNB-CU shall transparently transfer it to the gNB-DU via the *Resource Coordination Transfer Container* IE in the UE CONTEXT MODIFICATION REQUEST message. The gNB-DU shall use the information received in the *Resource Coordination Transfer Container* IE for reception of MeNB Resource Coordination Information at the gNB acting as secondary node as described in TS 36.423 [9]. If the *Resource Coordination E-UTRA Cell Information* IE is included in the *Resource Coordination Transfer Information* IE, the gNB-DU shall store the information replacing previously received information for the same E-UTRA cell, and use the stored information for the purpose of resource coordination. If the *Ignore PRACH Configuration* IE is present and set to "true" the *E-UTRA PRACH Configuration* IE in the UE CONTEXT MODIFICATION REQUEST message shall be ignored.

For NGEN-DC or NE-DC operation, if the gNB-CU includes the *Resource Coordination Transfer Information* IE in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall, if supported, use it for the purpose of resource coordination. If the gNB-CU received the MR-DC Resource Coordination Information as defined in TS 38.423 [28], after completion of UE Context Setup procedures, the gNB-CU shall transparently transfer it to the gNB-DU via the *Resource Coordination Transfer Container* IE in the UE CONTEXT MODIFICATION REQUEST message. The gNB-DU shall use the information received in the *Resource Coordination Transfer Container* IE for reception of MR-DC Resource Coordination Information at the gNB as described in TS 38.423 [28].

For EN-DC operation, and if the *Subscriber Profile ID* *for RAT/Frequency priority* IE is received from an MeNB, the UE CONTEXT MODIFICTION REQUEST message shall contain the *Subscriber Profile ID* *for RAT/Frequency priority* IE. If the *Additional RRM Policy Index* IE is received from an MeNB, the UE CONTEXT MODIFICATION REQUEST message shall , if supported, contain the *Additional RRM Policy Index* IE. The gNB-DU shall store the received Subscriber Profile ID for RAT/Frequency priority in the UE context and use it as defined in TS 36.300 [20]. The gNB-DU shall, if supported, store the received Additional RRM Policy Index in the UE context and use it as defined in TS 36.300 [20].

If the *Index to RAT/Frequency Selection Priority* IE is modified at the gNB-CU, the *Index to RAT/Frequency Selection Priority* IE shall be included in the UE CONTEXT MODIFICATION REQUEST. The gNB-DU may use it for RRM purposes.

If the UE CONTEXT MODIFICATION REQUEST message contains the *Uplink TxDirectCurrentList Information* IE, the gNB-DU may take that into account when selecting L1 configuration.

The *UEAssistanceInformation* IE shall be included in *CU to DU RRC Information* IE in the UE CONTEXT MODIFICATION REQUEST message if the gNB-CU received this IE from the UE; if the *UEAssistanceInformation* IE is included in the *CU to DU RRC Information* IE in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall, if supported, take it into account when configuring resources for the UE.

The gNB-DU shall report to the gNB-CU, in the UE CONTEXT MODIFICATION RESPONSE message, the result for all the requested or modified DRBs and SRBs in the following way:

- A list of DRBs which are successfully established shall be included in the *DRB Setup List* IE;

- A list of DRBs which failed to be established shall be included in the *DRB Failed to be Setup List* IE;

- A list of DRBs which are successfully modified shall be included in the *DRB Modified List* IE;

- A list of DRBs which failed to be modified shall be included in the *DRB Failed to be Modified List* IE;

- A list of SRBs which failed to be established shall be included in the *SRB Failed to be Setup List* IE.

- A list of successfully established SRBs with logical channel identities for primary path shall be included in the *SRB Setup List* IE only if CA based PDCP duplication is initiated for the concerned SRBs.

- A list of successfully modified SRBs with logical channel identities for primary path shall be included in the *SRB Modified List* IE only if CA based PDCP duplication is initiated for the concerned SRBs.

When the gNB-DU reports the unsuccessful establishment of a DRB or SRB, the cause value should be precise enough to enable the gNB-CU to know the reason for the unsuccessful establishment.

If the *Resource Coordination Transfer Container* IE is included in the UE CONTEXT MODIFICATION RESPONSE, the gNB-CU shall transparently transfer this information for the purpose of resource coordination as described in TS 36.423 [9], TS 38.423 [28].

If the *CellGroupConfig* IE is included in the *DU to CU RRC Information* IE contained in the UE CONTEXT MODIFICATION RESPONSE message, the gNB-CU shall perform RRC Reconfiguration as described in TS 38.331 [8]. The *CellGroupConfig* IE shall transparently be signaled to the UE as specified in TS 38.331 [8].

If the *UE-CapabilityRAT-ContainerList* IE is included in the UE CONTEXT SETUP MODOFOCATION REQUEST, the gNB-DU shall take this information into account for UE specific configurations.

If the *SCell Failed To Setup List* IE is contained in the UE CONTEXT MODIFICATION RESPONSE message, the gNB-CU shall regard the corresponding SCell(s) failed to be set up with an appropriate cause value for each SCell failed to setup.

If the *C-RNTI* IE is included in the UE CONTEXT MODIFICATION RESPONSE, the gNB-CU shall consider that the C-RNTI has been allocated by the gNB-DU for this UE context.

If the *Inactivity Monitoring Request* IE is contained in the UE CONTEXT MODIFICATION REQUEST message, gNB-DU may consider that the gNB-CU has requested the gNB-DU to perform UE inactivity monitoring. If the *Inactivity Monitoring Response* IE is contained in the UE CONTEXT MODIFICATION RESPONSE message and set to “Not-supported”, the gNB-CU shall consider that the gNB-DU does not support UE inactivity monitoring for the UE.

The UE Context Modify Procedure is not used to configure SRB0.

If the *Notification Control* IE is included in the *DRB to Be Setup List* IE or the *DRB to Be Modified List* IE and it is set to active, the gNB-DU shall, if supported, monitor the QoS of the DRB and notify the gNB-CU if the QoS cannot be fulfilled any longer or if the QoS can be fulfilled again. The *Notification Control* IE can only be applied to GBR bearers.

If the *UL PDU Session Aggregate Maximum Bit Rate* IE is included in the *QoS Flow Level QoS Parameters* IE containded in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall replace the received UL PDU Session Aggregate Maximum Bit Rate and use it as specified in TS 23.501 [21].

If the *gNB-DU UE Aggregate Maximum Bit Rate Uplink* IE is included in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall:

- replace the previously provided gNB-DU UE Aggregate Maximum Bit Rate Uplink with the new received gNB-DU UE Aggregate Maximum Bit Rate Uplink;

- use the received gNB-DU UE Aggregate Maximum Bit Rate Uplink for non-GBR Bearers for the concerned UE.

The *UL PDU Session Aggregate Maximum Bit Rate* IE shall be sent if *DRB to Be Setup List* IE is included and the gNB-CU has not previously sent it. The gNB-DU shall store and use the received gNB-DU UE Aggregate Maximum Bit Rate Uplink.

If the *RLC Status IE* is included in the UE CONTEXT MODIFICATION RESPONSE message, the gNB-CU shall assume that RLC has been reestablished at the gNB-DU and may trigger PDCP data recovery.

If the GNB-*DU Configuration Query* IE is contained in the UE CONTEXT MODIFICATION REQUEST message, gNB-DU shall include the *CellGroupConfig* IE in the *DU To CU RRC Information* IE in the UE CONTEXT MODIFICATION RESPONSE message.

If the *Bearer Type Change* IE is included in *DRB to Be Modified List* IE in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall either reset the lower layers or generate a new LCID for the affected bearer as specified in TS 37.340[7].

For NE-DC operation, if *NeedforGap* IE is included in the UE CONTEXT MODIFICATION REQUEST message,the gNB-DU shall generate measurement gap for the SeNB.

If the *QoS Flow Mapping Indication* IE is included in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall, if supported, replace any previously received value and take it into account that only the uplink or downlink QoS flow is mapped to the DRB.

If the *Lower Layer presence status change* IE set to "suspend lower layers" is included in the UE Context Modification message, the gNB-DU shall keep all lower layer configuration for UEs, and not transmit or receive data from UE.

If the *Lower Layer presence status change* IE set to "resume lower layers" is included in the UE Context Modification message, the gNB-DU shall use the previously stored lower layer configuration for the UE.

If the *Full Configuration* IE is contained in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall generate a *CellGroupConfig* IE using full configuration and include it in the UE CONTEXT MODIFICATION RESPONSE.

If the *Full Configuration* IE is contained in the UE CONTEXT MODIFICATION RESPONSE message, the gNB-CU shall consider that the gNB-DU has generated the *CellGroupConfig* IE using full configuration.

If the *TSC Traffic Characteristics* IE is included in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall, if supported, take into account the corresponding information received in the *TSC Traffic Characteristics* IE.

*Next Change*

## 8.X Reference Time Information Reporting procedures

### 8.X.1 Reference Time Information Reporting Control

#### 8.X.1.1 General

The purpose of the Reference Time Information Reporting Control procedure is to command the gNB-DU to send the requested accurate reference time information to the gNB-CU. The procedure uses non-UE associated signalling.

#### 8.X.1.2 Successful Operation



Figure 8.x.1.2-1: Reference Time Information Reporting Control

The gNB-CU initiates the procedure by sending REFERENCE TIME INFORMATION REPORTING CONTROL message to the gNB-DU. Upon reception of the REFERENCE TIME INFORMATION REPORTING CONTROL message, the gNB-DU shall perform the requested reference time information reporting action.

The *Report Type* IE indicates to the gNB-DU whether:

- to report on demand;

- to report periodic, with a frequency as specified by the *Report Periodicity* IE;

- to stop periodic reporting.

#### 8.X.1.3 Abnormal Conditions

Not applicable.

### 8.X.2 Reference Time Information Report

#### 8.X.2.1 General

The purpose of the Reference Time Information Report procedure is to report the accurate reference time information from the gNB-DU to the gNB-CU. The procedure uses non-UE associated signalling.

#### 8.X.2.2 Successful Operation



Figure 8.X.2-2-1: Reference Time Information Report

The gNB-DU initiates the procedure by sending a REFERENCE TIME INFORMATION REPORT message to the gNB-CU. The REFERENCE TIME INFORMATION REPORT message may be used as a response to the REFERENCE TIME INFORATMION REPORTING CONTROL message.

#### 8.X.2.3 Abnormal Conditions

Not applicable.

*Next Change*

#### 9.2.2.1 UE CONTEXT SETUP REQUEST

This message is sent by the gNB-CU to request the setup of a UE context.

Direction: gNB-CU → gNB-DU.

| **IE/Group Name** | **Presence** | **Range** | **IE type and reference** | **Semantics description** | **Criticality** | **Assigned Criticality** |
| --- | --- | --- | --- | --- | --- | --- |
| Message Type | M |  | 9.3.1.1 |  | YES | reject |
| gNB-CU UE F1AP ID | M  |  | 9.3.1.4 |  | YES | reject |
| gNB-DU UE F1AP ID  | O |  | 9.3.1.5 |  | YES | ignore |
| SpCell ID | M |  | NR CGI9.3.1.12 | Special Cell as defined in TS 38.321 [16]. For handover case, this IE is considered as target cell. | YES | reject |
| ServCellIndex | M |  | INTEGER (0..31,...) |  | YES | reject |
| SpCell UL Configured | O |  | Cell UL Configured9.3.1.33 |  | YES | ignore |
| CU to DU RRC Information | M |  | 9.3.1.25 |  | YES | reject |
| **Candidate SpCell List** |  | *0..1* |  |  | YES | ignore |
| **>Candidate SpCell Item IEs** |  | *1 .. <maxnoofCandidateSpCells>* |  |  | EACH | ignore |
| >>Candidate SpCell ID | M |  | NR CGI9.3.1.12 | Special Cell as defined in TS 38.321 [16] | - |  |
| DRX Cycle  | O |  | DRX Cycle 9.3.1.24 |  | YES | ignore |
| Resource Coordination Transfer Container | O |  | OCTET STRING | Includes the *MeNB Resource Coordination Information* IE as defined in subclause 9.2.116 of TS 36.423 [9] for EN-DC case or *MR-DC Resource Coordination Information* IE as defined in TS 38.423 [28] for NGEN-DC and NE-DC cases. | YES | ignore |
| **SCell To Be Setup List** |  | *0..1* |  |  | YES | ignore |
| **>SCell to Be Setup Item IEs** |  | *1.. <maxnoofSCells>* |  |  | EACH | ignore |
| >>SCell ID | M |  | NR CGI9.3.1.12 | SCell Identifier in gNB | - |  |
| >>SCellIndex | M |  | INTEGER (1..31) |  | - |  |
| >>SCell UL Configured | O |  | Cell UL Configured9.3.1.33 |  | - |  |
| >>servingCellMO | O |  | INTEGER (1..64) |  | YES | ignore |
| **SRB to Be Setup List** |  | *0..1* |  |  | YES | reject |
| **>SRB to Be Setup Item IEs** |  | *1 .. <maxnoofSRBs>* |  |  | EACH | reject |
| >>SRB ID | M |  | 9.3.1.7 |  | - |  |
| >>Duplication Indication | O |  | ENUMERATED (true, ..., false) | If included, it should be set to true. | - |  |
| **DRB to Be Setup List** |  | *0..1* |  |  | YES | reject |
| **>DRB to Be Setup Item IEs** |  | *1 .. <maxnoofDRBs>*  |  |  | EACH | reject |
| >>DRB ID | M |  | 9.3.1.8 |  | - |  |
| >>CHOICE QoS Information | M |  |  |  | - |  |
| >>>E-UTRAN QoS | M |  | 9.3.1.19 | Shall be used for EN-DC case to convey E-RAB Level QoS Parameters | - |  |
| **>>>DRB Information** |  | *1* |  | Shall be used for NG-RAN cases | YES | ignore |
| >>>>DRB QoS | M |  | 9.3.1.45 |  | - |  |
| >>>>S-NSSAI | M |  | 9.3.1.38 |  | - |  |
| >>>>Notification Control | O |  | 9.3.1.56 |  | - |  |
| **>>>>Flows Mapped to DRB Item** |  | *1 .. <maxnoofQoSFlows>* |  |  | - |  |
| >>>>>QoS Flow Identifier | M |  | 9.3.1.63 |  | - |  |
| >>>>>QoS Flow Level QoS Parameters | M |  | 9.3.1.45 |  | - |  |
| >>>>>QoS Flow Mapping Indication | O |  | 9.3.1.72 |  | YES | ignore |
| >>>>>TSC Traffic Characteristics | O |  | 9.3.1.x | Traffic pattern information associated with the QFI. Details in TS 23.501 [21]. | YES | ignore |
| **>>UL UP TNL Information to be setup List** |  | *1* |  |  | - |  |
| **>>> UL UP TNL Information to Be Setup Item IEs** |  | *1 .. <maxnoofULUPTNLInformation>* |  |  | - |  |
| >>>>UL UP TNL Information | M |  | UP Transport Layer Information9.3.2.1 | gNB-CU endpoint of the F1 transport bearer. For delivery of UL PDUs. | - |  |
| >> RLC Mode | M |  | 9.3.1.27 |  | - |  |
| >> UL Configuration | O |  | UL Configuraiton 9.3.1.31 | Information about UL usage in gNB-DU.  | - |  |
| >>Duplication Activation | O |  | 9.3.1.36 | Information on the initial state of CA based UL PDCP duplication  | - |  |
| >> DC Based Duplication Configured | O |  | ENUMERATED (true, ..., false) | Indication on whether DC based PDCP duplication is configured or not. If included, it should be set to true. | YES | reject |
| >>DC Based Duplication Activation | O |  | Duplication Activation9.3.1.36 | Information on the initial state of DC basedUL PDCP duplication | YES | reject |
| >>DL PDCP SN length | M |  | ENUMERATED (12bits, 18bits, ...) |  | YES | ignore |
| >>UL PDCP SN length | O |  | ENUMERATED (12bits, 18bits, ...) |  | YES | ignore |
| Inactivity Monitoring Request  | O |  | ENUMERATED (true, ...) |  | YES | reject |
| RAT-Frequency Priority Information | O |  | 9.3.1.34 |  | YES | reject |
| RRC-Container | O |  | 9.3.1.6 | Includes the *DL-DCCH-Message* IE as defined in subclause 6.2 of TS 38.331 [8], encapsulated in a PDCP PDU. | YES | ignore |
| Masked IMEISV | O |  | 9.3.1.55 |  | YES | ignore |
| Serving PLMN | O |  | PLMN ID9.3.1.14 | Indicates the PLMN serving the UE. | YES | ignore |
| gNB-DU UE Aggregate Maximum Bit Rate Uplink | C-ifDRBSetup |  | Bit Rate 9.3.1.22 | The gNB-DU UE Aggregate Maximum Bit Rate Uplink is to be enforced by the gNB-DU. | YES | ignore |
| RRC Delivery Status Request | O |  | ENUMERATED (true, …) | Indicates whether RRC DELIVERY REPORT procedure is requested for the RRC message. | YES | ignore |
| Resource Coordination Transfer Information | O |  | 9.3.1.73 |  | YES | ignore |
| servingCellMO | O |  | INTEGER (1..64, ...) |  | YES | ignore |
| New gNB-CU UE F1AP ID | O |  | gNB-CU UE F1AP ID9.3.1.4 |  | YES | reject |
| RAN UE ID | O |  | OCTET STRING (SIZE (8)) |  | YES | ignore |
| Trace Activation | O |  | 9.3.1.88 |  | YES | ignore |
| Additional RRM Policy Index | O |  | 9.3.1.90 |  | YES | ignore |

|  |  |
| --- | --- |
| Range bound | Explanation |
| maxnoofSCells | Maximum no. of SCells allowed towards one UE, the maximum value is 32. |
| maxnoofSRBs | Maximum no. of SRB allowed towards one UE, the maximum value is 8.  |
| maxnoofDRBs | Maximum no. of DRB allowed towards one UE, the maximum value is 64.  |
| maxnoofULUPTNLInformation | Maximum no. of ULUP TNL Information allowed towards one DRB, the maximum value is 2. |
| maxnoofCandidateSpCells | Maximum no. of SpCells allowed towards one UE, the maximum value is 64. |
| maxnoofQoSFlows | Maximum no. of flows allowed to be mapped to one DRB, the maximum value is 64. |

|  |  |
| --- | --- |
| Condition | Explanation |
| ifDRBSetup | This IE shall be present only if the *DRB to Be Setup List* IE is present. |

*Next Change*

#### 9.2.2.7 UE CONTEXT MODIFICATION REQUEST

This message is sent by the gNB-CU to provide UE Context information changes to the gNB-DU.

Direction: gNB-CU → gNB-DU

| **IE/Group Name** | **Presence** | **Range** | **IE type and reference** | **Semantics description** | **Criticality** | **Assigned Criticality** |
| --- | --- | --- | --- | --- | --- | --- |
| Message Type | M |  | 9.3.1.1 |  | YES | reject |
| gNB-CU UE F1AP ID | M |  | 9.3.1.4 |  | YES | reject |
| gNB-DU UE F1AP ID | M |  | 9.3.1.5 |  | YES | reject |
| SpCell ID | O |  | NR CGI9.3.1.12 | Special Cell as defined in TS 38.321 [16]. For handover case, this IE is considered as target cell. | YES | ignore |
| ServCellIndex | O |  | INTEGER (0..31, ...) |  | YES | reject |
| SpCell UL Configured | O |  | Cell UL Configured9.3.1.33 |  | YES | ignore |
| DRX Cycle  | O |  | DRX Cycle 9.3.1.24 |  | YES | ignore |
| CU to DU RRC Information | O |  | 9.3.1.25 |  | YES | reject |
| Transmission Action Indicator | O |  | 9.3.1.11 |  | YES | ignore |
| Resource Coordination Transfer Container | O |  | OCTET STRING | Includes the *MeNB Resource Coordination Information* IE as defined in subclause 9.2.116 of TS 36.423 [9] for EN-DC case or *MR-DC Resource Coordination Information* IE as defined in TS 38.423 [28] for NGEN-DC and NE-DC cases. | YES | ignore |
| RRC Reconfiguration Complete Indicator | O |  | 9.3.1.30 |  | YES | ignore |
| RRC-Container | O |  | 9.3.1.6 | Includes the *DL-DCCH-Message* IE as defined in subclause 6.2 of TS 38.331 [8], encapsulated in a PDCP PDU. | YES | reject |
| **SCell To Be Setup List** |  | *0..1* |  |  | YES | ignore |
| **>SCell to Be Setup Item IEs** |  | *1.. <maxnoofSCells>* |  |  | EACH | ignore |
| >>SCell ID | M |  | NR CGI9.3.1.12 | SCell Identifier in gNB | - |  |
| >>SCellIndex | M |  | INTEGER (1..31) |  | - |  |
| >>SCell UL Configured | O |  | Cell UL Configured9.3.1.33 |  | - |  |
| >>servingCellMO | O |  | INTEGER (1..64) |  | YES | ignore |
| **SCell To Be Removed List** |  | *0..1* |  |  | YES | ignore |
| **>SCell to Be Removed Item IEs** |  | *1 .. <maxnoofSCells>* |  |  | EACH | ignore |
| >>SCell ID | M |  | NR CGI9.3.1.12 | SCell Identifier in gNB | - |  |
| **SRB to Be Setup List** |  | *0..1* |  |  | YES | reject |
| **>SRB to Be Setup Item IEs** |  | *1..<maxnoofSRBs>* |  |  | EACH | reject |
| >>SRB ID | M |  | 9.3.1.7 |  | - |  |
| >>Duplication Indication | O |  | ENUMERATED (true, ..., false) |  | - |  |
| **DRB to Be Setup List** |  | *0..1* |  |  | YES | reject |
| **>DRB to Be Setup Item IEs** |  | *1 .. <maxnoofDRBs>* |  |  | EACH | reject |
| >>DRB ID | M |  | 9.3.1.8 |  | - |  |
| >>CHOICE QoS Information | M |  |  |  | - |  |
| >>>E-UTRAN QoS | M |  | 9.3.1.19 | Shall be used for EN-DC case to convey E-RAB Level QoS Parameters |  |  |
| **>>>DRB Information** |  | *1* |  | Shall be used for NG-RAN cases | YES | ignore |
| >>>>DRB QoS | M |  | 9.3.1.45 |  | - |  |
| >>>>S-NSSAI | M |  | 9.3.1.38 |  | - |  |
| >>>>Notification Control | O |  | 9.3.1.56 |  | - |  |
| **>>>>Flows Mapped to DRB Item** |  | *1 .. <maxnoofQoSFlows>* |  |  | - |  |
| >>>>>QoS Flow Identifier | M |  | 9.3.1.63 |  | - |  |
| >>>>>QoS Flow Level QoS Parameters | M |  | 9.3.1.45 |  | - |  |
| >>>>>QoS Flow Mapping Indication | O |  | 9.3.1.72 |  | YES | ignore |
| >>>>>TSC Traffic Characteristics | O |  | 9.3.1.x | Traffic pattern information associated with the QFI. Details in TS 23.501 [21]. | YES | ignore |
| **>>UL UP TNL Information to be setup List**  |  | *1* |  |  | - |  |
| **>>>UL UP TNL Information to Be Setup Item IEs** |  | *1 .. <maxnoofULUPTNLInformation>* |  |  | - |  |
| >>>>UL UP TNL Information | M |  | UP Transport Layer Information9.3.2.1 | gNB-CU endpoint of the F1 transport bearer. For delivery of UL PDUs. | - |  |
| >> RLC Mode | M |  | 9.3.1.27 |  | - |  |
| >>UL Configuration | O |  | UL Configuration 9.3.1.31 | Information about UL usage in gNB-DU.  | - |  |
| >>Duplication Activation | O |  | 9.3.1.36 | Information on the initial state of CA based UL PDCP duplication | - |  |
| >> DC Based Duplication Configured | O |  | ENUMERATED (true, ..., false) | Indication on whether DC based PDCP duplication is configured or not. If included, it should be set to true. | YES | reject |
| >>DC Based Duplication Activation | O |  | Duplication Activation9.3.1.36 | Information on the initial state of DC based UL PDCP duplication  | YES | reject |
| >>DL PDCP SN length | O |  | ENUMERATED (12bits, 18bits, ...) |  | YES | ignore |
| >>UL PDCP SN length | O |  | ENUMERATED (12bits, 18bits, ...) |  | YES | ignore |
| **DRB to Be Modified List** |  | *0..1* |  |  | YES | reject |
| **>DRB to Be Modified Item IEs** |  | *1 .. <maxnoofDRBs>* |  |  | EACH | reject |
| >>DRB ID | M |  | 9.3.1.8 |  | - |  |
| >>CHOICE QoS Information | O |  |  |  | - |  |
| >>>E-UTRAN QoS | M |  | 9.3.1.19 | Used for EN-DC case to convey E-RAB Level QoS Parameters | - |  |
| **>>>DRB Information** |  | *1* |  | Used for NG-RAN cases | YES | ignore |
| >>>>DRB QoS | M |  | 9.3.1.45 |  | - |  |
| >>>>S-NSSAI | M |  | 9.3.1.38 |  | - |  |
| >>>>Notification Control | O |  | 9.3.1.56 |  | - |  |
| **>>>>Flows Mapped to DRB Item** |  | *1 .. <maxnoofQoSFlows>* |  |  | - |  |
| >>>>>QoS Flow Identifier | M |  | 9.3.1.63 |  | - |  |
| >>>>>QoS Flow Level QoS Parameters | M |  | 9.3.1.45 |  | - |  |
| >>>>>QoS Flow Mapping Indication | O |  | 9.3.1.72 |  | YES | ignore |
| >>>>>TSC Traffic Characteristics | O |  | 9.3.1.x | Traffic pattern information associated with the QFI. Details in TS 23.501 [21]. | YES | ignore |
| **>> UL UP TNL Information to be setup List**  |  | *0..1* |  |  | - |  |
| **>>> UL UP TNL Information to Be Setup Item IEs** |  | *1 .. <maxnoofULUPTNLInformation>* |  |  | - |  |
| >>>>UL UP TNL Information | M |  | UP Transport Layer Information9.3.2.1 | gNB-CU endpoint of the F1 transport bearer. For delivery of UL PDUs. | - |  |
| >>UL Configuration | O |  | UL Configuration 9.3.1.31 | Information about UL usage in gNB-DU.  | - |  |
| >>DL PDCP SN length | O |  | ENUMERATED(12bits,18bits , ...) |  | YES | ignore |
| >>UL PDCP SN length | O |  | ENUMERATED (12bits, 18bits, ...) |  | YES | ignore |
| >>Bearer Type Change | O |  | ENUMERATED (true, …) |  | YES | ignore |
| >> RLC Mode | O |  | 9.3.1.27 |  | YES | ignore |
| >>Duplication Activation | O |  | 9.3.1.36 | Information on the initial state of CA based UL PDCP duplication | YES | reject |
| >> DC Based Duplication Configured | O |  | ENUMERATED (true, …, false) | Indication on whether DC based PDCP duplication is configured or not. | YES | reject |
| >>DC Based Duplication Activation | O |  | 9.3.1.36 | Information on the initial state of DC based UL PDCP duplication  | YES | reject |
| **SRB To Be Released List** |  | *0..1* |  |  | YES | reject |
| **>SRB To Be Released Item IEs** |  | *1.. <maxnoofSRBs>* |  |  | EACH | reject |
| >>SRB ID | M |  | 9.3.1.7 |  |  |  |
| **DRB to Be Released List** |  | *0..1* |  |  | YES | reject |
| **>DRB to Be Released Item IEs** |  | *1 .. <maxnoofDRBs>* |  |  | EACH | reject |
| >>DRB ID | M |  | 9.3.1.8 |  | - |  |
| Inactivity Monitoring Request | O |  | ENUMERATED (true, ...) |  | YES | reject |
| RAT-Frequency Priority Information | O |  | 9.3.1.34 |  | YES | reject |
| DRX configuration indicator | O |  | ENUMERATED(release,...) |  | YES | ignore |
| RLC Failure Indication | O |  | 9.3.1.66 |  | YES | ignore |
| Uplink TxDirectCurrentList Information | O |  | 9.3.1.67 |  | YES | ignore |
| GNB-DU Configuration Query | O |  | ENUMERATED (true, ...) | Used to request the gNB-DU to provide its configuration. | YES | reject |
| gNB-DU UE Aggregate Maximum Bit Rate Uplink | O |  | Bit Rate 9.3.1.22 | The gNB-DU UE Aggregate Maximum Bit Rate Uplink is to be enforced by the gNB-DU. | YES | ignore |
| Execute Duplication | O |  | ENUMERATED (true, ...) | This IE may be sent only if duplication has been configured for the UE. | YES | ignore |
| RRC Delivery Status Request | O |  | ENUMERATED (true, …) | Indicates whether RRC DELIVERY REPORT procedure is requested for the RRC message. | YES | ignore |
| Resource Coordination Transfer Information | O |  | 9.3.1.73 |  | YES | ignore |
| servingCellMO | O |  | INTEGER (1..64, ...) |  | YES | ignore |
| Need for Gap | O |  | ENUMERATED (true, …) | Indicate gap for SeNB configured measurement is requested.It only applied to NE DC scenario. | Yes | ignore |
| Full Configuration | O |  | ENUMERATED (full, ...) |  | YES | reject |
| Additional RRM Policy Index | O |  | 9.3.1.90 |  | YES | ignore |
| Lower Layer Presence Status Change | O |  | 9.3.1.94 |  | Yes | ignore |

|  |  |
| --- | --- |
| **Range bound** | **Explanation** |
| maxnoofSCells | Maximum no. of SCells allowed towards one UE, the maximum value is 32. |
| maxnoofSRBs | Maximum no. of SRB allowed towards one UE, the maximum value is 8.  |
| maxnoofDRBs | Maximum no. of DRB allowed towards one UE, the maximum value is 64.  |
| maxnoofULUPTNLInformation | Maximum no. of UL UP TNL Information allowed towards one DRB, the maximum value is 2. |
| maxnoofQoSFlows | Maximum no. of flows allowed to be mapped to one DRB, the maximum value is 64. |

*Next Change*

### 9.2.X Reference Time Information Reporting messages

#### 9.2.X.1 REFERENCE TIME INFORMATION REPORTING CONTROL

This message is sent by the gNB-CU and is used to request the gNB-DU to deliver the accurate reference time information.

Direction: gNB-CU → gNB-DU

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| IE/Group Name | Presence | Range | IE type and reference | Semantics description | Criticality | Assigned Criticality |
| Message Type | M |  | 9.3.1.1 |  | YES | ignore |
| Transaction ID | M |  | 9.3.1.23 |  | YES | reject |
| Reporting Request Type  | M |  | 9.3.1.XX |  | YES | reject |

#### 9.2.X.2 REFERENCE TIME INFORMATION REPORT

This message is sent by the gNB-DU and is used to report the accurate reference time information to the gNB-CU.

Direction: gNB-DU → gNB-CU

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| IE/Group Name | Presence | Range | IE type and reference | Semantics description | Criticality | Assigned Criticality |
| Message Type | M |  | 9.3.1.1 |  | YES | ignore |
| Transaction ID | M |  | 9.3.1.23 |  | YES | ignore |
| Time Reference Information | M |  | 9.3.1.YY |  | YES | ignore |

*Next Chang*

#### 9.3.1.47 Dynamic 5QI Descriptor

This IE indicates the QoS Characteristics for a Non-standardised or not pre-configured 5QI for downlink and uplink.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **IE/Group Name** | **Presence** | **Range** | **IE type and reference** | **Semantics description** | **Criticality** | **Assigned Criticality** |
| QoS Priority Level | M |  | INTEGER (1..127) | For details see TS 23.501 [21]. | - |  |
| Packet Delay Budget | M |  | 9.3.1.51 | For details see TS 23.501 [21]. | - |  |
| Packet Error Rate | M |  | 9.3.1.52 | For details see TS 23.501 [21]. | - |  |
| 5QI | O |  | INTEGER (0..255,...) | This IE contains the dynamically assigned 5QI as specified in TS 23.501 [21]. | - |  |
| Delay Critical | C-ifGBRflow |  | ENUMERATED (delay critical, non-delay critical) | For details see TS 23.501 [21]. | - |  |
| Averaging Window | C-ifGBRflow  |  | 9.3.1.53 | For details see TS 23.501 [21]. | - |  |
| Maximum Data Burst Volume | O |  | 9.3.1.54 | For details see TS 23.501 [21]. This IE shall be included if the *Delay Critical* IE is set to “delay critical” and is ignored otherwise. | - |  |
| CN Packet Delay Budget | O |  | Packet Delay Budget9.3.1.51 | Core Network Packet Delay Budget is specified in TS 23.501 [9].This IE may be present in case of GBR QoS flows and is ignored otherwise. | YES | ignore |

|  |  |
| --- | --- |
| **Condition** | **Explanation** |
| ifGBRflow | This IE shall be present if the *GBR QoS Flow Information* IE is present in the *QoS Flow Level QoS Parameters* IE. |

*Next Change*

#### 9.3.1.49 Non Dynamic 5QI Descriptor

This IE indicates the QoS Characteristics for a standardized or pre-configured 5QI for downlink and uplink.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **IE/Group Name** | **Presence** | **Range** | **IE type and reference** | **Semantics description** | **Criticality** | **Assigned Criticality** |
| 5QI | M |  | INTEGER (0..255,...) | This IE contains the standardized or pre-configured 5QI as specified in TS 23.501 [21] | - |  |
| Priority Level | O |  | INTEGER (1..127) | For details see TS 23.501 [21]. When included overrides standardized or pre-configured value. | - |  |
| Averaging Window | O |  | 9.3.1.53 | For details see TS 23.501 [21]. When included overrides standardized or pre-configured value. | - |  |
| Maximum Data Burst Volume | O |  | 9.3.1.54 | For details see TS 23.501 [21]. When included overrides standardized or pre-configured value. | - |  |
| CN Packet Delay Budget | O |  | Packet Delay Budget9.3.1.51 | Core Network Packet Delay Budget is specified in TS 23.501 [9].This IE may be present in case of GBR QoS flows and is ignored otherwise. | YES | ignore |

*Next Change*

#### 9.3.1.51 Packet Delay Budget

This IE indicates the Packet Delay Budget for a QoS flow.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **IE/Group Name** | **Presence** | **Range** | **IE type and reference** | **Semantics description** |
| Packet Delay Budget | M |  | INTEGER (0..1023, ...) | Upper bound value for the delay that a packet may experience expressed in unit of 0.5ms. |
| Fractional Part of PDB | O |  | INTEGER (1..49) | If present, overall packet delay budget is obtained by adding the value of this IE to the Packet Delay Budget. Expressed in units of 0.01 ms.  |

*Next Change*

#### 9.3.1.x TSC Traffic Characteristics

This IE provides the traffic characteristics of TSC QoS flows.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| IE/Group Name | Presence | Range | IE type and reference | Semantics description |
| TSC Assistance Information Downlink | O |  | TSC Assistance Information9.3.1.y |  |
| TSC Assistance Information Uplink | O |  | TSC Assistance Information9.3.1.y |  |

#### 9.3.1.y TSC Assistance Information

This IE provides the TSC assistance information for a TSC QoS flow in the uplink or downlink (see TS 23.501 [9]).

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| IE/Group Name | Presence | Range | IE type and reference | Semantics description |
| Periodicity | M |  | 9.3.1.xx | Periodicity as specified in TS 23.501 [9]. |
| Burst Arrival Time | O |  | 9.3.1.yy | Burst Arrival Time as specified in TS 23.501 [9]. |

#### 9.3.1.xx Periodicity

This IE indicates the Periodicity as defined in TS 23.501 [21].

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| IE/Group Name | Presence | Range | IE type and reference | Semantics description |
| Periodicity  | M |  | INTEGER (0..640000, …) | Periodicity expressed in units of 1 us. |

#### 9.3.1.yy Burst Arrival Time

This IE indicates the Burst Arrival Time as defined in TS 23.501 [21].

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| IE/Group Name | Presence | Range | IE type and reference | Semantics description |
| Burst Arrival Time | M |  | OCTET STRING | Encoded in the same format as the *ReferenceTime* IE as defined in TS 38.331 [18]. The value is truncated to 1 us granularity. |

#### 9.3.1.XX Reporting Request Type

This IE indicates the type of accurate reference time information reporting to be handled by the gNB-DU.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| IE/Group Name | Presence | Range | IE type and reference | Semantics description |
| Event Type | M |  | ENUMERATED (on demand, periodic, stop, …) |  |
| Periodic | C-ifEventTypeisPeriodic |  |  |  |
| >Report Periodicity Value | M |  | FFS | Indicates the periodicity of accurate reference time information report, Unit in radio frame. |

Editor’s note:  The exact signaling format is FFS to be decided by RAN2

|  |  |
| --- | --- |
| C-ifEventYpeisStop | Explanation |
| ifEventTypeisPeriodic | This IE shall be present if the *Event Type* IE is set to "periodic". |

#### 9.3.1.YY Time Reference Information

This IE contains the time reference information.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| IE/Group Name | **Presence** | **Range** | **IE type and reference** | **Semantics description** |
| Reference Time | M |  | 9.3.1.ZZ |  |
| Reference SFN | M |  | INTEGER (0..1023) |  |
| Uncertainty | O |  | FFS | Indicates the number of LSBs which may be inaccurate in the *refTenNanoSeconds* of *Time* IE, refer 6.3.2 ofTS 38.331 [8]. |
| Time Information Type | O |  | ENUMERATED {localClock} |  |

Editor’s note:  The exact signaling format is FFS to be decided by RAN2

#### 9.3.1.ZZ Reference Time

This IE provides the accurate Reference Time information.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| IE/Group Name | Presence | Range | IE type and reference | Semantics description |
| Reference Time | M |  | OCTET STRING | Includes the *ReferenceTime* IE as defined in 6.3.2 ofTS 38.331 [8].  |

*Next Change*

\*\* ASN.1 to be added later \*\*

*End of Text Proposal for TS 38.473*