**3GPP TSG-RAN WG3 #113-e R3-213908**

**16-26 Aug 2021**

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| *CR-Form-v12.0* |
| **CHANGE REQUEST** |
|  |
|  | **38.463** | **CR** |  | **rev** |  | **Current version:** | **15.8.0** |  |
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| *For* [***HE******LP***](http://www.3gpp.org/3G_Specs/CRs.htm#_blank)*on using this form: comprehensive instructions can be found at* [*http://www.3gpp.org/Change-Requests*](http://www.3gpp.org/Change-Requests)*.* |
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| ***Proposed change affects:*** | UICC apps |  | ME |  | Radio Access Network | **X** | Core Network |  |

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| ***Title:***  | Security indication in the modification procedure over E1 interface |
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| ***Source to WG:*** | China Telecom |
| ***Source to TSG:*** | RAN3 |
|  |  |
| ***Work item code:*** | TEI16 |  | ***Date:*** | 2021-05-01 |
|  |  |  |  |  |
| ***Category:*** | F |  | ***Release:*** | Rel-15 |
|  | *Use one of the following categories:****F*** *(correction)****A*** *(mirror corresponding to a change in an earlier release)****B*** *(addition of feature),* ***C*** *(functional modification of feature)****D*** *(editorial modification)*Detailed explanations of the above categories canbe found in 3GPP [TR 21.900](http://www.3gpp.org/ftp/Specs/html-info/21900.htm). | *Use one of the following releases:Rel-8 (Release 8)Rel-9 (Release 9)Rel-10 (Release 10)Rel-11 (Release 11)Rel-12 (Release 12)**Rel-13 (Release 13)Rel-14 (Release 14)Rel-15 (Release 15)Rel-16 (Release 16)* |
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| ***Reason for change:*** | The security indication IE is used to indicate the UP security policy received from SMF. The *security indication* IE cannot be changed or updated in Bearer Context Modification Request message because core network does not change UP security policy in the PDU SESSION RESOURCE MODIFY REQUEST.However, as per TS33.501, in case of the UP security policy received in *Path Switch Acknowledge* is different with that in *Handover Request*, the target CU-CP shall update UP security policy for the target CU-UP. |
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| ***Summary of change:*** | 1. Update the semantic description of *security indication* IE in ***PDU SESSION RESOURCE MODIFY REQUEST***.
2. Add text on the ***security indication*** IE received in ***PDU SESSION RESOURCE MODIFY REQUEST***.

Impact assessment towards the previous version of the specification (same release):This CR has no impact with the previous version of the specification, because the impact can be considered isolated, and there is no backward compatible issue. |
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| ***Consequences if not approved:*** | in case of the UP security policy received in *Path Switch Acknowledge* is different with that in *Handover Request,* integrity protection/ciphering can be not changed in CU-UP via Bearer Context Modification procedure. |
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| ***Clauses affected:*** | 8.3.2.2, 9.3.3.11 |
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|  | **Y** | **N** |  |  |
| ***Other specs*** | **X** |  |  Other core specifications  | TS/TR  |
| ***affected:*** |  | **X** |  Test specifications | TS/TR ... CR ...  |
| ***(show related CRs)*** |  | **X** |  O&M Specifications | TS/TR ... CR ...  |
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| ***Other comments:*** |  |
|  |  |
| ***This CR's revision history:*** |  |

////////////////////////////////////////////////////////////////////////start of change ////////////////////////////////////////////////////////////////////////

### 8.3.2 Bearer Context Modification (gNB-CU-CP initiated)

#### 8.3.2.1 General

The purpose of the Bearer Context Modification procedure is to allow the gNB-CU-CP to modify a bearer context in the gNB-CU-UP. The procedure uses UE-associated signalling.

#### 8.3.2.2 Successful Operation



Figure 8.3.2.2-1: Bearer Context Modification procedure: Successful Operation.

The gNB-CU-CP initiates the procedure by sending the BEARER CONTEXT MODIFICATION REQUEST message to the gNB-CU-UP. If the gNB-CU-UP succeeds to modify the bearer context, it replies to the gNB-CU-CP with the BEARER CONTEXT MODIFICATION RESPONSE message.

The gNB-CU-UP shall report to the gNB-CU-CP, in the BEARER CONTEXT MODIFICATION RESPONSE message, the result for all the requested resources in the following way:

For E-UTRAN:

- 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 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 Modify List* IE;

For NG-RAN:

- A list of PDU Session Resources which are successfully established shall be included in the *PDU Session Resource Setup List* IE;

- A list of PDU Session Resources which failed to be established shall be included in the *PDU Session Resource Failed List* IE;

- A list of PDU Session Resources which are successfully modified shall be included in the *PDU Session Resource Modified List* IE;

- A list of PDU Session Resources which failed to be modified shall be included in the *PDU Session Resource Failed To Modify List* IE;

- For each successfully established or modified PDU Session Resource, a list of DRBs which are successfully established shall be included in the *DRB Setup List* IE;

- For each successfully established or modified PDU Session Resource, a list of DRBs which failed to be established shall be included in the *DRB Failed List* IE;

- For each successfully modified PDU Session Resource, a list of DRBs which are successfully modified shall be included in the *DRB Modified List* IE;

- For each successfully modified PDU Session Resource, a list of DRBs which failed to be modified shall be included in the *DRB Failed To Modify List* IE;

- For each successfully established or modified DRB, a list of QoS Flows which are successfully established shall be included in the *Flow Setup List* IE;

- For each successfully established or modified DRB, a list of QoS Flows which failed to be established shall be included in the *Flow Failed List* IE;

When the gNB-CU-UP reports the unsuccessful establishment of a PDU Session Resource, DRB or QoS Flow the cause value should be precise enough to enable the gNB-CU-CP to know the reason for the unsuccessful establishment.

If the *Security Information* IE is contained in the BEARER CONTEXT MODIFICATION REQUEST message, the gNB-CU-UP shall update the corresponding information.

If the *UE DL Aggregate Maximum Bit Rate* IE is contained in the BEARER CONTEXT MODIFICATION REQUEST message, the gNB-CU-UP shall update the corresponding information.

If the *UE DL Maximum Integrity Protected Data Rate* IE is contained in the BEARER CONTEXT MODIFICATION REQUEST message, the gNB-CU-UP shall update the corresponding information.

If the *Bearer Context Status Change* IE is contained in the BEARER CONTEXT MODIFICATION REQUEST message, the gNB-CU-UP shall consider the UE RRC state and act as specified in TS 38.401 [2].

If the *Data Forwarding Information Request* IE, *PDU Session Data Forwarding Information Request* IE or the *DRB Data Forwarding Information Request* IE are included in the BEARER CONTEXT MODIFICATION REQUEST message, the gNB-CU-UP shall include the requested forwarding information in the *Data Forwarding Information Response* IE, *PDU Session Data Forwarding Information Response* IE or the *DRB Data Forwarding Information Response* IE in the BEARER CONTEXT MODIFICATION RESPONSE message.

If the *PDCP Configuration* IE is contained in the *DRB To Modify List* IE in the BEARER CONTEXT MODIFICATION REQUEST message, the gNB-CU-UP shall update the corresponding information, except for the *PDCP SN UL Size* IE, the *PDCP SN DL Size* IE and the *RLC mode* IE which shall be ignored.

If the *E-UTRAN QoS* IE is contained in the *DRB To Modify List* IE in the BEARER CONTEXT MODIFICATION REQUEST message, the gNB-CU-UP shall update the corresponding information.

If the *PDCP SN Status Request* IE is contained in the *DRB To Modify List* IE in the BEARER CONTEXT MODIFICATION REQUEST message, the gNB-CU-UP shall include the *UL COUNT Value* IE and the *DL COUNT Value* IE in the BEARER CONTEXT MODIFICATION RESPONSE message.

If the *PDCP SN Status Information* IE is contained in the *DRB To Setup List* IE or the *DRB To Modify List* IE in the BEARER CONTEXT MODIFICATION REQUEST message, the gNB-CU-UP shall take it into account and act as specified in TS 38.401 [2].

If the *DL UP Parameters* IE is contained in the *DRB To Modify List* IE in the BEARER CONTEXT MODIFICATION REQUEST message, the gNB-CU-UP shall update the corresponding information.

If the *Cell Group To Add* IE or the *Cell Group To Modify* IE or the *Cell Group To Remove* IE is contained in the *DRB To Modify List* IE in the BEARER CONTEXT MODIFICATION REQUEST message, the gNB-CU-UP shall add or modify or remove the corresponding cell group.

If the *PDU Session Resource DL Aggregate Maximum Bit Rate* IE is contained in the *PDU Session Resource To Setup List* IE in the BEARER CONTEXT MODIFICATION REQUEST message, the gNB-CU-UP shall replace the information in the UE context and use it when enforcing downlink traffic policing for the non GBR QoS flows for the concerned UE, as specified in TS 23.501 [20].

If the *PDU Session Resource DL Aggregate Maximum Bit Rate* IE is contained in the *PDU Session Resource To Modify List* IE in the BEARER CONTEXT MODIFICATION REQUEST message, the gNB-CU-UP shall update the corresponding information.

If the *SDAP Configuration* IE is contained in the *DRB To Modify List* IE in the BEARER CONTEXT MODIFICATION REQUEST message, the gNB-CU-UP shall update the corresponding information.

If the *Flow Mapping Information* IE is contained in the *DRB To Modify List* IE in the BEARER CONTEXT MODIFICATION REQUEST message, the gNB-CU-UP shall update the corresponding information.

For each requested DRB, if the *PDCP Duplication* IE is included in the *PDCP Configuration* IE contained in the BEARER CONTEXT MODIFICATION REQUEST message, and one cell group is included in *Cell Group Information* IE, then the gNB-CU-CP shall include two *UP Transport Layer Information* IEs in the BEARER CONTEXT MODIFICATION REQUEST message, and the gNB-CU-UP shall also include two *UP Transport Layer Information* IEs in the BEARER CONTEXT MODIFICATION RESPONSE message to support packet duplication for intra-gNB-DU CA. The first *UP Transport Layer Information* IE of the two *UP Transport Layer Information* IEs is for the primary path.

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 Bearer Context Modification (gNB-CU-CP initiated) procedure, i.e. only one UP Transport Layer Information per Cell Group ID is present in *DL UP Parameters* IE for the concerned DRB, then the gNB-CU-UP shall consider that PDCP duplication is deconfigured for this DRB. If such Bearer Context Modification (gNB-CU-CP initiated) procedure occurs, the *Duplication Activation* IE shall not be included for the concerned DRB.

If the *New UL TNL Information Required* IE is contained in the BEARER CONTEXT MODIFICATION REQUEST message, the gNB-CU-UP shall include the new UP Transport Layer Information in the BEARER CONTEXT MODIFICATION RESPONSE message.

For each PDU session for which the *Security Indication* IE is included in the *PDU Session Resource To Setup List* IE or *PDU Session Resource To Modify List* IE of the BEARER CONTEXT MODIFICATION REQUEST message, and the *Integrity Protection Indication* IE or *Confidentiality Protection Indication* IE is set to "preferred", then the gNB-CU-UP should, if supported, perform user plane integrity protection or ciphering, respectively, for the concerned PDU session and shall notify whether it performed the user plane integrity protection or ciphering by including the *Integrity Protection Result* IE or *Confidentiality Protection Result* IE, respectively, in the *PDU Session Resource Setup List* IE of the BEARER CONTEXT MODIFICATION RESPONSE message.

For each PDU session for which the *Security Indication* IE is included in the *PDU Session Resource To Setup List* IE or *PDU Session Resource To Modify List* IE of the BEARER CONTEXT MODIFICATION REQUEST message, and the *Integrity Protection Indication* IE or *Confidentiality Protection Indication* IE is set to "required", then the gNB-CU-UP shall perform user plane integrity protection or ciphering, respectively, for the concerned PDU Session. If the gNB-CU-UP cannot perform the user plane integrity protection or ciphering, it shall reject the setup of the PDU Session Resources with an appropriate cause value.

For each PDU session for which the Security Indication IE is included in the *PDU Session Resource To Setup List* IE or *PDU Session Resource To Modify List* IE of the BEARER CONTEXT MODIFICATION REQUEST message:

- if the *Integrity Protection Indication* IE is set to "not needed", then the gNB-CU-UP shall not perform user plane integrity protection for the concerned PDU session;

-if the *Confidentiality Protection Indication* IE is set to "not needed", then the gNB-CU-UP shall not perform user plane ciphering for the concerned PDU session.

For each PDU Session Resource, if the *Network Instance* IE is included in the *PDU Session Resource To Setup List* IE or the *PDU Session Resource To Modify List* IE in the BEARER CONTEXT MODIFICATION REQUEST message and the *Common Network Instance* IE is not included, the gNB-CU-UP shall, if supported, use it when selecting transport network resource as specified in TS 23.501 [20].

For each PDU session, if the *Common Network Instance* IE is included in the *PDU Session Resource To Setup List* IE or the *PDU Session Resource To Modify List* IE in the BEARER CONTEXT MODIFICATION REQUEST message, the gNB-CU-UP shall, if supported, use it when selecting transport network resource as specified in TS 23.501 [20].

If the *QoS Flow Mapping Indication* IE is contained in the *QoS Flow QoS Parameters List* IE in the BEARER CONTEXT MODIFICATION REQUEST message, the gNB-CU-UP 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 *Data Discard Required* IE is contained in the BEARER CONTEXT MODIFICATION REQUEST message and the value is set to “Required”, the gNB-CU-UP shall consider that a RAN Paging Failure occurred for that UE. The gNB-CU-UP shall discard the user plane data for that UE and consider that the bearer context is still suspended.

If *UE Inactivity Timer* IE or *PDU session Inactivity Timer* IE or *DRB Inactivity Timer* IE is contained in BEARER CONTEXT MODIFICATION REQUEST message, the gNB-CU-UP shall take it into account when perform inactivity monitoring.

If the *S-NSSAI* IE is contained in the *PDU Session Resource To Modify List* IE in the BEARER CONTEXT MODIFICATION REQUEST message, the gNB-CU-UP shall store the corresponding information and replace any existing information.

If the *DRB QoS* IE is contained within the *DRB To Setup List* IE in the BEARER CONTEXT MODIFICATION REQUEST message, the gNB-CU-UP shall, if supported, take it into account for each DRB, as specified in TS 28.552 [22].

If the *DRB QoS* IE is contained within the *DRB To Modify List* IE in the BEARER CONTEXT MODIFICATION REQUEST message, the gNB-CU-UP shall, if supported, replace any previously received value and take it into account for each DRB, as specifed in TS 28.552 [22].

If the *gNB-DU-ID* IE is contained in the BEARER CONTEXT MODIFICATION REQUEST message, the gNB-CU-UP shall store and replace any previous information received.

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

If the gNB-CU-UP receives a BEARER CONTEXT MODIFICATION REQUEST message including *Activity Notification Level* IE and its value does not match the current bearer context, the gNB-CU-UP shall ignore the *Activity Notification Level* IE and also the requested modification of inactivity timer.

For each successfully established DRB, the gNB-CU-UP shall provide, in the respective *UL UP Parameters* IE of the BEARER CONTEXT MODIFICATION RESPONSE, one UL UP Transport Layer Information Item per cell group entry contained in the respective *Cell Group Information* IE of the BEARER CONTEXT MODIFICATION REQUEST message.

If the *Old QoS Flow List - UL End Marker expected* IE is included in the *PDU Session Resource To Modify List* IE of the BEARER CONTEXT MODIFICATION REQUEST message for a DRB to be modified, the gNB-CU-UP shall consider that the source NG-RAN node has initiated QoS flow re-mapping and has not yet received SDAP end markers, as described in TS 38.300 [8]. The gNB-CU-UP shall consider that the *Old QoS Flow List - UL End Marker expected* IE only contains UL QoS flow information for QoS flows for which no SDAP end marker has been yet received on the source side.

**Interaction with the Bearer Context Modification (gNB-CU-CP initiated)**

If the BEARER CONTEXT MODIFICATION REQUEST message includes for a DRB in the *DRB To Modify List* IE the *PDCP SN Status Request IE* set to “requested” and if the gNB-CU-UP has not yet received a SDAP end marker packet for a QoS flow which has been previously re-configured to another DRB by means of a gNB-CU-CP initiated Bearer Context Modification procedure, the gNB-CU-UP shall includes the QoS Flow Identifier of that QoS flow in the *Old QoS Flow List - UL End Marker expected* IE in the *PDU Session Resource Modified List* IE in the BEARER CONTEXT MODIFICATION RESPONSE message.

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#### 9.3.3.11 PDU Session Resource To Modify List

This IE contains PDU session resource to modify related information used at Bearer Context Modification Request

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| --- | --- | --- | --- | --- | --- | --- |
| IE/Group Name | Presence | Range | IE type and reference | Semantics description | Criticality | Assigned Criticality |
| **PDU Session Resource To Modify Item** |  | *1..<maxnoofPDUSessionResource>* |  |  | - | - |
| >PDU Session ID  | M |  | 9.3.1.21 |  | - | - |
| >Security Indication  | O |  | 9.3.1.23 |  | - | - |
| >PDU Session Resource DL Aggregate Maximum Bit Rate | O |  | Bit Rate 9.3.1.20 |  | - | - |
| >NG UL UP Transport Layer Information | O |  | UP Transport Layer Information9.3.2.1 |  | - | - |
| >PDU Session Data Forwarding Information Request | O |  | Data Forwarding Information Request 9.3.2.5 | Requesting forwarding information from the target gNB-CU-UP. | - | - |
| >PDU Session Data Forwarding Information | O |  | Data Forwarding Information 9.3.2.6 | Providing forwarding information to the source gNB-CU-UP. | - | - |
| >PDU Session Inactivity Timer | O |  | Inactivity Timer 9.3.1.54 | Included if the Activity Notification Level is set to PDU Session. | - | - |
| >Network Instance | O |  | 9.3.1.62 | This IE is ignored if the *Common Network Instance* IE is included. | YES | ignore |
| >Common Network Instance | O |  | 9.3.1.66 |  | YES | ignore |
| **>DRB To Setup List** |  | *0..1* |  |  | - | - |
| **>>DRB To Setup Item**  |  | *1..<maxnoofDRBs>* |  |  | - | - |
| >>>DRB ID | M |  | 9.3.1.16 |  | - | - |
| >>>SDAP Configuration | M |  | 9.3.1.39 |  | - | - |
| >>>PDCP Configuration | M |  | 9.3.1.38 |  | - | - |
| >>>Cell Group Information | M |  | 9.3.1.11 |  | - | - |
| >>>QoS Flow Information To Be Setup  | M |  | QoS Flow QoS Parameters List9.3.1.25 |  | - | - |
| >>>DRB Data Forwarding Information Request | O |  | Data Forwarding Information Request 9.3.2.5 | Requesting forwarding information from the target gNB-CU-UP. | - | - |
| >>>DRB Inactivity Timer | O |  | Inactivity Timer 9.3.1.54 | Included if the Activity Notification Level is set to DRB. | - | - |
| >>>PDCP SN Status Information | O |  | 9.3.1.58 | Provides the PDCP SN Status at setup after Resume to the target gNB-CU-UP. | - | - |
| >>>DRB QoS  | O |  | 9.3.1.26 | Indicates the DRB QoS when more than one QoS Flow is mapped to the DRB  | YES | ignore |
| **>DRB To Modify List** |  | *0.. 1* |  |  | - | - |
| **>>DRB To Modify Item**  |  | *1..<maxnoofDRBs>* |  |  | - | - |
| >>>DRB ID  | M |  | 9.3.1.16 |  | - | - |
| >>>SDAP Configuration | O |  | 9.3.1.39 |  | - | - |
| >>>PDCP Configuration  | O |  | 9.3.1.38 |  | - | - |
| >>>DRB Data forwarding information | O |  | Data Forwarding Information 9.3.2.6 | Providing forwarding information to the source gNB-CU-UP. | - | - |
| >>>PDCP SN Status Request | O |  | ENUMERATED (requested, …) | The gNB-CU-CP requests the gNB-CU-UP to provide the PDCP SN Status in the response message. | - | - |
| >>>PDCP SN Status Information | O |  | 9.3.1.58 | Provides the PDCP SN Status to the target gNB-CU-UP. | - | - |
| >>>DL UP Parameters | O |  | UP Parameters 9.3.1.13 |  | - | - |
| >>>Cell Group To Add | O |  | Cell Group Information 9.3.1.11 |  | - | - |
| >>>Cell Group To Modify  | O |  | Cell Group Information 9.3.1.11 |  | - | - |
| >>>Cell Group To Remove  | O |  | Cell Group Information 9.3.1.11 |  | - | - |
| >>>Flow Mapping Information  | O |  | QoS Flow QoS Parameters List9.3.1.25 | Overrides previous mapping information.  | - | - |
| >>>DRB Inactivity Timer | O |  | Inactivity Timer 9.3.1.54 | Included if the Activity Notification Level is set to DRB. | - | - |
| >>>Old QoS Flow List - UL End Marker expected | O |  | QoS Flow List9.3.1.12 | Indicates that the source NG-RAN node has initiated QoS flow re-mapping and has not yet received SDAP end markers, as described in TS 38.300 [8]. | YES | reject |
| >>>DRB QoS | O |  | 9.3.1.26 | Indicates the DRB QoS when more than one QoS Flow is mapped to the DRB | YES | ignore |
| **>DRB To Remove List** |  | *0.. 1* |  |  | - | - |
| **>>DRB To Remove Item**  |  | *1..<maxnoofDRBs>* |  |  | - | - |
| >>>DRB ID  | M |  | 9.3.1.16 |  | - | - |
| >S-NSSAI | O |  | 9.3.1.9 |  | YES | reject |

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| Range bound | Explanation |
| maxnoofDRBs | Maximum no. of DRBs for a UE. Value is 32. |
| maxnoofPDUSessionResource  | Maximum no. of PDU Sessions for a UE. Value is 256. |

////////////////////////////////////////////////////////////////////////end of change////////////////////////////////////////////////////////////////////////