**3GPP TSG-RAN WG3 Meeting #114b-e *R3-220326***

**E-meeting, 17-26 Jan 2022**

**Title:** Rapporteurs proposed editorial update of F1AP

**Source:** Huawei

**Agenda item:** 31.1.2

**Document Type:** discussion

# 1. Introduction

This paper contains a collection of editorial updates for F1AP in the annex.

List of changes

* Misc editorial
* CellGroupConfig IE is mandatory but described as optional. in: 8.3.1, 8.3.4, 8.3.5
* Correct IE names in procedure text in: 8.3.1.2, 8.10.1.2, 8.3.4.2
* NG-RAN node -> gNB in: 9.2.1.20,9.3.1.81, 9.3.1.89, 9.3.1.125
* Aligned IE order in tabular in: 9.3.1.10
* Correct IE names in tabular in: 9.3.1.111, 9.3.1.112, 9.3.1.134
* Fix indentatation in lists in: 9.3.1.134
* Fixed reference in: 9.3.1.18
* changed between CU/DU in: 9.3.1.5
* wrong presence in tabular in: 9.3.1.72, 9.3.1.127
* Rename of IEs in: 9.4.5
* Add missing criticlity in: 9.3.1.83
* Add preamble like "gNB-XX initiates the procedure ..." in: 8.4.x, 8.8.x, 8.13.x

Not yet implemented

* Aligning O or 0..1 for lists

# Annex – TP

# 8 F1AP procedures

## 8.3 UE Context Management procedures

### 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,DRB, BH RLC channel, and SL 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. 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 *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 *Additional* *Duplication Indication* IE is contained in the *SRB To Be Setup List* IE, the gNB-DU shall, if supported, setup the indicated 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.

For each GBR DRB, if the *Alternative QoS Parameters Sets* IE is included in the *GBR QoS Flow Information* IE in the UE CONTEXT SETUP REQUEST message, gNB-DU shall, if supported, behave the same as the NG-RAN node in the PDU Session Resource Setup procedure, specified in TS 38.413 [3].

If the *BH Information* IE is included in the *UL UP TNL Information to be setup List* IE or the *Additional PDCP Duplication TNL List* IE for a DRB, the gNB-DU shall, if supported, use the indicated BAP Routing ID and BH RLC channel for transmission of the corresponding GTP-U packets to the IAB-donor, as specified in TS 38.340 [30].

If the *BH RLC Channel To Be Setup List* IE is included in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall act as specified in TS 38.401 [4]. If the *Traffic Mapping Information* IE is included in the *BH RLC Channel To Be Setup Item IEs* IE for a BH RLC Channel, the gNB-DU shall, if supported, process the *Traffic Mapping Information* IE as follows:

- if the *IP to layer2 Traffic Mapping Info* IE is included, the gNB-DU shall store the mapping information contained in the *IP to layer2 Traffic Mapping Info To Add* IE, if present, for the egress BH RLC channel identified by the *BH RLC CH ID* IE, and shall remove the previously stored mapping information as indicated by the *IP to layer2 Mapping Traffic Info To Remove* IE, if present. The gNB-DU shall use the mapping information stored for the mapping of IP traffic to layer 2, as specified in TS 38.340 [30].

- if the *BAP layer BH RLC channel Mapping Info* IE is included, the gNB-DU shall store the mapping information contained in the *BAP layer BH RLC channel Mapping Info To Add* IE, if present, for the egress or ingress BH RLC channel identified by the *BH RLC CH ID* IE, and shall remove the previously stored mapping information as indicated by the *BAP layer BH RLC channel Mapping Info To Remove* IE, if present. The gNB-DU shall use the mapping information stored when forwarding traffic on BAP sublayer, as specified in TS 38.340 [30].

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 one or two *Additional PDCP Duplication UP TNL Information* IEs are included in the UE CONTEXT SETUP REQUEST message for a DRB, the gNB-DU shall, if supported, include one or two *Additional PDCP Duplication UP TNL Information* IEs in the UE CONTEXT SETUP RESPONSE message and setup one or two additional RLC entities for the indicated DRB. The gNB-CU and the gNB-DU use the *Additional PDCP Duplication UP TNL Information* IEs to support packet duplication for intra-gNB-DU CA as defined in TS 38.470 [2].

If *Duplication Activation IE* is included in the UE CONTEXT SETUP REQUEST message for a DRB, gNB-DU should take it into account when activating/deactivating CA based PDCP duplication for the DRB. If the *RLC Duplication State List* IE is included in the *RLC Duplication Information* IE contained in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall, if supported, take it into account when activating/deactivating CA based PDCP duplication for the DRB with more than two RLC entities.

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 activating/deactivating DC based PDCP duplication for this DRB. If the *RLC Duplication State List* IE is included in the *RLC Duplication Information* IE contained in the UE CONTEXT SETUP REQUEST message for a DRB, the gNB-DU shall, if supported, take it into account when activating/deactivating DC based PDCP duplication for the DRB with more than two RLC entities. If the *Primary Path Indication* IE is included in the *RLC Duplication Information* IE, the gNB-DU shall, if supported, take it into account when performing DC based PDCP duplication for the DRB with more than two RLC entities.

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, SRBs and BH RLC channels 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.

- A list of BH RLC channels which are successfully established shall be included in the *BH RLC Channel Setup List* IE;

- A list of BH RLC channels which failed to be established shall be included in the *BH RLC Channel Failed to be Setup List* IE;

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

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

When the gNB-DU reports the unsuccessful establishment of a DRB or SRB or SL DRB or a BH RLC channel, 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].

For sidelink operation, the *CG-ConfigInfo* IE shall be included in the *CU to DU RRC Information* IE if the gNB-CU receives sidelink related UE information from UE. If the *CG-ConfigInfo* IE is included in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall regard it as an indication of V2X sidelink information 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 shall only initiate the UE Context Setup procedure for handover or secondary node addition when at least one DRB is setup for the UE, or at least one BH RLC channel is set up for IAB-MT. If the *HandoverPreparationInformation* IE containing the sidelink related UE information is included in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall regard it as an indication of V2X sidelink information as defined in TS 38.331 [8].

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.

If the *MeasConfig* IE is included in the *CU to DU RRC Information* IE in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall deduce that changes to the measurements configuration need to be applied. If the *measObjectToAddModList* IE is included in the *MeasConfig* IE, then the frequencies added in such IE are to be activated. Then the gNB-DU shall decide if measurement gaps are needed or not and, if needed, 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. If the *measObjectToRemoveList* IE is included in the *MeasConfig* IE, the gNB-DU shall ignore it.

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 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.

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.

The *UEAssistanceInformationEUTRA* 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 *UEAssistanceInformationEUTRA* 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 LTE sidelink 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 *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 contained in the UE CONTEXT SETUP REQUEST message 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 contained 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].

In particular, the gNB-DU shall, if supported:

- if the *Trace Activation* IE includes the *MDT Activation* IE set to "Immediate MDT and Trace", initiate the requested trace session and MDT session as described in TS 32.422 [29];

- if the *Trace Activation* IE includes the *MDT Activation* IE set to "Immediate MDT Only", initiate the requested MDT session as described in TS 32.422 [29] and the gNB-DU shall ignore Interfaces To Trace IE, and Trace Depth IE. If the *Management Based MDT PLMN List* IE is contained in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall, if supported, store the received information in the UE context, and use this information to allow subsequent selection of the UE for management based MDT defined in TS 32.422 [29].

For each QoS flow whose DRB has been successfully established and the *QoS Monitoring Request* IE was included in the *QoS Flow Level QoS Parameters* IE contained in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall store this information, and, if supported, perform delay measurement and QoS monitoring, as specified in TS 23.501 [21].

If the UE CONTEXT SETUP REQUEST message contains the *Configured* *BAP Address* IE, the gNB-DU shall, if supported, store this BAP address configured for the corresponding child IAB-node and use it as specified in TS 38.340 [30].

If the *BAP Control PDU Channel* IE is included in the *BH RLC Channel to be Setup List* IE, the gNB-DU shall, if supported, consider that the configured BH RLC channel can be used to transmit BAP Control PDUs, and use this BH RLC channel as specified in TS 38.340 [30].

If the *F1-C Transfer Path* IE is included in UE CONTEXT SETUP REQUEST message, the gNB-DU shall, if supported, take it into account.

If the *NR* *V2X Services Authorized* IE is contained in the UE CONTEXT SETUP REQUEST message and it contains one or more IEs set to "authorized", the gNB-DU node shall, if supported, consider that the UE is authorized for the relevant service(s).

If the *LTE V2X Services Authorized* IE is contained in the UE CONTEXT SETUP REQUEST message and it contains one or more IEs set to "authorized", the gNB-DU node shall, if supported, consider that the UE is authorized for the relevant service(s).

If the *NR UE Sidelink Aggregate Maximum Bit Rate* IE is contained in theUE CONTEXT SETUP REQUEST message, the gNB-DU shall, if supported, use it for the concerned UE's sidelink communication in network scheduled mode for NR V2X services.

If the *LTE UE Sidelink Aggregate Maximum Bit Rate* IE is contained in theUE CONTEXT SETUP REQUEST message, the gNB-DU shall, if supported, use it for the concerned UE's sidelink communication in network scheduled mode for LTE V2X services.

If the *PC5 Link Aggregate Bit Rate* IE is contained in theUE CONTEXT SETUP REQUEST message, the gNB-DU shall, if supported, use it for the concerned UE's sidelink communication in network scheduled mode for NR V2X services as defined in TS 23.287 [40].

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.

If the *Conditional Inter-DU Mobility Information* IE is included in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall consider that the request concerns a conditional handover or conditional PSCell change for the included *SpCell ID* IE and shall include it as the *Requested Target Cell ID* IE in the UE CONTEXT SETUP RESPONSE message. The gNB-DU shall regard it as a reconfiguration with sync as defined in TS 38.331 [8].

If the *Target gNB-DU UE F1AP ID* IE is contained in the *Conditional Inter-DU Mobility Information* IE included in the UE CONTEXT SETUP REQUEST message, then the gNB-DU shall replace the existing prepared conditional handover or conditional PSCell change identified by the *Target gNB-DU UE F1AP ID* IE and the *SpCell ID* IE.

If the *Serving NID* IE is contained in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall combine the *Serving NID* IE with the *Serving PLMN* IEto identify the serving NPN, and may take it into account for UE context establishment.

If the *Estimated Arrival Probability* IE is contained in the *Conditional Inter-DU Mobility Information* IE included in the UE CONTEXT SETUP REQUEST message, then the gNB-DU may use the information to allocate necessary resources for the UE.

#### 8.3.1.3 Unsuccessful Operation



Figure 8.3.1.3-1: UE Context Setup Request procedure: unsuccessful Operation

If the gNB-DU is not able to establish an F1 UE context, or cannot even establish one bearer it shall consider the procedure as failed and reply with the UE CONTEXT SETUP FAILURE message. If the *Conditional Inter-DU Mobility Information* IE was included in the UE CONTEXT SETUP REQUEST message, the gNB-DU shall include the received *SpCell ID* IE as the *Requested Target Cell ID* IE in the UE CONTEXT SETUP FAILURE message.

If the gNB-DU is not able to accept the *SpCell ID* IE in UE CONTEXT SETUP REQUEST message, it shall reply with the UE CONTEXT SETUP FAILURE message with an appropriate cause value. Further, if the *Candidate SpCell List* IEis included in the UE CONTEXT SETUP REQUEST message and the gNB-DU is not able to accept the *SpCell ID* IE, the gNB-DU shall, if supported, include the *Potential SpCell List* IE in the UE CONTEXT SETUP FAILURE message and the gNB-CU should take this into account for selection of an opportune SpCell. The gNB-DU shall include the cells in the *Potential SpCell List* IE in a priority order, where the first cell in the list is the one most desired and the last one is the one least desired (e.g., based on load conditions). If the *Potential SpCell List* IE is present but no *Potential SpCell Item* IE is present, the gNB-CU should assume that none of the cells in the *Candidate SpCell List* IE are acceptable for the gNB-DU.

#### 8.3.1.4 Abnormal Conditions

If the gNB-DU receives a UE CONTEXT SETUP REQUEST message containing a *E-UTRAN QoS* IE for a GBR QoS DRB but where the *GBR QoS Information* IE is not present, the gNB-DU shall report the establishment of the corresponding DRB as failed in the *DRB Failed to Setup List* IE of the UE CONTEXT SETUP RESPONSE message with an appropriate cause value. If the gNB-DU receives a UE CONTEXT SETUP REQUEST message containing a *DRB QoS* IE for a GBR QoS DRB but where the *GBR QoS Flow Information* IE is not present, the gNB-DU shall report the establishment of the corresponding DRBs as failed in the *DRB Failed to Setup List* IE of the UE CONTEXT SETUP RESPONSE message with an appropriate cause value.

If the *Delay Critical* IE is included in the *Dynamic 5QI Descriptor* IE within the *DRB QoS* IE in the UE CONTEXT SETUP REQUEST message and is set to the value "delay critical" but the *Maximum Data Burst Volume* IE is not present, the gNB-DU shall report the establishment of the corresponding DRB as failed in the *DRB Failed to Setup List* IE of the of the UE CONTEXT SETUP RESPONSE message with an appropriate cause value.

In case of "CHO-replace" when the *Target gNB-DU UE F1AP ID* IE is included, if the candidate cell in the *SpCell ID* IE included in the UE CONTEXT SETUP REQUEST message was not prepared using the same UE-associated signaling connection, the gNB-DU shall ignore this candidate cell.

### 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 or sidelink 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 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 *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 SCells to be removed.

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 *Additional* *Duplication Indication* IE is contained in the *SRB To Be Setup List* IE, the gNB-DU shall, if supported, setup the indicated RLC entities for the indicated SRB.

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 the *BH Information* IE is included in the *UL UP TNL Information to be setup List* IE or the *Additional PDCP Duplication TNL List* IE for a DRB, the gNB-DU shall, if supported, use the indicated BAP Routing ID and BH RLC channel for transmission of the corresponding GTP-U packets to the IAB-donor, as specified in TS 38.340 [30].

If the *BH RLC Channel To Be Setup List* IE is included in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall act as specified in TS 38.401 [4]. If the *Traffic Mapping Information* IE is included in the *BH RLC Channel To Be Setup Item IEs* IE for a BH RLC Channel, the gNB-DU shall, if supported, process the *Traffic Mapping* Information IE following the behaviour described for the UE Context Setup procedure.

If the *BH RLC Channel To Be Modified List* IE is included in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall act as specified in TS 38.401 [4]. If the *Traffic Mapping Information* IE is included in the *BH RLC Channel To Be Modified Item IEs* IE for a BH RLC Channel, the gNB-DU shall, if supported, process the *Traffic Mapping Information* IE following the behaviour described for the UE Context Setup procedure.

If the *BH RLC Channel To Be Released List* IE is included in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall release the BH RLC channels in the list.

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 one or two *Additional PDCP Duplication UP TNL Information* IEs are included in the UE CONTEXT MODIFICATION REQUEST message for a DRB, the gNB-DU shall, if supported, include one or two *Additional PDCP Duplication UP TNL Information* IEs in the UE CONTEXT MODIFICATION RESPONSE message and setup one or two additional RLC entities for the indicated DRB. The gNB-CU and the gNB-DU use the *Additional PDCP Duplication UP TNL Information* IEs to support packet duplication for intra-gNB-DU CA as defined in TS 38.470 [2]*.*

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 activating/deactivating CA based PDCP duplication for the DRB. If the *RLC Duplication State List* IE is included in the *RLC Duplication Information* IE contained in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall, if supported, take it into account for the DRB with more than two RLC entities.

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 activating/deactivating DC based PDCP duplication for this DRB. If the *RLC Duplication State List* IE is included in the *RLC Duplication Information* IE contained in the UE CONTEXT MODIFICATION REQUEST message for a DRB, the gNB-DU shall, if supported, take it into account when activating/deactivating DC based PDCP duplication for the DRB with more than two RLC entities. If the *Primary Path Indication* IE is included in the *RLC Duplication Information* IE, the gNB-DU shall, if supported, take it into account when performing DC based PDCP duplication for the DRB with more than two RLC entities.

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 *RRC Reconfiguration Complete Indicator* IE is included in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall consider the ongoing reconfiguration procedure involving changes of the L1/L2 configuration at the gNB-DU signalled to the gNB-CU via the *CellGroupConfig* IE for MR-DC operation or standalone operation has been successfully performed when such IE is set to ‘true’; otherwise (when such IE is set to ‘failure’), the gNB-DU shall consider the ongoing reconfiguration procedure has been failed and it shall continue to use the old L1/L2 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.

If the *MeasConfig* IE is included in the *CU to DU RRC Information* IE in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall deduce that changes to the measurements’ configuration need to be applied. The gNB-DU shall take the received info, e.g. the *measObjectToAddModList* IE, and/or the *measObjectToRemoveList* IE into account, when generating measurement gap and when deciding if a measurement gap is needed or not.

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 sidelink operation, the *CG-ConfigInfo* IE shall be included in the *CU to DU RRC Information* IE if the gNB-CU receives sidelink related UE information from UE. If the *CG-ConfigInfo* IE is included in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall regard it as an indication of V2X sidelink information as defined in TS 38.331 [8].

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 *UEAssistanceInformationEUTRA* 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 *UEAssistanceInformationEUTRA* 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 LTE sidelink 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, SRBs and BH RLC Channels 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.

- A list of BH RLC channels which are successfully established shall be included in the *BH RLC Channel Setup List* IE;

- A list of BH RLC channels which failed to be established shall be included in the *BH RLC Channel Failed to be Setup List* IE;

- A list of BH RLC channels which are successfully modified shall be included in the *BH RLC Channel Modified List* IE;

- A list of BH RLC channels which failed to be modified shall be included in the *BH RLC Channel Failed to be Modified List* IE;

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

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

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

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

For each GBR DRB, if the *Alternative QoS Parameters Sets* IE is included in the *GBR QoS Flow Information* IE in the UE CONTEXT MODIFICATION REQUEST message, gNB-DU shall, if supported, behave the same as the NG-RAN node in the PDU Session Resource Setup procedure, specified in TS 38.413 [3].

If the *BAP Control PDU Channel* IE is included in the *BH RLC Channel to be Setup List* IE, the gNB-DU shall, if supported, consider that the configured BH RLC channel can be used to transmit BAP Control PDUs, and use this BH RLC channel as specified in TS 38.340 [30].

If the *BAP Control PDU Channel* IE is included in the *BH RLC Channel to be Modified List* IE, the gNB-DU shall, if supported, consider that the configured BH RLC channel can be used to transmit BAP Control PDUs, and use this BH RLC channel as specified in TS 38.340 [30]. Otherwise, if the *BAP Control PDU Channel* IE is not present for any BH RLC channel, any available BH RLC channel can be used to transmit BAP Control PDUs as specified in TS 38.340 [30].

If the *F1-C Transfer Path* IE is included in UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall, if supported, take it into account.

When the gNB-DU reports the unsuccessful establishment of a DRB or SRB or SL DRB or a BH RLC channel, 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 *DU to CU RRC Information* IE is included 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 MODIFICATION 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 in the UE CONTEXT MODIFICATION REQUEST, 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 *gNB-DU UE Aggregate Maximum Bit Rate Uplink* IE shall be sent in the UE CONTEXT MODIFICATION REQUEST 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* IE.

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 *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 REQUEST, 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 REQUEST 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.

For each QoS flow whose DRB has been successfully established or modified and the *QoS Monitoring Request* IE was included in the *QoS Flow Level QoS Parameters* IE contained in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall store this information, and, if supported, perform delay measurement and QoS monitoring, as specified in TS 23.501 [21].

If the *NR* *V2X Services Authorized* IE is contained in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall, if supported, update its V2X services authorization information for the UE accordingly. If the *NR* *V2X Services Authorized* IE includes one or more IEs set to "not authorized", the gNB-DU shall, if supported, initiate actions to ensure that the UE is no longer accessing the relevant service(s).

If the *LTE* *V2X Services Authorized* IE is contained in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall, if supported, update its V2X services authorization information for the UE accordingly. If the *LTE* *V2X Services Authorized* IE includes one or more IEs set to "not authorized", the gNB-DU shall, if supported, initiate actions to ensure that the UE is no longer accessing the relevant service(s).

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

- replace the previously provided UE LTE Sidelink Aggregate Maximum Bit Rate, if available in the UE context, with the received value;

- use the received value for the concerned UE’s sidelink communication in network scheduled mode for LTE V2X services.

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

- replace the previously provided UE NR Sidelink Aggregate Maximum Bit Rate, if available in the UE context, with the received value;

- use the received value for the concerned UE’s sidelink communication in network scheduled mode for NR V2X services.

If the *PC5 Link Aggregate Maximum Bit Rate* IE is included in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall, if supported:

- replace the previously provided UE PC5 Link Aggregate Bit Rate, if available in the UE context, with the received value;

- use the received value for the concerned UE’s sidelink communication in network scheduled mode for NR V2X services as defined in TS 23.287 [40].

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.

If the *Conditional Intra-DU Mobility Information* IE is included in the UE CONTEXT MODIFICATION REQUEST message and the CHO Trigger is set to "CHO-initiation", the gNB-DU shall consider that the request concerns a conditional handover or conditional PSCell change for the included *SpCell ID* IE and shall include it as the *Requested Target Cell ID* IE in the UE CONTEXT MODIFICATION RESPONSE message. The gNB-DU shall regard it as a reconfiguration with sync as defined in TS 38.331 [8].

If the *Conditional Intra-DU Mobility Information* IE is included in the UE CONTEXT MODIFICATION REQUEST message and the CHO Trigger is set to "CHO-replace", the gNB-DU shall replace the existing prepared conditional mobility identified by the *gNB-DU UE F1AP ID* IE and the *SpCell ID* IE.

If the *Conditional Intra-DU Mobility Information* IE is included in the UE CONTEXT MODIFICATION REQUEST message and the CHO Trigger is set to "CHO-cancel", the gNB-DU shall consider that the gNB-CU is about to remove any reference to, and release any resources previously reserved for the candidate cells associated to the UE-associated signalling identified by the *gNB-CU UE F1AP ID* IE and the *gNB-DU UE F1AP ID* IE. If the *Candidate Cells To Be Cancelled List* IE is also included in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall consider that only the resources reserved for the cells identified by the included NR CGIs are about to be released by the gNB-CU.

If the *Transmission Stop Indicator* IE is included within the *DRB to Be Modified Item* IE in the UE CONTEXT MODIFICATION REQUEST message and set to “true”, the gNB-DU shall, if supported, stop the data transmission for the DRB. It is up to gNB-DU implementation when to stop the UE scheduling for that DRB.

If the *SCG Indicator* IE is contained in the UE CONTEXT MODIFICATION REQUEST message and it is set to “released”, the gNB-DU shall, if supported, deduce that an SCG is removed.

If the *Estimated Arrival Probability* IE is contained in the *Conditional Intra-DU Mobility Information* IE included in the UE CONTEXT MODIFICATION REQUEST message, then the gNB-DU may use the information to allocate necessary resources for the UE.

#### 8.3.4.3 Unsuccessful Operation



Figure 8.3.4.3-1: UE Context Modification procedure. Unsuccessful operation

In case none of the requested modifications of the UE context can be successfully performed, the gNB-DU shall respond with the UE CONTEXT MODIFICATION FAILURE message with an appropriate cause value. If the *Conditional Intra-DU Mobility Information* IE was included in the UE CONTEXT MODIFICATION REQUEST message and set to "CHO-initiation", the gNB-DU shall include the received *SpCell ID* IE as the *Requested Target Cell ID* IE in the UE CONTEXT MODIFICATION FAILURE message.

If the gNB-DU is not able to accept the *SpCell ID* IE in UE CONTEXT MODIFICATION REQUEST message, it shall reply with the UE CONTEXT MODIFICATION FAILURE message.

If the *Conditional Intra-DU Mobility Information* IE was included and set to "CHO-initiation" or "CHO-replace" but the *SpCell ID* IE was not included in the UE CONTEXT MODIFICATION REQUEST message, the gNB-DU shall respond with the UE CONTEXT MODIFICATION FAILURE message with an appropriate cause value.

#### 8.3.4.4 Abnormal Conditions

If the gNB-DU receives a UE CONTEXT MODIFICATION REQUEST message containing a *E-UTRAN QoS* IE for a GBR QoS DRB but where the *GBR QoS Information* IE is not present, the gNB-DU shall report the establishment of the corresponding DRB as failed in the *DRB Failed to Setup List* IE of the UE CONTEXT MODIFICATION RESPONSE message with an appropriate cause value.

If the gNB-DU receives a UE CONTEXT MODIFICATION REQUEST message containing a *DRB QoS* IE for a GBR QoS DRB but where the *GBR QoS Flow Information* IE is not present, the gNB-DU shall report the establishment of the corresponding DRBs as failed in the *DRB Failed to Setup List* IE of the UE CONTEXT MODIFICATION RESPONSE message with an appropriate cause value.

If the *Delay Critical* IE is included in the *Dynamic 5QI Descriptor* IE within the *DRB QoS* IE in the UE CONTEXT MODIFICATION REQUEST message and is set to the value "delay critical" but the *Maximum Data Burst Volume* IE is not present, the gNB-DU shall report the establishment of the corresponding DRB as failed in the *DRB Failed to Setup List* IE of the of the UE CONTEXT MODIFICATION RESPONSE message with an appropriate cause value.

If one or more candidate cells in the *Candidate Cells To Be Cancelled List* IE included in the UE CONTEXT MODIFICATION REQUEST message were not prepared using the same UE-associated signaling connection, the gNB-DU shall ignore those non-associated candidate cells.

In case of "CHO-replace" when the *Target gNB-DU UE F1AP ID* IE is included, if the candidate cell in the *SpCell ID* IE included in the UE CONTEXT MODIFICATION REQUEST message was not prepared using the same UE-associated signalling connection, the gNB-DU shall ignore this candidate cell.

### 8.3.5 UE Context Modification Required (gNB-DU initiated)

#### 8.3.5.1 General

The purpose of the UE Context Modification Required procedure is to modify the established UE Context, e.g., modifying and releasing radio bearer resources, or sidelink radio bearer resources or candidate cells in conditional handover or conditional PSCell change. The procedure uses UE-associated signalling.

#### 8.3.5.2 Successful Operation



Figure 8.3.5.2-1: UE Context Modification Required procedure. Successful operation

The F1AP UE CONTEXT MODIFICATION REQUIRED message is initiated by the gNB-DU.

The gNB-CU reports the successful update of the UE context in the UE CONTEXT MODIFICATION CONFIRM message.

For a given bearer for which PDCP CA duplication was already configured, if two *DL UP TNL Information* IEs are included in UE CONTEXT MODIFICATION REQUIRED message for a DRB, the gNB-CU shall include two *UL UP TNL Information* IEs in UE CONTEXT MODIFICATION CONFIRM message. The 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], and the first *UP TNL Information* IE is still for the primary path.

For a given bearer for which PDCP CA duplication was already configured, if one or two *Additional PDCP Duplication UP TNL Information* IEs are included in the UE CONTEXT MODIFICATION REQUIRED message for a DRB, the gNB-CU shall, if supported, include one or two *Additional PDCP Duplication UP TNL Information* IEs in the UE CONTEXT MODIFICATION CONFIRM message. The gNB-CU and gNB-DU use the *Additional PDCP Duplication UP TNL Information* IEs to support packet duplication for intra-gNB-DU CA as defined in TS 38.470 [2].

If the *BH Information* IE is included in the *UL UP TNL Information to be setup List* IE or the *Additional PDCP Duplication TNL List* IE for a DRB, the gNB-DU shall, if supported, use the indicated BAP Routing ID and BH RLC channel for transmission of the corresponding GTP-U packets to the IAB-donor, as specified in TS 38.340 [30].

If the *Resource Coordination Transfer Container* IE is included in the UE CONTEXT MODIFICATION REQUIRED, 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].

For EN-DC operation, if the gNB-CU includes the *Resource Coordination Transfer Information* IE in the UE CONTEXT MODIFICATION CONFIRM 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 Modification Required procedures, the gNB-CU shall transparently transfer it to the gNB-DU via the *Resource Coordination Transfer Container* IE in the UE CONTEXT MODIFICATION CONFIRM 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 CONFIRM 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 CONFIRM 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 Modification Required procedures, the gNB-CU shall transparently transfer it to the gNB-DU via the *Resource Coordination Transfer Container* IE in the UE CONTEXT MODIFICATION CONFIRM 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].

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

If the *Candidate Cells To Be Cancelled List* IE is included in the UE CONTEXT MODIFICATION REQUIRED message, the gNB-CU shall consider that only the resources reserved for the candidate cells identified by the included NR CGIs and associated to the UE-associated signaling identified by the *gNB-CU UE F1AP ID* IE and the *gNB-CU UE F1AP ID* IE are about to be released by the gNB-DU.

#### 8.3.5.2A Unsuccessful Operation



Figure 8.3.5.2A-1: UE Context Modification Required procedure. Unsuccessful operation.

In case none of the requested modifications of the UE context can be successfully performed, the gNB-CU shall respond with the UE CONTEXT MODIFICATION REFUSE message with an appropriate cause value.

#### 8.3.5.3 Abnormal Conditions

If one or more candidate cells in the *Candidate Cells To Be Cancelled List* IE included in the UE CONTEXT MODIFICATION REQUIRED message were not prepared using the same UE-associated signaling connection, the gNB-CU shall ignore those non-associated candidate cells.

## 8.4 RRC Message Transfer procedures

### 8.4.1 Initial UL RRC Message Transfer

#### 8.4.1.1 General

The purpose of the Initial UL RRC Message Transfer procedure is to transfer the initial RRC message to the gNB-CU. The procedure uses non-UE-associated signaling.

#### 8.4.1.2 Successful operation

Figure 8.4.1.2-1: Initial UL RRC Message Transfer procedure.

The gNB-DU initiates the procedure by sending an INITIAL UL RRC MESSAGE TRANSFER. The establishment of the UE-associated logical F1-connection shall be initiated as part of the procedure.

If the *DU to CU RRC Container* IE is not included in the INITIAL UL RRC MESSAGE TRANSFER, the gNB-CU should reject the UE under the assumption that the gNB-DU is not able to serve such UE. If the gNB-DU is able to serve the UE, the gNB-DU shall include the *DU to CU RRC Container* IE and the gNB-CU shall configure the UE as specified in TS 38.331 [8]. The gNB-DU shall not include the *ReconfigurationWithSync* field in the *CellGroupConfig* IE as defined in TS 38.331 [8] of the *DU to CU RRC Container* IE.

If the *SUL Access Indication* IE is included in the INITIAL UL RRC MESSAGE TRANSFER, the gNB-CU shall consider that the UE has performed access on SUL carrier.

If the *RRC-Container-RRCSetupComplete* IE is included in the INITIAL UL RRC MESSAGE TRANSFER, the gNB-CU shall take it into account as specified in TS 38.401 [4].

#### 8.4.1.3 Abnormal Conditions

Not applicable.

### 8.4.2 DL RRC Message Transfer

#### 8.4.2.1 General

The purpose of the DL RRC Message Transfer procedure is to transfer an RRC message The procedure uses UE-associated signalling.

#### 8.4.2.2 Successful operation



Figure 8.4.2.2-1: DL RRC Message Transfer procedure

The gNB-CU initiates the procedure by sending a DL RRC MESSAGE TRANSFER message. If a UE-associated logical F1-connection exists, the DL RRC MESSAGE TRANSFER message shall contain the *gNB-DU UE F1AP ID* IE, which should be used by gNB-DU to lookup the stored UE context.If no UE-associated logical F1-connection exists, the UE-associated logical F1-connection shall be established at reception of the DL RRC MESSAGE TRANSFER message.

If the *Index to RAT/Frequency Selection Priority* IE is included in the DL RRC MESSAGE TRANSFER, the gNB-DU may use it for RRM purposes. If the *Additional RRM Policy Index* IE is included in the DL RRC MESSAGE TRANSFER, the gNB-DU may use it for RRM purposes.

The DL RRC MESSAGE TRANSFER message shall include, if available, the *old gNB-DU UE F1AP ID* IE so that the gNB-DU can retrieve the existing UE context in RRC connection reestablishment procedure, as defined in TS 38.401 [4].

The DL RRC MESSAGE TRANSFER message shall include, if SRB duplication is activated, the *Execute Duplication* IE, so that the gNB-DU can perform CA based duplication for the SRB.

If the gNB-DU identifies the UE-associated logical F1-connection by the *gNB-DU UE F1AP ID* IE in the DL RRC MESSAGE TRANSFER message and the *old gNB-DU UE F1AP ID* IE is included, it shall release the old gNB-DU UE F1AP ID and the related configurations associated with the old gNB-DU UE F1AP ID.

If the *UE Context not retrievable* IE set to "true" is included in the DL RRC MESSAGE TRANSFER, the DL RRC MESSAGE TRANSFER may contain the *Redirected RRC message* IE and use it as specified in TS 38.401 [4].

If the *UE Context not retrievable* IE set to "true" is included in the DL RRC MESSAGE TRANSFER, the DL RRC MESSAGE TRANSFER may contain the *PLMN Assistance Info for Network Sharing* IE, if available at the gNB-CU and may use it as specified in TS 38.401 [4].

If the DL RRC MESSAGE TRANSFER 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.

**Interactions with UE Context Release Request procedure:**

If the *UE Context not retrievable* IE set to "true" is included in the DL RRC MESSAGE TRANSFER, the gNB-DU may trigger the UE Context Release Request procedure, as specified in TS 38.401 [4].

#### 8.4.2.3 Abnormal Conditions

Not applicable.

### 8.4.3 UL RRC Message Transfer

#### 8.4.3.1 General

The purpose of the UL RRC Message Transfer procedure is to transfer an RRC message as an UL PDCP-PDU to the gNB-CU. The procedure uses UE-associated signalling.

#### 8.4.3.2 Successful operation



Figure 8.4.3.2-1: UL RRC Message Transfer procedure

The gNB-DU initiates the procedure by sending a UL RRC MESSAGE TRANSFER message. When the gNB-DU has received from the radio interface an RRC message to which a UE-associated logical F1-connection for the UE exists, the gNB-DU shall send the UL RRC MESSAGE TRANSFER message to the gNB-CU including the RRC message as a *RRC-Container* IE.

If the *Selected PLMN ID* IE is contained in the UL RRC MESSAGE TRANSFER message, the gNB-CU may use it as specified in TS 38.401 [4].

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

#### 8.4.3.3 Abnormal Conditions

Not applicable.

### 8.4.4 RRC Delivery Report

#### 8.4.4.1 General

The purpose of the RRC Delivery Report procedure is to transfer to the gNB-CU information about successful delivery of DL PDCP-PDUs including RRC messages. The procedure uses UE-associated signalling.

#### 8.4.4.2 Successful operation

gNB

-

DU

RRC DELIVERY REPORT

gNB

-

CU

Figure 8.4.4.2-1: RRC Delivery Report procedure.

The gNB-DU initiates the procedure by sending an RRC DELIVERY REPORT message. When the gNB-DU has successfully delivered an RRC message to the UE for which the gNB-CU has requested a delivery report, the gNB-DU shall send the RRC DELIVERY REPORT message to the gNB-CU containng the *RRC* *Delivery Status* IE and the *SRB ID* IE.

#### 8.4.4.3 Abnormal Conditions

Not applicable.

## 8.8 Trace Procedures

### 8.8.1 Trace Start

#### 8.8.1.1 General

The purpose of the Trace Start procedure is to allow the gNB-CU to request the gNB-DU to initiate a trace session for a UE. The procedure uses UE-associated signalling.

#### 8.8.1.2 Successful Operation



Figure 8.8.1.2-1: Trace start procedure: Successful Operation.

The gNB-CU initiates the procedure by sending a TRACE START message. Upon reception of the TRACE START message, the gNB-DU shall initiate the requested trace session for the requested UE, as described in TS 32.422 [29]. In particular, the gNB-DU shall, if supported:

- if the *Trace Activation* IE includes the *MDT Activation* IE set to "Immediate MDT and Trace" initiate the requested trace session and MDT session as described in TS 32.422 [29];

- if the *Trace Activation* IE includes the *MDT Activation* IE set to "Immediate MDT Only" initiate the requested MDT session as described in TS 32.422 [29] and the gNB-DU shall ignore *Interfaces To Trace* IE, and *Trace Depth* IE;

#### 8.8.1.3 Abnormal Conditions

Void.

### 8.8.2 Deactivate Trace

#### 8.8.2.1 General

The purpose of the Deactivate Trace procedure is to allow the gNB-CU to request the gNB-DU to stop the trace session for the indicated trace reference. The procedure uses UE-associated signalling.

#### 8.8.2.2 Successful Operation



Figure 8.8.2.2-1: Deactivate trace procedure: Successful Operation

The gNB-CU initiates the procedure by sending a DEACTIVATE TRACE message. Upon reception of the DEACTIVATE TRACE message, the gNB-DU shall stop the trace session for the indicated trace reference contained in the *Trace ID* IE, as described in TS 32.422 [29].

#### 8.8.2.3 Abnormal Conditions

Void.

### 8.8.3 Cell Traffic Trace

#### 8.8.3.1 General

The purpose of the Cell Traffic Trace procedure is to send the allocated Trace Recording Session Reference and the Trace Reference to the gNB-CU. The procedure uses UE-associated signalling.

#### 8.8.3.2 Successful Operation



Figure 8.8.3.2-1: Cell Traffic Trace procedure. Successful operation.

The procedure is initiated with a CELL TRAFFIC TRACE message sent from the gNB-DU to the gNB-CU.

If the *Privacy Indicator* IE is included in the message, the gNB-CU shall store the information so that it can be transferred towards the AMF.

#### 8.8.3.3 Abnormal Conditions

Void.

## 8.10 IAB Procedures

### 8.10.0 General

In this version of the specification, the IAB procedures are used to configure IAB-donor-DU or IAB-DU.

NOTE: The IAB procedures are applicable for IAB-nodes and IAB-donor-DU, where the term "gNB-DU" applies to IAB-DU and IAB-donor-DU, and the term "gNB-CU" applies to IAB-donor-CU, unless otherwise specified.

### 8.10.1 BAP Mapping Configuration

#### 8.10.1.1 General

The BAP Mapping Configuration Procedure is initiated by the gNB-CU in order to configure the DL/UL routing information and/or traffic mapping information needed for the gNB-DU. The procedure uses non-UE associated signalling.

NOTE: Implementation shall ensure the avoidance of potential race conditions, i.e. it shall ensure that conflicting traffic mapping configurations are not concurrently performed using the non-UE-associated BAP Mapping Configuration procedure and the UE-associated UE Context Management procedures.

#### 8.10.1.2 Successful Operation



Figure 8.10.1.2-1: BAP Mapping Configuration procedure: Successful Operation

The gNB-CU initiates the procedure by sending BAP MAPPING CONFIGURATION message to the gNB-DU. The gNB-DU replies to the gNB-CU with BAP MAPPING CONFIGURATION ACKNOWLEDGE.

If *BH Routing Information Added List* IE is included in the BAP MAPPING CONFIGURATION message, the gNB-DU shall, if supported, store the BH routing information from this IE and use it for DL/UL traffic forwarding as specified in TS 38.340 [30]. If *BH Routing Information Added List* IE contains information for an existing BAP Routing ID, the gNB-DU shall, if supported, replace the previously stored routing information for this BAP Routing ID with the corresponding information in the *BH Routing Information Added List* IE.

If *BH Routing Information Removed List* IE is included in the BAP MAPPING CONFIGURATION message, the gNB-DU shall, if supported, remove the BH routing information according to such IE.

If the *Traffic Mapping Information* IE is included in the BAP MAPPING CONFIGURATION message, the gNB-DU shall, if supported, process the *Traffic Mapping Information* IE as follows:

- if the *IP to layer2 Traffic Mapping Info* IE is included, the gNB-DU shall store the mapping information contained in the *IP to layer2 Traffic Mapping Info To Add* IE, if present, and remove the previously stored mapping information as indicated by the *IP to layer2 Traffic Mapping Info To Remove* IE, if present. The gNB-DU shall use the mapping information stored for the mapping of IP traffic to layer 2, as specified in TS 38.340 [30].

- if the *BAP layer BH RLC channel Mapping Info* IE is included, the gNB-DU shall store the mapping information contained in the *BAP layer BH RLC channel Mapping Info To Add* IE, if present, and remove the previously stored mapping information as indicated by the *BAP layer BH RLC channel Mapping Info To Remove* IE, if present. The gNB-DU shall use the mapping information stored when forwarding traffic on BAP sublayer, as specified in TS 38.340 [30].

#### 8.10.1.A Unsuccessful Operation



Figure 8.10.1.3-1: BAP Mapping Configuration procedure: Unsuccessful Operation

If the gNB-DU cannot accept the configuration, it shall respond with a BAP MAPPING CONFIGURATION FAILURE and appropriate cause value.

If the BAP MAPPING CONFIGURATION FAILURE message includes the Time To Wait IE, the gNB-CU shall wait at least for the indicated time before reinitiating the BAP MAPPING CONFIGURATION message towards the same gNB-DU.

#### 8.10.1.3 Abnormal Conditions

Not applicable.

### 8.10.2 gNB-DU Resource Configuration

#### 8.10.2.1 General

The gNB-DU Resource Configuration procedure is initiated by the gNB-CU in order to configure the resource usage for a gNB-DU. The procedure uses non-UE associated signalling.

In this version of the specification, this procedure is used to configure IAB resources.

#### 8.10.2.2 Successful Operation



Figure 8.10.2.2-1: gNB-DU Resource Configuration procedure: Successful Operation

The gNB-CU initiates the procedure by sending the GNB-DU RESOURCE CONFIGURATION message to gNB-DU. The gNB-DU replies to the gNB-CU with the GNB-DU RESOURCE CONFIGURATION ACKNOWLEDGE message.

For each cell in the *Activated Cells to Be Updated List* IE of the GNB-DU RESOURCE CONFIGURATION message, the gNB-DU shall store the resource configuration contained in the *IAB-DU Cell Resource Configuration-Mode-Info* IE and use it when performing scheduling in compliance with TS 38.213 [31].

If the *Child-Node List* IE is included in the GNB-DU RESOURCE CONFIGURATION message, for each child-node indicated by the *gNB-CU UE F1AP ID* IE and *gNB-DU UE F1AP ID* IE, and for each cell served by this child node indicated by the *NR CGI* IE in the *Child-Node Cells List* IE, the gNB-DU shall store the received information and use this information for scheduling, in compliance with TS 38.213 [31], clause 14.

#### 8.10.2.B Unsuccessful Operation



Figure 8.10.2.3-1: gNB-DU Resource Configuration procedure: Unsuccessful Operation

If the gNB-DU cannot accept the configuration, it shall respond with a GNB-DU RESOURCE CONFIGURATION FAILURE and appropriate cause value.

If the GNB-DU RESOURCE CONFIGURATION FAILURE message includes the Time To Wait IE, the gNB-CU shall wait at least for the indicated time before reinitiating the GNB-DU RESOURCE CONFIGURATION message towards the same gNB-DU.

#### 8.10.2.3 Abnormal Conditions

Not applicable.

### 8.10.3 IAB TNL Address Allocation

#### 8.10.3.1 General

The purpose of the IAB TNL Address Allocation procedure is to allocate TNL addresses to be used by the IAB-node(s).

NOTE: This procedure is applicable for IAB-donor-DU, where the term "gNB-DU" applies to IAB-donor-DU, and the term "gNB-CU" applies to IAB-donor-CU.

#### 8.10.3.2 Successful Operation



Figure 8.10.3.2-1: IAB TNL Address Allocation procedure: Successful Operation

The gNB-CU initiates the procedure by sending the IAB TNL ADDRESS REQUEST message to the gNB-DU.

If the IAB TNL ADDRESS REQUEST message contains the *IAB IPv4 Addresses Requested* IE, the gNB-DU shall allocate the individual TNL address(es) accordingly and include these IPv4 address(es) in the IAB TNL ADDRESS RESPONSE message.

If the IAB TNL ADDRESS REQUEST message contains the *IAB IPv6 Request Type* IE, the gNB-DU shall allocate the individual IPv6 address(es) or IPv6 address prefix(es) accordingly and include these IPv6 address(es) or IPv6 address prefix(es) in the IAB TNL ADDRESS RESPONSE message.

If the IAB TNL ADDRESS REQUEST message contains the *IAB TNL Addresses To Remove List* IE, the gNB-DU shall consider that the TNL address(es) and/or TNL address prefix(es) therein are no longer used by the IAB-node(s).

If the IAB TNL ADDRESS RESPONSE message contains the *IAB TNL Address Usage IE* in the *IAB Allocated TNL Address Item* IE, the gNB-CU shall consider the indicated TNL address usage when allocating a TNL address to an IAB-node. Otherwise, the gNB-CU shall consider that the TNL address can be used for all traffic when allocating the TNL address to an IAB-node.

#### 8.10.3.C Unsuccessful Operation



Figure 8.10.3.3-1: IAB TNL Address Allocation procedure: Unsuccessful Operation

If the gNB-DU cannot accept the request, it shall respond with an IAB TNL ADDRESS FAILURE and appropriate cause value.

If the IAB TNL ADDRESS FAILURE message includes the Time To Wait IE, the gNB-CU shall wait at least for the indicated time before reinitiating the IAB TNL ADDRESS REQUEST message towards the same gNB-DU.

#### 8.10.3.3 Abnormal Conditions

Not applicable.

### 8.10.4 IAB UP Configuration Update

#### 8.10.4.1 General

The purpose of the IAB UP Configuration Update procedure is to update the UP parameters including UL mapping configuration and the UL/DL UP TNL information between IAB-donor-CU and IAB-node. This procedure uses non-UE associated signalling.

NOTE: This procedure is applicable for IAB-nodes, where the term "gNB-DU" applies to IAB-DU, and the term "gNB-CU" applies to IAB-donor-CU.

NOTE: Implementation shall ensure the avoidance of potential race conditions, i.e. it shall ensure that the update of UP configuration (e.g. the UL/DL UP TNL information, UL mapping information) is not concurrently performed using the non-UE-associated IAB UP Configuration Update procedure and the UE-associated procedures for UE Context Management.

#### 8.10.4.2 Successful Operation



Figure 8.10.4.2-1: IAB UP Configuration Update procedure: Successful Operation

The gNB-CU initiates the procedure by sending the IAB UP CONFIGURATION UPDATE REQUEST message to the gNB-DU. The gNB-DU replies to the gNB-CU with the IAB UP CONFIGURATION UPDATE RESPONSE message.

If the *UL UP TNL Information to Update List* IE is included in the IAB UP CONFIGURATION UPDATE REQUEST message, the gNB-DU shall perform the mapping according to the new received *BH Information* IE for each F1-U GTP tunnel indicated by the *UL UP TNL Information* IE. If the *New UL UP TNL Information* IE is included in *UL UP TNL Information to Update List* IE, the gNB-DU shall use it to replace the information of UL F1-U GTP tunnel indicated by the *UL UP TNL Information* IE.

If the *UL UP TNL Address to Update List* IE is included in the IAB UP CONFIGURATION UPDATE REQUEST message, the gNB-DU shall replace the old TNL address with the new TNL address for all the maintained UL F1-U GTP tunnels corresponding to the old TNL address.

If the *DL UP TNL Address to Update List* IE is included in the IAB UP CONFIGURATION UPDATE RESPONSE message, the gNB-CU shall replace the old TNL address with the new TNL address for all the maintained DL F1-U GTP tunnels corresponding to the old TNL address.

#### 8.10.4.3 Unsuccessful Operation



Figure 8.10.4.3-1: IAB UP Configuration Update procedure: Unsuccessful Operation

If the gNB-DU receives an IAB UP CONFIGURATION UPDATE REQUEST message and cannot perform any update accordingly, it shall consider the update procedure as failed and respond with an IAB UP CONFIGURATION UPDATE FAILURE message and an appropriate cause value.

If the IAB UP CONFIGURATION UPDATE FAILURE message includes the *Time To Wait* IE, the gNB-CU shall wait at least for the indicated time before reinitiating the IAB UP CONFIGURATION UPDATE REQUEST message towards the same gNB-DU.

#### 8.10.4.4 Abnormal Conditions

Not applicable.

## 8.13 Positioning Procedures

### 8.13.1 Positioning Assistance Information Control

#### 8.13.1.1 General

The purpose of the Positioning Assistance Information Control procedure is to allow the gNB-CU to signal positioning assistance information to the gNB-DU for positioning assistance information broadcasting. The procedure uses non-UE-associated signalling.

#### 8.13.1.2 Successful Operation



Figure 8.13.1.2-1: Positioning Assistance Information Control procedure

The gNB-CU initiates the procedure by sending a POSITIONING ASSISTANCE INFORMATION CONTROL message.

If the *Positioning Assistance Information* IE is included in the POSITIONING ASSISTANCE INFORMATION CONTROL message, the gNB-DU shall, if supported, replace any previously stored positioning assistance information and use the received information to configure positioning assistance information broadcasting as specified in TS 38.455 [37].

If the *Broadcast* IE is included in the POSITIONING ASSISTANCE INFORMATION CONTROL message and set to "start", the gNB-DU may start broadcasting the positioning assistance information. If the *Broadcast* IE is included in the POSITIONING ASSISTANCE INFORMATION CONTROL message and set to "stop", the gNB-DU may stop broadcasting the positioning assistance information.

If the *Positioning Broadcast Cells* IE is included in the POSITIONING ASSISTANCE INFORMATION CONTROL message, the gNB-DU shall, if supported, consider that the received assistance information is applicable to the cells in this IE.

**Interaction with the Positioning Assistance Information Feedback procedure:**

If the *Routing ID* IE is included in the POSITIONING ASSISTANCE INFORMATION CONTROL message, the gNB-DU shall, if supported, store this information and include it in any future POSITIONING ASSISTANCE INFORMATION FEEDBACK messages associated to the requested positioning assistance information broadcasting.

#### 8.13.1.3 Abnormal Conditions

If the *Broadcast* IE is included in the POSITIONING ASSISTANCE INFORMATION CONTROL message and set to "start", and no positioning assistance information is available, the gNB-DU shall consider the procedure as failed.

If neither the *Positioning Assistance Information* IE nor the *Broadcast* IE are included in the POSITIONING ASSISTANCE INFORMATION CONTROL message, the gNB-DU shall consider the procedure as failed.

### 8.13.2 Positioning Assistance Information Feedback

#### 8.13.2.1 General

The purpose of the Positioning Assistance Information Feedback procedure is to allow the gNB-DU to give feedback to the gNB-CU on positioning assistance information broadcasting. The procedure uses non-UE-associated signalling.

#### 8.13.2.2 Successful Operation



Figure 8.13.2.2-1: Positioning Assistance Information Feedback procedure

The gNB-DU initiates the procedure by sending a POSITIONING ASSISTANCE INFORMATION FEEDBACK message. If the *Positioning Assistance Information Failure List* IE is included in the POSITIONING ASSISTANCE INFORMATION FEEDBACK message, the gNB-CU shall consider that positioning assistance information broadcasting could not be configured for the relevant information.

If the *Positioning Broadcast Cells* IE is included in the POSITIONING ASSISTANCE INFORMATION FEEDBACK message, the gNB-CU shall consider that the feedback provided is applicable to the cells in this IE.

If the *Routing ID* IE is included in the POSITIONING ASSISTANCE INFORMATION FEEDBACK message, the gNB-CU may use this information to identify the positioning assistance information broadcasting for which feedback is provided.

#### 8.13.2.3 Abnormal Conditions

Void.

### 8.13.3 Positioning Measurement

#### 8.13.3.1 General

The purpose of the Positioning Measurement procedure is to allow the gNB-CU to request one or more TRPs in the gNB-DU to perform and report positioning measurements. The procedure uses non-UE-associated signalling.

#### 8.13.3.2 Successful Operation



Figure 8.13.3.2-1: Positioning Measurement procedure: successful operation

The gNB-CU initiates the procedure by sending a POSITIONING MEASUREMENT REQUEST message to the gNB-DU, indicating in the *TRP Measurement Request List* IE the TRP(s) from which measurements are requested. The gNB-DU node shall use the included information to configure positioning measurements by the indicated TRP(s). If at least one of the requested measurements has been successful for at least one of the TRPs, the gNB-DU shall reply with the POSITIONING MEASUREMENT RESPONSE message including the *Positioning Measurement Response List* IE..

If the *Positioning Report Characteristics* IE is set to "OnDemand", the gNB-DU shall return the corresponding measurement results in the *Positioning Measurement Result List* IE in the POSITIONING MEASUREMENT RESPONSE message, and the gNB-CU shall consider that this reporting has been terminated by the gNB-DU.

If the *Measurement Beam Information Request* IE is included in the POSITIONING MEASUREMENT REQUEST message, the gNB-DU node shall include the *Measurement Beam Information* IE in the *Positioning Measurement Result* IE of the POSITIONING MEASUREMENT RESPONSE message.

If the *Measurement Quality* IE is included in the *Measurement Result* IE in the POSITIONING MEASUREMENT RESPONSE message, the gNB-CU may use it for further signalling. If the *Measurement Quality* IE includes the *Zenith Quality* IE, the gNB-CU may use it for further signalling.

If the *System Frame Number* IE and/or the *Slot Number* IE are included in the POSITIONING MEASUREMENT REQUEST message, the gNB-DU node shall, if supported, consider that the respective information indicates the activation time of SRS transmission.

**Interaction with the Positioning Measurement Report procedure:**

If the *Positioning Report Characteristics* IE is set to "Periodic", the gNB-DU shall initiate the corresponding measurements, and it shall reply with the POSITIONING MEASUREMENT RESPONSE message without including any measurement results in the message. The gNB-DU shall then periodically initiate the Positioning Measurement Report procedure for the corresponding measurements, with the requested reporting periodicity.

#### 8.13.3.3 Unsuccessful Operation



Figure 8.13.3.3-1: Positioning Measurement procedure: unsuccessful operation

If the gNB-DU is unable to configure any of the requested positioning measurements for any of the TRPs in the *TRP Measurement Request List* IE of the POSITIONING MEASUREMENT REQUEST message, it shall respond with a POSITIONING MEASUREMENT FAILURE message.

#### 8.13.3.4 Abnormal Conditions

If the gNB-DU receives a POSITIONING MEASUREMENT REQUEST message containing an LMF Measurement ID corresponding to an ongoing positioning measurement, it shall consider the procedure as failed and initiate local error handling.

### 8.13.4 Positioning Measurement Report

#### 8.13.4.1 General

The purpose of the Positioning Measurement Report procedure is for the gNB-DU to report positioning measurements to the gNB-CU. The procedure uses non-UE-associated signalling.

#### 8.13.4.2 Successful Operation



Figure 8.13.4.2-1: Positioning Measurement Report procedure: successful operation

The gNB-DU initiates the procedure by sending a POSITIONING MEASUREMENT REPORT message. The POSITIONING MEASUREMENT REPORT message contains the positioning measurement results according to the associated measurement configuration.

#### 8.13.4.3 Unsuccessful Operation

Not applicable.

#### 8.13.4.4 Abnormal Conditions

Not applicable.

### 8.13.5 Positioning Measurement Abort

#### 8.13.5.1 General

The purpose of the Positioning Measurement Abort procedure is to enable the gNB-CU to abort an on-going measurement. The procedure uses non-UE-associated signalling.

#### 8.13.5.2 Successful Operation



Figure 8.13.5.2-1: Positioning Measurement Abort procedure: successful operation

The gNB-CU initiates the procedure by generating a POSITIONING MEASUREMENT ABORT message. Upon receiving this message, the gNB-DU shall terminate the on-going measurement identified by the *RAN Measurement ID* IE and may release any resources previously allocated for the same measurement.

#### 8.13.5.3 Unsuccessful Operation

Not applicable.

#### 8.13.5.4 Abnormal Conditions

If the gNB-DU cannot identify the previously requested measurement to be aborted, it shall ignore the POSITIONING MEASUREMENT ABORT message.

### 8.13.6 Positioning Measurement Failure Indication

#### 8.13.6.1 General

The purpose of the Positioning Measurement Failure Indication procedure is for the gNB-DU to notify the gNB-CU that the positioning measurements previously requested with the Positioning Measurement procedure can no longer be reported. The procedure uses non-UE-associated signalling.

#### 8.13.6.2 Successful Operation



Figure 8.13.6.2-1: Positioning Measurement Failure Indication procedure: successful operation

The gNB-DU initiates the procedure by sending a POSITIONING MEASUREMENT FAILURE INDICATION message. Upon reception of the POSITIONING MEASUREMENT FAILURE INDICATION message, the gNB-CU shall consider that the indicated positioning measurements have been terminated by the gNB-DU.

#### 8.13.6.3 Unsuccessful Operation

Not applicable.

#### 8.13.6.4 Abnormal Conditions

Not applicable.

### 8.13.7 Positioning Measurement Update

#### 8.13.7.1 General

The purpose of the Positioning Measurement Update procedure is to modify one or more periodic positioning measurements performed by the gNB-DU. The procedure uses non-UE-associated signalling.

#### 8.13.7.2 Successful Operation



Figure 8.13.7.2-1: Positioning Measurement Update procedure: successful operation

The gNB-CU initiates the procedure by generating a POSITIONING MEASUREMENT UPDATE message. Upon receiving the message, the gNB-DU shall overwrite the previously received measurement configuration for the corresponding measurements.

#### 8.13.7.3 Unsuccessful Operation

Not applicable.

#### 8.13.7.4 Abnormal Conditions

If the gNB-DU cannot identify the given positioning measurements, it shall regard the procedure as failed and initiate local error handling.

### 8.13.8 TRP Information Exchange

#### 8.13.8.1 General

The purpose of the TRP Information Exchange procedure is to allow the gNB-CU to request the gNB-DU to provide detailed information for TRPs hosted by the gNB-DU. The procedure uses non-UE-associated signalling.

#### 8.13.8.2 Successful Operation



Figure 8.13.8.2-1: TRP Information Exchange procedure, successful operation

The gNB-CU initiates the procedure by sending a TRP INFORMATION REQUEST message. The gNB-DU responds with a TRP INFORMATION RESPONSE message that contains the requested TRP information.

If the *TRP List* IE is included in the TRP INFORMATION REQUEST message, the gNB-DU should include in the TRP INFORMATION RESPONSE message, the requested information for all TRPs included in the *TRP List* IE.

If the *TRP List* IE is not included in the TRP INFORMATION REQUEST message, the gNB-DU should include the requested information for all TRPs hosted by the gNB-DU in the TRP INFORMATION RESPONSE message.

If the *PRS Muting* IE is included in the *PRS Configuration* IE in the TRP INFORMATION RESPONSE message, the gNB-CU may use it for further signaling.

If the *QCL Info* IE is included in the *PRS Configuration* IE in the TRP INFORMATION RESPONSE message, the gNB-CU may use it for further signaling.

If the *DL-PRS Resource Coordinates* IE is included in the *Geographical Coordinates* IE in the *TRP Information* IE in the TRP INFORMATION RESPONSE message, the gNB-CU may use it for further signaling.

#### 8.13.8.3 Unsuccessful Operation



Figure 8.13.8.3-1: TRP Information Exchange procedure, unsuccessful operation

If the gNB-DU cannot provide any of the requested information, the gNB-DU shall respond with a TRP INFORMATION FAILURE message.

### 8.13.9 Positioning Information Exchange

#### 8.13.9.1 General

The Positioning Information Exchange procedure is initiated by the gNB-CU to indicate to the gNB-DU the need to configure the UE to transmit SRS signals and to retrieve the SRS configuration from the gNB-DU. The procedure uses UE-associated signalling.

#### 8.13.9.2 Successful Operation



Figure 8.13.9.2-1: Positioning Information Exchange procedure, successful operation

The gNB-CU initiates the procedure by sending a POSITIONING INFORMATION REQUEST message to the gNB-DU.

If the *Requested SRS Transmission Characteristics* IE is included in the POSITIONING INFORMATION REQUEST message, the gNB-DU may take this information into account when configuring SRS transmissions for the UE, and it shall include the *SRS Configuration* IE and the *SFN Initialisation Time* IE in the POSITIONING INFORMATION RESPONSE message.

#### 8.13.9.3 Unsuccessful Operation



Figure 8.13.9.3-1: Positioning Information Exchange procedure, unsuccessful operation

If the *Requested SRS Transmission Characteristics* IE is included in the POSITIONING INFORMATION REQUEST message and the gNB-DU is unable to configure any SRS transmissions for the UE, the gNB-DU shall respond with a POSITIONING INFORMATION FAILURE message.

### 8.13.10 Positioning Activation

#### 8.13.10.1 General

The Positioning Activation procedure is initiated by the gNB-CU to request the gNB-DU to activate semi-persistent or trigger aperiodic UL SRS transmission by the UE. The procedure uses UE-associated signalling.

#### 8.13.10.2 Successful Operation



Figure 8.13.10.2-1: Positioning Activation procedure, successful operation

The gNB-CU initiates the procedure by sending a POSITIONING ACTIVATION REQUEST message to the gNB-DU.

For semi-persistent UL SRS, the POSITIONING ACTIVATION REQUEST message includes an indication of the UL SRS resource set to be activated, and may include the spatial relation for the semi-persistent UL SRS resource to be activated. For aperiodic UL SRS, if the *SRS Resource Trigger* IE is included in the POSITIONING ACTIVATION REQUEST message, the gNB-DU shall take the value of this IE into account when triggering aperiodic SRS transmission by the UE.

If the *Activation Time* IE is included in the POSITIONING ACTIVATION REQUEST message, the gNB-DU shall take the indicated value as the requested time for activation of the UE’s SRS transmission.

Following successful activation of UL SRS transmission in the UE, the gNB-DU shall respond with a POSITIONING ACTIVATION RESPONSE message. If the POSITIONING ACTIVATION RESPONSE message includes the *System Frame Number* and/or the *Slot Number* IEs, the gNB-CU shall consider that the respective information indicates the activation time of SRS transmission by the UE.

#### 8.13.10.3 Unsuccessful Operation



Figure 8.13.10.3-1: Positioning Activation procedure, unsuccessful operation

If the gNB-DU is unable to activate UL SRS transmission in the UE, it shall respond with a POSITIONING ACTIVATION FAILURE message.

If the gNB-DU is unable to trigger the aperiodic SRS transmission with the indicated *SRS Resource Trigger* IE, it shall respond with a POSITIONING ACTIVATION FAILURE message with an appropriate cause value

#### 8.13.10.4 Abnormal Conditions

Void.

### 8.13.11 Positioning Deactivation

#### 8.13.11.1 General

The Positioning Deactivation procedure is initiated by the gNB-CU to indicate to the gNB-DU node that UL SRS transmission should be deactivated in the UE. The procedure uses UE-associated signalling.

#### 8.13.11.2 Successful Operation



Figure 8.13.11.2-1: Positioning Deactivation procedure, successful operation

The gNB-CU initiates the procedure by sending a POSITIONING DEACTIVATION message to the gNB-DU, including an indication of the UL SRS resources to be deactivated.

#### 8.13.11.3 Unsuccessful Operation

Not Applicable.

#### 8.13.11.4 Abnormal Conditions

Void.

### 8.13.12 E-CID Measurement Initiation

#### 8.13.12.1 General

The purpose of E-CID Measurement Initiation procedure is to allow the gNB-CU to request the gNB-DU to report E-CID measurements used by LMF to compute the location of the UE. The procedure uses UE-associated signalling.

#### 8.13.12.2 Successful Operation



Figure 8.13.12.2-1: E-CID Measurement Initiation procedure, successful operation

The gNB-CU initiates the procedure by sending an E-CID MEASUREMENT INITIATION REQUEST message. If the gNB-DU is able to initiate the requested E-CID measurements, it shall reply with the E-CID MEASUREMENT INITIATION RESPONSE message.

If the *E-CID Report Characteristics* IE is set to "OnDemand", the gNB-DU shall return the result of the measurement in the E-CID MEASUREMENT INITIATION RESPONSE message including, if available, the *Geographical Coordinates* IE in the *E-CID Measurement Result* IE and the *Cell Portion ID* IE, and the gNB-CU shall consider that the E-CID measurements for the UE have been terminated by the gNB-DU. The *Measured Results List* IE shall be included in the *E-CID Measurement Result* IE of the E-CID MEASUREMENT INITIATION RESPONSE message when measurement quantities other than "Default" have been requested.

**Interaction with the E-CID Measurement Report procedure:**

If the *E-CID Report Characteristics* IE is set to "Periodic", the gNB-DU shall initiate the requested measurements and shall reply with the E-CID MEASUREMENT INITIATION RESPONSE message without including either the *E-CID Measurement Result* IE or the *Cell Portion ID* IE in this message. The gNB-DU shall then periodically initiate the E-CID Measurement Report procedure for the measurements, with the requested reporting periodicity.

#### 8.13.12.3 Unsuccessful Operation



Figure 8.13.12.3-1: E-CID Measurement Initiation procedure, unsuccessful operation

If the gNB-DU is not able to initiate at least one of the requested E-CID measurements, the gNB-DU shall respond with an E-CID MEASUREMENT INITIATION FAILURE message.

### 8.13.13 E-CID Measurement Failure Indication

#### 8.13.13.1 General

The purpose of the E-CID Measurement Failure Indication procedure is for the gNB-DU to notify the gNB-CU that the E-CID measurements previously requested with the E-CID Measurement Initiation procedure can no longer be reported. The procedure uses UE-associated signalling.

#### 8.13.13.2 Successful Operation



Figure 8.13.13.2-1: E-CID Measurement Failure Indication, successful operation

The gNB-DU initiates the procedure by sending an E-CID MEASUREMENT FAILURE INDICATION message. Upon reception of the E-CID MEASUREMENT FAILURE INDICATION message, the gNB-CU shall consider that the E-CID measurements for the UE have been terminated by the gNB-DU.

#### 8.13.13.3 Unsuccessful Operation

Not applicable.

### 8.13.14 E-CID Measurement Report

#### 8.13.14.1 General

The purpose of E-CID Measurement Report procedure is for the gNB-DU to provide the E-CID measurements for the UE to the gNB-CU. The procedure uses UE-associated signalling.

#### 8.13.14.2 Successful Operation



Figure 8.13.14.2-1: E-CID Measurement Report procedure, successful operation

The gNB-DU initiates the procedure by sending an E-CID MEASUREMENT REPORT message. The E-CID MEASUREMENT REPORT message contains the E-CID measurement results according to the measurement configuration in the respective E-CID MEASUREMENT INITIATION REQUEST message.

The *Measured Results List* IE shall be included in the *E-CID Measurement Result* IE of the E-CID MEASUREMENT REPORT message when measurement quantities other than "Default" have been requested.

If available, the gNB-DU shall include the *Geographical Coordinates* IE in the *E-CID Measurement Result* IE in the E-CID MEASUREMENT REPORT message.

If available, the gNB-DU shall include the *Cell Portion ID* IE in the E-CID MEASUREMENT REPORT message.

#### 8.13.14.3 Unsuccessful Operation

Not applicable.

### 8.13.15 E-CID Measurement Termination

#### 8.13.15.1 General

The purpose of E-CID Measurement Termination procedure is to terminate periodical E-CID measurements for the UE performed by the gNB-DU. The procedure uses UE-associated signalling.

#### 8.13.15.2 Successful Operation



Figure 8.13.15.2-1: E-CID Measurement Termination procedure, successful operation

The gNB-CU initiates the procedure by generating an E-CID MEASUREMENT TERMINATION COMMAND message.

#### 8.13.15.3 Unsuccessful Operation

Not applicable.

### 8.13.16 Positioning Information Update

#### 8.13.16.1 General

The Positioning Information Update procedure is initiated by the gNB-DU to indicate to the gNB-CU that a change has occurred in the SRS configuration. The procedure uses UE-associated signalling.

#### 8.13.16.2 Successful Operation



Figure 8.13.16.2-1: Positioning Information Update procedure, successful operation

The gNB-DU initiates the procedure by sending a POSITIONING INFORMATION UPDATE message to the gNB-CU.

If the SRS Configuration IE is included in the POSITIONING INFORMATION UPDATE message, the gNB-CU shall consider this information as the updated SRS Configuration for the UE. If the SFN Initialisation Time IE is included in the POSITIONING INFORMATION UPDATE message, the gNB-CU shall consider this information as the SFN Initialisation Time associated to the SRS Configuration.

#### 8.13.16.3 Unsuccessful Operation

Not Applicable.

#### 8.13.16.4 Abnormal Conditions

Void.

# 9 Elements for F1AP Communication

## 9.1 General

Subclauses 9.2 and 9.3 present the F1AP message and IE definitions in tabular format. The corresponding ASN.1 definition is presented in subclause 9.4. In case there is contradiction between the tabular format and the ASN.1 definition, the ASN.1 shall take precedence, except for the definition of conditions for the presence of conditional IEs, where the tabular format shall take precedence.

The messages have been defined in accordance to the guidelines specified in TR 25.921 [14].

When specifying IEs which are to be represented by bitstrings, if not otherwise specifically stated in the semantics description of the concerned IE or elsewhere, the following principle applies with regards to the ordering of bits:

- The first bit (leftmost bit) contains the most significant bit (MSB);

- The last bit (rightmost bit) contains the least significant bit (LSB);

- When importing bitstrings from other specifications, the first bit of the bitstring contains the first bit of the concerned information;

The following attributes are used for the tabular description of the messages and information elements: Presence, Range Criticality and Assigned Criticality. Their definition and use can be found in TS 38.413 [3].

## 9.2 Message Functional Definition and Content

### 9.2.1 Interface Management messages

#### 9.2.1.7 GNB-DU CONFIGURATION UPDATE

This message is sent by the gNB-DU to transfer updated information associated to an F1-C interface instance.

NOTE: If F1-C signalling transport is shared among several F1-C interface instances, this message may transfer updated information associated to several F1-C interface instances.

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 | reject |
| Transaction ID | M |  | 9.3.1.23 |  | YES | reject |
| **Served Cells To Add List** |  | *0..1* |  | Complete list of added cells served by the gNB-DU | YES | reject |
| **>Served Cells To Add Item** |  | *1 .. <maxCellingNBDU>* |  |  | EACH | reject |
| >>Served Cell Information | M |  | 9.3.1.10 | Information about the cells configured in the gNB-DU | - |  |
| >>gNB-DU System Information | O |  | 9.3.1.18 | RRC container with system information owned by gNB-DU | - |  |
| **Served Cells To Modify List** |  | *0..1* |  | Complete list of modified cells served by the gNB-DU | YES | reject |
| **>Served Cells To Modify Item** |  | *1 .. <maxCellingNBDU>* |  |  | EACH | reject |
| >>Old NR CGI | M |  | NR CGI9.3.1.12 |  | - |  |
| >>Served Cell Information | M |  | 9.3.1.10 | Information about the cells configured in the gNB-DU | - |  |
| >>gNB-DU System Information | O |  | 9.3.1.18 | RRC container with system information owned by gNB-DU | - |  |
| **Served Cells To Delete List** |  | *0..1* |  | Complete list of deleted cells served by the gNB-DU | YES | reject |
| **>Served Cells To Delete Item** |  | *1.. <maxCellingNBDU>* |  |  | EACH | reject |
| >>Old NR CGI | M |  | NR CGI9.3.1.12 |  | - |  |
| **Cells Status List** |  | *0..1* |  | Complete list of active cells | YES | reject |
| **> Cells Status Item** |  | *0 .. <maxCellingNBDU>* |  |  | EACH | reject |
| >> NR CGI | M |  | 9.3.1.12 |  | - |  |
| >>Service Status | M |  | 9.3.1.68 |  | - |  |
| **Dedicated SI Delivery Needed UE List** |  | *0..1* |  | List of UEs unable to receive system information from broadcast | YES | ignore |
| **> Dedicated SI Delivery Needed UE Item** |  | *1 .. <maxnoofUEIDs>* |  |  | EACH | ignore |
| >>gNB-CU UE F1AP ID | M |  | 9.3.1.4 |  | - |  |
| >>NR CGI | M |  | 9.3.1.12 |  | - |  |
| gNB-DU ID | O |  | 9.3.1.9 |  | YES | reject |
| **gNB-DU TNL Association To Remove List**  |  | *0..1* |  |  | YES | reject |
| **>gNB-DU TNL Association To Remove Item IEs** |  | *1..<maxnoofTNLAssociation>* |  |  | EACH | reject |
| >>TNL Association Transport Layer Address | M |  | CP Transport Layer Address9.3.2.4 | Transport Layer Address of the gNB-DU. | - | - |
| >>TNL Association Transport Layer Address gNB-CU | O |  | CP Transport Layer Address9.3.2.4 | Transport Layer Address of the gNB-CU | - | - |
| Transport Layer Address Info | O |  | 9.3.2.5 |  | YES | ignore |

|  |  |
| --- | --- |
| Range bound | Explanation |
| maxCellingNBDU | Maximum no. cells that can be served by a gNB-DU. Value is 512. |
| maxnoofUEIDs | Maximum no. of UEs that can be served by a gNB-DU. Value is 65536. |
| maxnoofTNLAssociations | Maximum numbers of TNL Associations between the gNB-CU and the gNB-DU. Value is 32. |

#### 9.2.1.20 RESOURCE STATUS REQUEST

This message is sent by gNB-CU to gNB-DU to initiate the requested measurement according to the parameters given in the message.

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 |
| Transaction ID | M |  | 9.3.1.23 |  | YES | reject |
| gNB-CU Measurement ID | M |  | INTEGER (1..4095,...) | Allocated by gNB-CU | YES | reject |
| gNB-DU Measurement ID | C-ifRegistrationRequestStoporAdd |  | INTEGER (1..4095,...) | Allocated by gNB-DU | YES | ignore |
| Registration Request | M |  | ENUMERATED(start, stop,add, …) | Type of request for which the resource status is required. | YES | ignore |
| Report Characteristics | C-ifRegistrationRequestStart |  | BIT STRING(SIZE(32)) | Each position in the bitmap indicates measurement object the gNB-DU is requested to report.First Bit = PRB Periodic,Second Bit = TNL Capacity Ind Periodic,Third Bit = Composite Available Capacity Periodic, Fourth Bit = HW LoadInd Periodic, Fifth Bit = Number of Active UEs Other bits shall be ignored by the gNB-DU. | YES | ignore |
| **Cell To Report List** |  | *0..1* |  | Cell ID list to which the request applies. | YES | ignore |
| **>Cell To Report Item** |  | *1 .. <maxCellingNBDU>* |  |  |  |  |
| >>Cell ID | M |  | NR CGI9.3.1.12 |  | - |  |
| **>>SSB To Report List** |  | *0..1* |  | SSB list to which the request applies. | - |  |
| **>>>SSB To Report Item** |  | *1 .. < maxnoofSSBAreas>* |  |  | - |  |
| >>>>SSB index | M |  | INTEGER (0..63) |  |  |  |
| **>>Slice To Report List**  |  | *0..1* |  | S-NSSAI list to which the request applies.  | - |  |
| **>>>Slice To Report Item** |  | *1..< maxnoofBPLMNsNR>* |  |  |  |  |
| **>>>>PLMN Identity** | M |  | 9.3.1.14 | Broadcast PLMN |  |  |
| **>>>>S-NSSAI List**  |  | *1* |  |  | - |  |
| **>>>>>S-NSSAI Item**  |  | *1 .. < maxnoofSliceItems>* |  |  | - |  |
| >>>>>>S-NSSAI | M |  | 9.3.1.38 |  | - |  |
| Reporting Periodicity | O |  | ENUMERATED(500ms, 1000ms, 2000ms, 5000ms,10000ms, …) | Periodicity that can be used for reporting of PRB Periodic, TNL Capacity Ind Periodic, Composite Available Capacity Periodic. Also used as the averaging window length for all measurement object if supported. | YES | ignore |

|  |  |
| --- | --- |
| Condition | Explanation |
| ifRegistrationRequestStoporAdd | This IE shall be present if the *Registration Request* IE is set to the value "stop" or "add". |
| ifRegistrationRequestStart | This IE shall be present if the Registration Request IE is set to the value "start". |

|  |  |
| --- | --- |
| Range bound | Explanation |
| maxCellingNBDU | Maximum no. cells that can be served by a gNB-DU. Value is 512. |
| maxnoofSSBAreas | Maximum no. SSB Areas that can be served by a gNB cell. Value is 64. |
| maxnoofSliceItems  | Maximum no. of signalled slice support items. Value is 1024.  |
| maxnoofBPLMNsNR | Maximum no. of PLMN Ids.broadcast in a cell. Value is 12. |

### 9.2.12 Messages for Positioning Procedures

#### 9.2.12.10 TRP INFORMATION REQUEST

This message is sent by a gNB-CU to request information for TRPs hosted by a 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 |
| Transaction ID | M |  | 9.3.1.23 |  | YES | reject |
| **TRP list** |  |  *0..1* |  |  | YES | ignore |
| **>TRP list Item** |  | 1..<maxnoofTRPs> |  |  | EACH | ignore |
| >>TRP ID | M |  | 9.3.1.197 |  | - |  |
| **TRP Information Type List** |  | *1* |  |  | YES | reject |
| **>TRP Information Type Item** |  | *1 .. <maxnoofTRPInfoTypes>* |  |  | EACH | reject |
| >>TRP Information Type Item | M |  | ENUMERATED (nr pci, ng-ran cgi, nr arfcn, prs config, ssb config, sfn init time, spatial direction info, geo-coordinates, …) |  | - |  |

|  |  |
| --- | --- |
| Range bound | Explanation |
| maxnoofTRPInfoTypes | Maximum no of TRP information types that can be requested and reported with one message. Value is 64. |
| maxnoofTRPs | Maximum no. of TRPs in a gNB. Value is 65535. |

## 9.3 Information Element Definitions

### 9.3.1Radio Network Layer Related IEs

#### 9.3.1.5 gNB-DU UE F1AP ID

The gNB-DU UE F1AP ID uniquely identifies the UE association over the F1 interface within the gNB-DU.

NOTE: If F1-C signalling transport is shared among multiple interface instances, the value of the gNB-DU UE F1AP ID is allocated so that it can be associated with the corresponding F1-C interface instance.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **IE/Group Name** | **Presence** | **Range** | **IE type and reference** | **Semantics description** |
| gNB-DU UE F1AP ID | M |  | INTEGER (0 .. 232 -1) |  |

#### 9.3.1.10 Served Cell Information

This IE contains cell configuration information of a cell in the gNB-DU.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **IE/Group Name** | **Presence** | **Range** | **IE type and reference** | **Semantics description** | **Criticality** | **Assigned Criticality** |
| NR CGI | M |  | 9.3.1.12 |  | - |  |
| NR PCI | M |  | INTEGER (0..1007) | Physical Cell ID | - |  |
| 5GS TAC | O |  | 9.3.1.29 | 5GS Tracking Area Code | - |  |
| Configured EPS TAC | O |  | 9.3.1.29a |  | - |  |
| **Served PLMNs** |  | *1..<maxnoofBPLMNs>* |  | Broadcast PLMNs in SIB 1 associated to the NR Cell Identity in the *NR CGI* IE | - |  |
| >PLMN Identity | M |  | 9.3.1.14 |  | - |  |
| >TAI Slice Support List | O |  | Slice Support List9.3.1.37 | Supported S-NSSAIs per PLMN or per SNPN.  | YES | ignore |
| >NPN Support Information | O |  | 9.3.1.156 | Supported NPNs per PLMN. | YES | reject |
| >Extended TAI Slice Support List | O |  | Extended Slice Support List9.3.1.165 | Additional Supported S-NSSAIs per PLMN or per SNPN.  | YES | reject |
| CHOICE *NR-Mode-Info*  | M |  |  |  | - |  |
| *>FDD* |  |  |  |  | - |  |
| **>>FDD Info** |  | *1* |  |  | - |  |
| >>>UL FreqInfo | M |  | NR Frequency Info9.3.1.17 |  | - |  |
| >>>DL FreqInfo | M |  | NR Frequency Info9.3.1.17 |  | - |  |
| >>>UL Transmission Bandwidth | M |  | Transmission Bandwidth9.3.1.15 |  | - |  |
| >>>DL Transmission Bandwidth | M |  | Transmission Bandwidth9.3.1.15 |  | - |  |
| >>>UL Carrier List  | O |  | NR Carrier List9.3.1.137 | If included, the *UL Transmission Bandwidth* IE shall be ignored. | YES | ignore |
| >>>DL Carrier List | O |  | NR Carrier List9.3.1.137 | If included, the *DL Transmission Bandwidth* IE shall be ignored. | YES | ignore |
| *>TDD* |  |  |  |  | - |  |
| **>>TDD Info** |  | *1* |  |  | - |  |
| >>>NR FreqInfo | M |  | NR Frequency Info9.3.1.17 |  | - |  |
| >>>Transmission Bandwidth | M |  | Transmission Bandwidth9.3.1.15 |  | - |  |
| >>>Intended TDD DL-UL Configuration | O |  | 9.3.1.89 |  |  YES | ignore |
| >>>TDD UL-DL Configuration Common NR | O |  | OCTET STRING | The *tdd-UL-DL-ConfigurationCommon* as defined in TS 38.331 [8] | YES | ignore |
| >>>Carrier List | O |  | NR Carrier List9.3.1.137 | If included, the Transmission Bandwidth IE shall be ignored. | YES | ignore |
| Measurement Timing Configuration | M |  | OCTET STRING | Contains the *MeasurementTimingConfiguration* inter-node message defined in TS 38.331 [8]. | - |  |
| RANAC | O |  | RAN Area Code9.3.1.57 |  | YES | ignore |
| **Extended Served PLMNs List** |  | *0..1* |  | This is included if more than 6 Served PLMNs is to be signalled. | YES | ignore |
| **>Extended Served PLMNs Item** |  | *1 ..<maxnoofExtendedBPLMNs>* |  |  | - |  |
| >>PLMN Identity | M |  | 9.3.1.14 |  | - |  |
| >>TAI Slice Support List | O |  | Slice Support List9.3.1.37 | Supported S-NSSAIs per PLMN or per SNPN.  | - |  |
| >>NPN Support Information | O |  | 9.3.1.156 | Supported NPNs per PLMN. | YES | reject |
| >>Extended TAI Slice Support List | O |  | Extended Slice Support List9.3.1.165 | Additional Supported S-NSSAIs per PLMN or per SNPN.  | YES | reject |
| Cell Direction | O |  | 9.3.1.78 |  | YES | ignore |
|  |  |  |  |  |  |  |
| **Broadcast PLMN Identity Info List** |  | *0..<maxnoofBPLMNsNR>* |  | This IE corresponds to the *PLMN-IdentityInfoList* IE and the *NPN-IdentityInfoList* IE (if available) in *SIB1* as specified in TS 38.331 [8]. All PLMN Identities and associated information contained in the *PLMN-IdentityInfoList* IE and NPN identities and associated information contained in the *NPN-IdentityInfoList* IE (if available) are included and provided in the same order as broadcast in SIB1.NOTE: In case of NPN-only cell, the PLMN Identities and associated information contained in the *PLMN-IdentityInfoList* IE are not included. | YES | ignore |
|  |  |  |  |  |  |  |
| >PLMN Identity List | M |  | Available PLMN List9.3.1.65 | Broadcast PLMN IDs in SIB1 associated to the *NR Cell Identity* IE | - |  |
| >Extended PLMN Identity List | O |  | Extended Available PLMN List9.3.1.76 |  | - |  |
| >5GS-TAC | O |  | OCTET STRING (3) |  | - |  |
| >NR Cell Identity | M |  | BIT STRING (36) |  | - |  |
| >RANAC | O |  | RAN Area Code9.3.1.57 |  | - |  |
| >Configured TAC Indication | O |  | 9.3.1.87a | NOTE: This IE is associated with the 5GS TAC in the *Broadcast PLMN Identity Info List* IE | YES | ignore |
| >NPN Broadcast Information | O |  | 9.3.1.157 | If this IE is included the content of the *PLMN Identity List* IE and *Extended PLMN Identity List* IE if present in the *Broadcast PLMN Identity Info List* IE is ignored. | YES | reject |
| Configured TAC Indication | O |  | 9.3.1.87a | NOTE: This IE is associated with the 5GS TAC on top-level of the *Served Cell Information* IE | YES | ignore |
| Aggressor gNB Set ID | O |  | 9.3.1.93 | This IE indicates the associated aggressor gNB Set ID of the cell | YES | ignore |
| Victim gNB Set ID | O |  | 9.3.1.93 | This IE indicates the associated Victim gNB Set ID of the cell | YES | ignore |
| IAB Info IAB-DU | O |  | 9.3.1.106 |  | YES | ignore |
| SSB Positions In Burst  | O |  | 9.3.1.138 |  | YES | ignore |
| NR PRACH Configuration | O |  | 9.3.1.139 |  | YES | ignore |
| SFN Offset | O |  | 9.3.1.208 |  | YES | ignore |
| NPN Broadcast Information | O |  | 9.3.1.157 |  | YES | reject |

|  |  |
| --- | --- |
| Range bound | Explanation |
| maxnoofBPLMNs | Maximum no. of Broadcast PLMN Ids. Value is 6. |
| maxnoofExtendedBPLMNs | Maximum no. of Extended Broadcast PLMN Ids. Value is 6. |
| maxnoofBPLMNsNR | Maximum no. of PLMN Ids.broadcast in an NR cell. Value is 12. |

#### 9.3.1.18 gNB-DU System Information

This IE contains the system information generated by the gNB-DU.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **IE/Group Name** | **Presence** | **Range** | **IE type and reference** | **Semantics description** | **Criticality** | **Assigned Criticality** |
| MIB message | M |  | OCTET STRING | MIB message, as defined in subclause 6.2.2 in TS 38.331 [8]. | - |  |
| SIB1 message | M |  | OCTET STRING | SIB1 message, as defined in subclause 6.2.2 in TS 38.331 [8]. | - |  |
| SIB12 message | O |  | OCTET STRING | SIB12, as defined in subclause 6.3.1in TS 38.331 [8]. | YES | Ignore |
| SIB13 message | O |  | OCTET STRING | SIB13, as defined in subclause 6.3.1 in TS 38.331 [8]. | YES | Ignore |
| SIB14 message | O |  | OCTET STRING | SIB14, as defined in subclause 6.3.1 in TS 38.331 [8]. | YES | ignore |
| SIB10 message | O |  | OCTET STRING | SIB10, as defined in subclause 6.3.1 in TS 38.331 [8]. | YES | ignore |

#### 9.3.1.48 NG-RAN Allocation and Retention Priority

This IE specifies the relative importance of a QoS flow or a DRB compared to other QoS flows or DRBs for allocation and retention of NG-RAN resources.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **IE/Group Name** | **Presence** | **Range** | **IE type and reference** | **Semantics description** |
| Priority Level | M |  | INTEGER (0..15) | **Desc**.: This IE defines the relative importance of a resource request (see TS 23.501 [21]).**Usage**: Values are ordered in decreasing order of priority, i.e., with 1 as the highest priority and 15 as the lowest priority. Further usage is defined in TS 23.501 [21]. |
| Pre-emption Capability | M |  | ENUMERATED (shall not trigger pre-emption, may trigger pre-emption) | **Desc.:** This IE indicates the pre-emption capability of the request on other QoS flows (see TS 23.501 [21]).**Usage**: The QoS flow shall not pre-empt other QoS flows or, the QoS flow may pre-empt other QoS flows.Note: The Pre-emption Capability indicator applies to the allocation of resources for a QoS flow and as such it provides the trigger to the pre-emption procedures/processes of the gNB. |
| Pre-emption Vulnerability | M |  | ENUMERATED (not pre-emptable, pre-emptable) | **Desc.**: This IE indicates the vulnerability of the QoS flow to pre-emption of other QoS flows (see TS 23.501 [21]).**Usage**: The QoS flow shall not be pre-empted by other QoS flows or the QoS flow may be pre-empted by other QoS flows.Note: The Pre-emption Vulnerability indicator applies for the entire duration of the QoS flow, unless modified and as such indicates whether the QoS flow is a target of the pre-emption procedures/processes of the gNB. |

#### 9.3.1.72 QoS Flow Mapping Indication

This IE is used to indicate only the uplink or downlink QoS flow is mapped to the DRB.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| IE/Group Name | Presence | Range | IE type and reference | Semantics description |
| QoS Flow Mapping Indication | M |  | ENUMERATED(ul, dl,…) | Indicates that only the uplink or downlink QoS flow is mapped to the DRB |

#### 9.3.1.81 Message Identifier

This IE identifies the warning message.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| IE/Group Name | Presence | Range | IE type and reference | Semantics description |
| Message Identifier | M |  | BIT STRING (SIZE(16)) | This IE is set by the 5GC, transferred to the UE by the gNB node. |

#### 9.3.1.83 UAC Assistance Information

This information element contains assistance information helping the gNB-DU to set parameters for Unified Access Class barring.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **IE/Group Name** | **Presence** | **Range** | **IE type and reference** | **Semantics description** | **Criticality** | **Assigned Criticality** |
| **UAC PLMN List** |  | *1* |  |  | - |  |
| **>UAC PLMN Item** |  | *1..<maxnoofUACPLMNs>* |  |  | - |  |
| >>PLMN Identity | M |  | 9.3.1.14 |  | - |  |
| **>>UAC Type List** |  | *1* |  |  | - |  |
| **>>>UAC Type Item** |  | *1..<maxnoofUACperPLMN>* |  |  | - |  |
| >>>>UAC Reduction Indication | M |  | 9.3.1.85 |  | - |  |
| >>>>CHOICE UAC Category Type | M |  |  |  | - |  |
| >>>>>UAC Standardized |  |  |  |  | - |  |
| >>>>>> UAC Action | M |  | 9.3.1.84 |  | - |  |
| >>>>>UAC Operator Defined |  |  |  |  | - |  |
| >>>>>>Access Category | M |  | INTEGER (32..63, …) | Indicates the operator defined Access Category as defined in subclause 6.3.2 in TS 38.331 [8]. | - |  |
| >>>>>>Access Identity | M |  | BIT STRING (SIZE(7)) | Indicates whether access attempt is allowed for each Access Identity as defined in subclause 6.3.2 in TS 38.331 [8]. | - |  |
| >>NID | O |  | 9.3.1.155 |  | YES | ignore |

|  |  |
| --- | --- |
| **Range bound** | **Explanation** |
| maxnoofUACPLMNs | Maximum no. of UAC PLMN Ids. Value is 12. |
| maxnoofUACperPLMN | Maximum no. of signalled categories per PLMN. Value is 64. |

#### 9.3.1.89 Intended TDD DL-UL Configuration

This IE contains the subcarrier spacing, cyclic prefix and TDD DL-UL slot configuration of an NR cell that the receiving gNB needs to take into account for cross-link interference mitigation, and/or for NR-DC power coordination, when operating its own cells.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| IE/Group Name | Presence | Range | IE Type and Reference | Semantics Description |
| NR SCS | M |  | ENUMERATED (scs15, scs30, scs60, scs120, …) | The values scs15, scs30, scs60 and scs120 corresponds to the sub carrier spacing in TS 38.104 [17]. |
| NR Cyclic Prefix | M |  | ENUMERATED (Normal, Extended, …) | The type of cyclic prefix, which determines the number of symbols in a slot. |
| NR DL-UL Transmission Periodicity | M |  | ENUMERATED (ms0p5, ms0p625, ms1, ms1p25, ms2, ms2p5, ms3, ms4, ms5, ms10, ms20, ms40, ms60, ms80, ms100, ms120, ms140, ms160, …) | The periodicity is expressed in the format msXpYZ, and equals X.YZ milliseconds. |
| **Slot Configuration List** |  | 1 |  |  |
| **>Slot Configuration List Item** |  | *1..<maxnoofslots>* |  |  |
| >>Slot Index | M |  | INTEGER (0..5119) |  |
| >>CHOICE *Symbol Allocation in Slot* | M |  |  |  |
| >>>*All DL* |  |  | NULL | This choice implies that all symbols in the slot are DL symbols. |
| >>>*All UL* |  |  | NULL | This choice implies that all symbols in the slot are UL symbols. |
| >>>*Both DL and UL* |  |  |  |  |
| >>>>Number of DL Symbols | M |  | INTEGER (0..13) | Number of consecutive DL symbols at the beginning of the slot identified by Slot Index. If extended cyclic prefix is used, the maximum value is 11. |
| >>>>Number of UL Symbols | M |  | INTEGER (0..13) | Number of consecutive UL symbols in the end of the slot identified by Slot Index. If extended cyclic prefix is used, the maximum value is 11. |

|  |  |
| --- | --- |
| Range bound | Explanation |
| *maxnoofslots* | Maximum length of number of slots in a 10-ms period. Value is 5120. |

#### 9.3.1.111 BAP Address

This IE indicates the BAP address of an IAB-node or of an IAB-donor-DU, and it is part of the BAP Routing ID.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| IE/Group Name | Presence | Range | IE type and reference | Semantics description |
| BAP Address | M |  | BIT STRING (SIZE(10)) | Corresponds to the *bap-Address-r16*, defined in subclause 6.2.2 or subclause 6.3.2 of TS 38.331 [8], *or the iab-donor-DU-BAP-Address-r16* defined in subclause 6.2.2 of TS 38.331[8]. |

#### 9.3.1.112 BAP Path ID

This IE indicates the BAP path ID, which is part of the BAP Routing ID.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| IE/Group Name | Presence | Range | IE type and reference | Semantics description |
| BAP Path ID | M |  | BIT STRING (SIZE(10)) | Corresponds to the *bap-Pathid-r16* defined in subclause 6.3.2 of TS 38.331 [8]. |

#### 9.3.1.125 Alternative QoS Parameters Set List

This IE contains alternative sets of QoS parameters which the gNB can indicate to be fulfilled when notification control is enabled and it cannot fulfil the requested list of QoS parameters.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| IE/Group Name | Presence | Range | IE type and reference | Semantics description |
| **Alternative QoS Parameters Set Item** |  | *1..<maxnoofQoSParaSets>* |  |  |
| >Alternative QoS Parameters Set Index | M |  | 9.3.1.123 |  |
| >Guaranteed Flow Bit Rate Downlink | O |  | Bit Rate 9.3.1.22 |  |
| >Guaranteed Flow Bit Rate Uplink | O |  | Bit Rate 9.3.1.22 |  |
| >Packet Delay Budget | O |  | 9.3.1.51 |  |
| >Packet Error Rate | O |  | 9.3.1.52 |  |

|  |  |
| --- | --- |
| Range bound | Explanation |
| maxnoofQoSParaSets | Maximum no. of alternative sets of QoS Parameters allowed for the QoS profile. Value is 8. |

#### 9.3.1.127 Dynamic PQI Descriptor

This IE indicates the QoS Characteristics for a Non-standardised or not pre-configured PQI for sidelink.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| IE/Group Name | Presence | Range | IE type and reference | Semantics description |
| Resource Type | O |  | ENUMERATED (GBR, non-GBR, delay critical GBR, …) |  |
| QoS Priority Level | M |  | INTEGER (1..8, …) | 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]. |
| 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. |

|  |  |
| --- | --- |
| 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. |

#### 9.3.1.134 Slice Available Capacity

The *Slice Available Capacity* IE indicates the amount of resources per network slice that are available per cell relative to the total gNB-DU resources per cell. The *Slice Available Capacity Value Downlink* IE and the *Slice Available Capacity Value Uplink* IE can be weighted according to the ratio of the corresponding cell capacity class values contained in the *Composite Available Capacity Group* IE, if available.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| IE/Group Name | Presence | Range | IE type and reference | Semantics description |
| **Slice Available Capacity List** |  | *1* |  |  |
| **>Slice Available Capacity Item** |  | *1..<* maxnoofBPLMNsNR *>* |  |  |
| >>PLMN Identity | M |  | 9.3.1.14 | Broadcast PLMN |
| **>>S-NSSAI Available Capacity List** |  | *1* |  |  |
| **>>>S-NSSAI Available Capacity Item** | M | *1 .. < maxnoofSliceItems>* |  |  |
| >>>>S-NSSAI |  |  | 9.3.1.38 |  |
| >>>>Slice Available Capacity Value Downlink | O |  | INTEGER (0..100) | Value 0 shall indicate no available capacity, and 100 shall indicate maximum available capacity . Slice AvailableCapacity Value Downlink should be measured on a linear scale. |
| >>>>Slice Available Capacity Value Uplink | O |  | INTEGER (0..100) | Value 0 shall indicate no available capacity, and 100 shall indicate maximum available capacity . Slice AvailableCapacity Value Uplink should be measured on a linear scale. |

|  |  |
| --- | --- |
| Range bound | Explanation |
| maxnoofSliceItems | Maximum no. of signalled slice support items. Value is 1024.  |
| maxnoofBPLMNsNR | Maximum no. of PLMN Ids.broadcast in a cell. Value is 12. |

## 9.4 Message and Information Element Abstract Syntax (with ASN.1)

### 9.4.5 Information Element Definitions

GNB-DU-Cell-Resource-Configuration ::= SEQUENCE {

 subcarrierSpacing SubcarrierSpacing,

 dUFTransmissionPeriodicity DUFTransmissionPeriodicity OPTIONAL,

 dUF-Slot-Config-List DUF-Slot-Config-List OPTIONAL,

 hSNATransmissionPeriodicity HSNATransmissionPeriodicity,

 hsNSASlotConfigList HSNASlotConfigList OPTIONAL,

 iE-Extensions ProtocolExtensionContainer { { GNB-DU-Cell-Resource-Configuration-ExtIEs } } OPTIONAL

}

NRPRACHConfigItem ::= SEQUENCE {

 nRSCS NRSCS,

 prachFreqStartfromCarrier INTEGER (0..maxnoofPhysicalResourceBlocks-1, ...),

 msg1FDM ENUMERATED {one, two, four, eight, ...},

 prachConfigIndex INTEGER (0..255, ..., 256..262),

 ssb-perRACH-Occasion ENUMERATED {oneEighth, oneFourth, oneHalf, one,

 two, four, eight, sixteen, ...},

 freqDomainLength FreqDomainLength,

 zeroCorrelZoneConfig INTEGER (0..15),

 iE-Extension ProtocolExtensionContainer { { NRPRACHConfigItem-ExtIEs} } OPTIONAL,

 ...

}