**3GPP TSG-RAN WG3 Meeting #110-e R3-207015**

**E-meeting, 2 – 12 Nov 2020**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| *CR-Form-v12.1* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
|  | | | | | | | | |
|  | **38.423** | **CR** | **0493** | **rev** | **1** | **Current version:** | **16.3.0** |  |
|  | | | | | | | | |
| *For* [***HE******LP***](http://www.3gpp.org/3G_Specs/CRs.htm#_blank)*on using this form: comprehensive instructions can be found at* [*http://www.3gpp.org/Change-Requests*](http://www.3gpp.org/Change-Requests)*.* | | | | | | | | |
|  | | | | | | | | |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| ***Proposed change affects:*** | UICC apps |  | ME |  | Radio Access Network | **x** | Core Network |  |

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | | | | | | | | | | |
| ***Title:*** | Propagation of immediate MDT configuration in case of Xn inter-RAT HO | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Source to WG:*** | Huawei | | | | | | | | | |
| ***Source to TSG:*** | R3 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | NR\_SON\_MDT-Core | | | | |  | ***Date:*** | | | 2020-11-02 |
|  |  | | | |  | |  | | |  |
| ***Category:*** | **F** |  | | | | | ***Release:*** | | | Rel-16 |
|  | *Use one of the following categories:* ***F*** *(correction)* ***A*** *(mirror corresponding to a change in an earlier release)* ***B*** *(addition of feature),* ***C*** *(functional modification of feature)* ***D*** *(editorial modification)*  Detailed explanations of the above categories can be found in 3GPP [TR 21.900](http://www.3gpp.org/ftp/Specs/html-info/21900.htm). | | | | | | | | *Use one of the following releases: Rel-8 (Release 8) Rel-9 (Release 9) Rel-10 (Release 10) Rel-11 (Release 11) … Rel-15 (Release 15) Rel-16 (Release 16) Rel-17 (Release 17) Rel-18 (Release 18)* | |
|  |  | | | | | | | | | |
| ***Reason for change:*** | | In the LS in [R3-205931](https://www.3gpp.org/ftp/TSG_RAN/WG3_Iu/TSGR3_110-e/Docs/R3-205931.zip) Reply LS on limitation of Propagation of immediate MDT configuration in case of Xn inter-RAT HO, it confirms that propogation of trace/MDT configuration data in the case of Xn inter-RAT intra-system handover shall be supported. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Summary of change:*** | | Clarify the receving node handlign in the procedual text for Xn Handover Request. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Consequences if not approved:*** | | The trace/MDT configuration of the UE may be lost during inter-RAT Xn Handover. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Clauses affected:*** | | 8.2.1.2 | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **Y** | **N** |  | | | |  | | |
| ***Other specs*** | |  | **X** | Other core specifications | | | | TS/TR ... CR ... | | |
| ***affected:*** | |  | **X** | Test specifications | | | | TS/TR ... CR ... | | |
| ***(show related CRs)*** | |  | **X** | O&M Specifications | | | | TS/TR ... CR ... | | |
|  | |  | | | | | | | | |
| ***Other comments:*** | |  | | | | | | | | |
|  | |  | | | | | | | | |
| ***This CR's revision history:*** | | V0: R3-206428, document creation. | | | | | | | | |

8.2.1 Handover Preparation

8.2.1.1 General

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

The procedure uses UE-associated signalling.

8.2.1.2 Successful Operation

****

**Figure 8.2.1.2-1: Handover Preparation, successful operation**

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

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

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

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

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

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

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

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

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

For each QoS flow for which the source NG-RAN node proposes to perform forwarding of downlink data, the source NG-RAN node shall include the *DL Forwarding* IE set to "DL forwarding proposed" within the *Data Forwarding and* *Offloading Info from source NG-RAN node* IE in the *PDU Session Resources To Be Setup List* IE in the HANDOVER REQUEST message. The source NG-RAN node shall include the *DL Forwarding* IE set to "DL forwarding proposed" for all the QoS flows mapped to a DRB, if it requests a DAPS handover for that DRB. For each PDU session that the target NG-RAN node decides to admit the data forwarding for at least one QoS flow, the target NG-RAN node includes the *PDU Session level DL data forwarding GTP-U Tunnel Endpoint* IE within the *Data Forwarding Info from target NG-RAN node* IE in the *PDU Session Resource Admitted Info* IE contained in the *PDU Session Resources Admitted List* IE in the HANDOVER REQUEST ACKNOWLEDGE message.

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

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

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

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

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

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

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

If the *Mobility Restriction List* IE is

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

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

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

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

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

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

- consider that no roaming and no access restriction apply to the UE.

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

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

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

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

Redundant transmission:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

- the *MDT Configuration* IE and if the target NG-RAN Node is a gNB at least *the MDT Configuration-NR* IE shall be present, while if the target NG-RAN Node is an ng-eNB at least the *MDT Configuration-EUTRA* IE shall be present. If the target NG-RAN Node is a gNB receiving a *MDT Configuration-EUTRA* IE, or the target NG-RAN Node is a ng-eNB receiving a *MDT Configuration-NR* IE, the target NG-RAN node shall store it as part of the UE context, and propagate it in next Xn handover as described in TS 37.320 [43].

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

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

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

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

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

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

V2X:

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

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

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

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

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