**3GPP TSG-RAN WG2 Meeting #113 electronic *R2-2101972***

**Online, Jan 25 – Feb 5, 2021**

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| *CR-Form-v12.0* |
| **CHANGE REQUEST** |
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|  | **36.331** | **CR** | **4604** | **rev** | **1** | **Current version:** | **16.3.0** |  |
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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 | **X** | Radio Access Network |  | Core Network |  |

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| ***Title:***  | Note to clarify UE handling of non-DAPS bearer |
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| ***Source to WG:*** | MediaTek Inc. |
| ***Source to TSG:*** | R2 |
|  |  |
| ***Work item code:*** | LTE\_feMob-Core |  | ***Date:*** | 2021-02-04 |
|  |  |  |  |  |
| ***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 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:*** | In DAPS HO, the handling of non-DAPS DRBs in case of HO failure is very complicated in UE implementation. Because UE not only need to revert back to the UE configuration used for the DRB in the source PCell, but also the data stored in transmission and reception buffers in PDCP and RLC entities. It is desired that UE implementation can be simplified with certain implementation freedom. A note is added to guarantee only a single observable UE behaviour for non-DAPS DRB handling from network side.  |
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| ***Summary of change:*** | A note is added in 5.3.5.4 clarify that UE may perform PDCP/RLC re-establishment for a non-DAPS bearer when indication of successful completion of random access towards target cell is received from lower layers. **Impact analysis**Impacted functionality: DAPS handoverInter-operability:There are no interoperability issues. |
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| ***Consequences if not approved:*** | .UE implementation for non-DAPS bearer handling in case of HO failure is extremely complicated. |
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| ***Clauses affected:*** |  5.3.5.4 |
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|  | **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:*** |  |

[Start of Change]

#### 5.3.5.4 Reception of an *RRCConnectionReconfiguration* including the *mobilityControlInfo* by the UE (handover)

If the *RRCConnectionReconfiguration* message includes the *mobilityControlInfo* and theUE is able to comply with the configuration included in this message, the UE shall:

1> if *daps-HO* is not configured for any DRB:

2> stop timer T310, if running;

2> stop timer T312, if running;

2> if timer T316 is running:

3> stop timer T316;

3> clear the information included in *VarRLF-Report*, if any;

2> resume MCG transmission, if suspended;

1> start timer T304 with the timer value set to *t304,* as included in the *mobilityControlInfo*;

1> stop timer T370, if running;

1> if the *carrierFreq* is included:

2> consider the target PCell to be one on the frequency indicated by the *carrierFreq* with a physical cell identity indicated by the *targetPhysCellId*;

1> else:

2> consider the target PCell to be one on the frequency of the source PCell with a physical cell identity indicated by the *targetPhysCellId*;

1> if T309 is running:

2> stop timer T309 for all access categories;

2> perform the actions as specified in 5.3.16.4.

1> start synchronising to the DL of the target PCell;

NOTE 1: The UE should perform the handover as soon as possible following the reception of the RRC message triggering the handover, which could be before confirming successful reception (HARQ and ARQ) of this message.

1> if BL UE or UE in CE:

2> if *sameSFN-Indication* is not present in *mobilityControlInfo*:

3> acquire the *MasterInformationBlock* in the target PCell;

1> if *makeBeforeBreak* is configured:

2> perform the remainder of this procedure including and following resetting MAC after the UE has stopped the uplink transmission/downlink reception with the source PCell;

NOTE 1a: It is up to UE implementation when to stop the uplink transmission/ downlink reception with the source PCell to initiate re-tuning for connection to the target cell, as specified in TS 36.133 [16], if *makeBeforeBreak* is configured.

NOTE 1b: It is up to UE implementation when to stop the uplink transmission/ downlink reception with the source SCell(s) after receiving *RRCConnectionReconfiguration* message.

1> if *daps-HO* is configured for any DRB:

2> establish a MAC entity for the target PCell, with the same configuration as the MAC entity for the source PCell;

2> for each DRB configured with *daps-HO*:

3> establish the RLC entity or entities and the associated DTCH logical channel for the target PCell, with the same configurations as for the source PCell;

3> reconfigure the PDCP entity to configure DAPS as specified in TS36.323 [8].

2> for each DRB not configured with *daps-HO*:

3> re-establish PDCP;

3> re-establish the RLC entity and associate it, and the associated DTCH logical channel, to the target PCell;

2> for each SRB:

3> establish a PDCP entity for the target PCell, with the same configuration as the PDCP entity for the source PCell;

3> establish an RLC entity and an associated DCCH logical channel for the target PCell, with the same configuration as for the source PCell;

2> suspend the SRBs for the source PCell;

NOTE 1c: In order to understand if a *daps-HO* is configured, the UE needs to check the presence of the field *daps-HO* within the received *RadioResourceConfigDedicated* IE.

NOTE x: In DAPS handover, the UE may re-establish PDCP and RLC entity for a DRB not configured with *daps-HO* when MAC successfully completes the random access procedure. The UE suspends data transmission and reception for all DRBs not configured with *daps-HO* in the source PCell for the duration of the DAPS handover.

1> else (if *daps-HO* is not configured):

2> reset MCG MAC and SCG MAC, if configured;

2> release *uplinkDataCompression*, if configured;

2> re-establish PDCP for all RBs configured with *pdcp-config* that are established;

NOTE 2: The handling of the radio bearers after the successful completion of the PDCP re-establishment, e.g. the re-transmission of unacknowledged PDCP SDUs (as well as the associated status reporting), the handling of the SN and the HFN, is specified in TS 36.323 [8].

NOTE 2a: At handover the *reestablishPDCP* flag will be set for all RBs configured with NR PDCP in *nr-RadioBearerConfig1* or *nr-RadioBearerConfig2* TS 38.331 [82] which will cause the PDCP entity to be re-established also for these RBs.

2> re-establish MCG RLC and SCG RLC, if configured, for all RBs that are established;

1> for each SCell configured for the UE other than the PSCell:

2> if the received *RRCConnectionReconfiguration* message includes *sCellState* for the SCell and indicates *activated*:

3> configure lower layers to consider the SCell to be in activated state;

2> else if the received *RRCConnectionReconfiguration* message includes *sCellState* for the SCell and indicates *dormant*:

3> configure lower layers to consider the SCell to be in dormant state;

2> else:

3> configure lower layers to consider the SCell to be in deactivated state;

1> apply the value of the *newUE-Identity* as the C-RNTI in the target MCG;

1> if the *RRCConnectionReconfiguration* message includes the *fullConfig*:

2> perform the radio configuration procedure as specified in 5.3.5.8;

1> configure lower layers in accordance with the received *radioResourceConfigCommon*;

1> if the received *RRCConnectionReconfiguration* message includes the *rach-Skip*:

2> configure lower layers to apply the *rach-Skip* for the target MCG, as specified in TS 36.213 [23] and 36.321 [6];

1> configure lower layers in accordance with any additional fields, not covered in the previous, if included in the received mobilityControlInfo;

1> if the received *RRCConnectionReconfiguration* includes the *sCellToReleaseList*:

2> perform SCell release as specified in 5.3.10.3a;

1> if the received *RRCConnectionReconfiguration* includes the *sCellGroupToReleaseList*:

2> perform SCell group release as specified in 5.3.10.3d;

1> if the received *RRCConnectionReconfiguration* includes the *scg-Configuration*; or

1> if the current UE configuration includes one or more split DRBs and the received *RRCConnectionReconfiguration* includes *radioResourceConfigDedicated* including *drb-ToAddModList*:

2> perform SCG reconfiguration as specified in 5.3.10.10;

1> if the *RRCConnectionReconfiguration* message includes the *radioResourceConfigDedicated*:

2> perform the radio resource configuration procedure as specified in 5.3.10;

1> if the *securityConfigHO* (without suffix) is included in the *RRCConnectionReconfiguration*:

2> if the *keyChangeIndicator* received in the *securityConfigHO* is set to *TRUE*:

3> update the KeNB key based on the KASME key taken into use with the latest successful NAS SMC procedure, as specified in TS 33.401 [32];

2> else:

3> update the KeNB key based on the current KeNB or the NH, using the *nextHopChainingCount* value indicated in the *securityConfigHO*, as specified in TS 33.401 [32];

NOTE 2b: If the UE needs to update the S-KeNB key as specified in 5.3.10.10, the UE updates the S-KeNB after updating the KeNB key.

2> store the *nextHopChainingCount* value;

2> if the *securityAlgorithmConfig* is included in the *securityConfigHO*:

3> derive the KRRCint key associated with the *integrityProtAlgorithm*, as specified in TS 33.401 [32];

3> if connected as an RN:

4> derive the KUPint key associated with the *integrityProtAlgorithm*, as specified in TS 33.401 [32];

3> derive the KRRCenc key and the KUPenc key associated with the *cipheringAlgorithm*, as specified in TS 33.401 [32];

2> else:

3> derive the KRRCint key associated with the current integrity algorithm, as specified in TS 33.401 [32];

3> if connected as an RN:

4> derive the KUPint key associated with the current integrity algorithm, as specified in TS 33.401 [32];

3> derive the KRRCenc key and the KUPenc key associated with the current ciphering algorithm, as specified in TS 33.401 [32];

2> configure lower layers to apply the integrity protection algorithm and the KRRCint key, i.e. the integrity protection configuration shall be applied to all subsequent messages received and sent by the UE, including the message used to indicate the successful completion of the procedure;

2> configure lower layers to apply the ciphering algorithm, the KRRCenc key and the KUPenc key, i.e. the ciphering configuration shall be applied to all subsequent messages received and sent by the UE, including the message used to indicate the successful completion of the procedure;

NOTE 2c: For a DRB configured for DAPS HO, the new ciphering algorithm and the KUPenc key is applied for traffic exchange between the UE and the target MCG while the old ciphering algorithm and KUPenc key is applied for traffic exchange between the UE and the source MCG.

1> else if the *securityConfigHO-v1530* is included in the *RRCConnectionReconfiguration*:

2> if the *nas-Container* is received:

3> forward the *nas-Container* to upper layers;

2> if the *keyChangeIndicator-r15* is received and is set to *TRUE*:

3> update the KeNB key based on the KAMF key, as specified in TS 33.501 [86];

2> else:

3> update the KeNB key based on the current KeNB or the NH, using the received *nextHopChainingCount-r15*, as specified in TS 33.501 [86];

2> store the *nextHopChainingCount-r15* value;

2> if the security*AlgorithmConfig-r15* is received:

3> derive the KRRCint key associated with the *integrityProtAlgorithm*, as specified in TS 33.401 [32];

3> derive the KRRCenc key and the KUPenc key associated with the *cipheringAlgorithm*, as specified in TS 33.401 [32];

2> else:

3> derive the KRRCint key associated with the current integrity algorithm, as specified in TS 33.401 [32];

3> derive the KRRCenc key and the KUPenc key associated with the current ciphering algorithm, as specified in TS 33.401 [32];

1> if the received *RRCConnectionReconfiguration* includes the *nr-Config* and it is set to *release*; or

1> if the received *RRCConnectionReconfiguration* includes *endc-ReleaseAndAdd* and it is set to *TRUE*:

2> perform MR-DC release as specified in TS 38.331 [82], clause 5.3.5.10;

1> if the received *RRCConnectionReconfiguration* includes the *sk-Counter*:

2> perform key update procedure as specified in in TS 38.331 [82], clause 5.3.5.7;

1> if the received *RRCConnectionReconfiguration* includes the *nr-SecondaryCellGroupConfig*:

2> perform NR RRC Reconfiguration as specified in TS 38.331 [82], clause 5.3.5.3.

1> if the received *RRCConnectionReconfiguration* includes the *nr-RadioBearerConfig1*:

2> perform radio bearer configuration as specified in TS 38.331 [82], clause 5.3.5.6;

1> if the received *RRCConnectionReconfiguration* includes the *nr-RadioBearerConfig2*:

2> perform radio bearer configuration as specified in TS 38.331 [82], clause 5.3.5.6.

1> if connected as an RN:

2> configure lower layers to apply the integrity protection algorithm and the KUPint key, for current or subsequently established DRBs that are configured to apply integrity protection, if any;

1> if the received *RRCConnectionReconfiguration* includes the *sCellToAddModList*:

2> perform SCell addition or modification as specified in 5.3.10.3b;

1> if the received *RRCConnectionReconfiguration* includes the *sCellGroupToAddModList*:

2> perform SCell group addition or modification as specified in 5.3.10.3e;

1> if the received *RRCConnectionReconfiguration* includes the *systemInformationBlockType1Dedicated*:

2> perfom the actions upon reception of the *SystemInformationBlockType1* message as specified in 5.2.2.7;

1> perform the measurement related actions as specified in 5.5.6.1;

1> if the *RRCConnectionReconfiguration* message includes the *measConfig*:

2> perform the measurement configuration procedure as specified in 5.5.2;

1> perform the measurement identity autonomous removal as specified in 5.5.2.2a;

1> release *reportProximityConfig* and clear any associated proximity status reporting timer;

1> if the *RRCConnectionReconfiguration* message includes the *otherConfig*:

2> perform the other configuration procedure as specified in 5.3.10.9;

1> if the *RRCConnectionReconfiguration* message includes the *sl-DiscConfig* or *sl-CommConfig*:

2> perform the sidelink dedicated configuration procedure as specified in 5.3.10.15;

1> if the *RRCConnectionReconfiguration* message includes *wlan-OffloadInfo*:

2> perform the dedicated WLAN offload configuration procedure as specified in 5.6.12.2;

1> if *handoverWithoutWT-Change* is not configured:

2> release the LWA configuration, if configured, as described in 5.6.14.3;

1> release the LWIP configuration, if configured, as described in 5.6.17.3;

1> if the *RRCConnectionReconfiguration* message includes *rclwi-Configuration*:

2> perform the WLAN traffic steering command procedure as specified in 5.6.16.2;

1> if the *RRCConnectionReconfiguration* message includes *lwa-Configuration*:

2> perform the LWA configuration procedure as specified in 5.6.14.2;

1> if the *RRCConnectionReconfiguration* message includes *lwip-Configuration*:

2> perform the LWIP reconfiguration procedure as specified in 5.6.17.2;

1> if the *RRCConnectionReconfiguration* message includes the *sl-V2X-ConfigDedicated* or *mobilityControlInfoV2X*:

2> perform the V2X sidelink communication dedicated configuration procedure as specified in 5.3.10.15a;

NOTE 2d: In case of conditional reconfiguration the text "if the received *RRCConnectionReconfiguration. . .*" corresponds to applying the stored *RRCConnectionReconfiguration* message (according to 5.3.5.9.5).

1> if the UE is configured to operate in EN-DC as result of this procedure, forward *upperLayerIndication*, as if the UE receives this field from SIB2, to upper layers, otherwise indicate upper layers absence of this field;

1> set the content of *RRCConnectionReconfigurationComplete* message as follows:

2> if the UE has radio link failure or handover failure information available in *VarRLF-Report* and if the RPLMN is included in *plmn-IdentityList* stored in *VarRLF-Report*:

3> include *rlf-InfoAvailable*;

2> if the UE has MBSFN logged measurements available for E-UTRA and if the RPLMN is included in *plmn-IdentityList* stored in *VarLogMeasReport* and if T330 is not running:

3> include *logMeasAvailableMBSFN*;

2> else if the UE has logged measurements available for E-UTRA and if the RPLMN is included in *plmn-IdentityList* stored in *VarLogMeasReport*:

3> include the *logMeasAvailable*;

2> if Bluetooth measurement results are included in the logged measurements the UE has available and if the RPLMN is included in *plmn-IdentityList* stored in *VarLogMeasReport*:

3> include *logMeasAvailableBT*;

2> if WLAN measurement results are included in the logged measurements the UE has available and if the RPLMN is included in *plmn-IdentityList* stored in *VarLogMeasReport*:

3> include *logMeasAvailableWLAN*;

2> if the UE has connection establishment failure information available in *VarConnEstFailReport* and if the RPLMN is equal to *plmn-Identity* stored in *VarConnEstFailReport*:

3> include *connEstFailInfoAvailable*;

2> if the *RRCConnectionReconfiguration* message includes *perCC-GapIndicationRequest*:

3> include *perCC-GapIndicationList* and *numFreqEffective*;

2> if the frequencies are configured for reduced measurement performance:

3> include *numFreqEffectiveReduced*;

2> if the UE has flight path information available:

3> include *flightPathInfoAvailable*;

2> if the received *RRCConnectionReconfiguration* message included *nr-SecondaryCellGroupConfig*:

3> include *scg-ConfigResponseNR* in accordance with TS 38.331 [82], clause 5.3.5.3;

1> submit the *RRCConnectionReconfigurationComplete* message to lower layers for transmission;

1> if MAC successfully completes the random access procedure; or

1> if MAC indicates the successful reception of a PDCCH transmission addressed to C-RNTI and if *rach-Skip* is configured:

2> stop timer T304;

2> if *daps-HO* is configured for any DRB:

3> stop timer T310, if running;

3> stop timer T312, if running;

3> for each DAPS bearer trigger UL data switching, as specified in TS 36.323 [8];

2> release *rach-Skip*;

2> apply the parts of the CQI reporting configuration, the scheduling request configuration and the sounding RS configuration that do not require the UE to know the SFN of the target PCell, if any;

2> apply the parts of the measurement and the radio resource configuration that require the UE to know the SFN of the target PCell (e.g. measurement gaps, periodic CQI reporting, scheduling request configuration, sounding RS configuration), if any, upon acquiring the SFN of the target PCell;

NOTE 3: Whenever the UE shall setup or reconfigure a configuration in accordance with a field that is received it applies the new configuration, except for the cases addressed by the above statements.

2> if the UE is configured to provide IDC indications:

3> if the UE has initiated the transmission of an *InDeviceCoexIndication* message during the last 1 second preceding reception of the *RRCConnectionReconfiguration* message including *mobilityControlInfo*:

4> initiate transmission of the *InDeviceCoexIndication* message in accordance with 5.6.9.3;

2> if the UE is configured to provide power preference indications, overheating assistance information, SPS assistance information, delay budget report or maximum bandwidth preference indications:

3> if the UE has initiated the transmission of a *UEAssistanceInformation* message during the last 1 second preceding reception of the *RRCConnectionReconfiguration* message including *mobilityControlInfo*:

4> initiate transmission of the *UEAssistanceInformation* message in accordance with 5.6.10.3;

2> if *SystemInformationBlockType15* is broadcast by the PCell:

3> if the UE has initiated the transmission of a *MBMSInterestIndication* message during the last 1 second preceding reception of the *RRCConnectionReconfiguration* message including *mobilityControlInfo*:

4> ensure having a valid version of *SystemInformationBlockType15* for the PCell;

4> determine the set of MBMS frequencies of interest in accordance with 5.8.5.3;

4> determine the set of MBMS services of interest in accordance with 5.8.5.3a;

4> initiate transmission of the *MBMSInterestIndication* message in accordance with 5.8.5.4;

2> if *SystemInformationBlockType18* is broadcast by the target PCell; and the UE initiated the transmission of a *SidelinkUEInformation* message indicating a change of sidelink communication related parameters relevant in target PCell (i.e. change of *commRxInterestedFreq* or *commTxResourceReq*, *commTxResourceReqUC* if *SystemInformationBlockType18* includes *commTxResourceUC-ReqAllowed* or *commTxResourceInfoReqRelay* if PCell broadcasts *SystemInformationBlockType19* including *discConfigRelay*) during the last 1 second preceding reception of the *RRCConnectionReconfiguration* message including *mobilityControlInfo*; or

2> if *SystemInformationBlockType19* is broadcast by the target PCell; and the UE initiated the transmission of a *SidelinkUEInformation* message indicating a change of sidelink discovery related parameters relevant in target PCell (i.e. change of *discRxInterest* or *discTxResourceReq*, *discTxResourceReqPS* if *SystemInformationBlockType19* includes *discConfigPS* or *discRxGapReq* or *discTxGapReq* if the UE is configured with *gapRequestsAllowedDedicated* set to *true* or if the UE is not configured with *gapRequestsAllowedDedicated* and *SystemInformationBlockType19* includes *gapRequestsAllowedCommon*) during the last 1 second preceding reception of the *RRCConnectionReconfiguration* message including *mobilityControlInfo*; or

2> if *SystemInformationBlockType21* is broadcast by the target PCell; and the UE initiated the transmission of a *SidelinkUEInformation* message indicating a change of V2X sidelink communication related parameters relevant in target PCell (i.e. change of *v2x-CommRxInterestedFreqList* or *v2x-CommTxResourceReq*) during the last 1 second preceding reception of the *RRCConnectionReconfiguration* message including *mobilityControlInfo*:

3> initiate transmission of the *SidelinkUEInformation* message in accordance with 5.10.2.3;

2> remove all the entries within *VarConditionalReconfiguration*, if any;

2> for each *measId* of the source SpCell configuration, if the associated *reportConfig* is *condReconfigurationTriggerEUTRA*:

3> remove the entry with the matching *measId* from the *measIdList* within the *VarMeasConfig*;

3> remove the entry with the matching *reportConfigId* from the *reportConfigList* within the *VarMeasConfig*;

3> if the *measObjectId* is only included in a *MeasIdToAddMod*:

4> remove the entry with the matching *measObjectId* from the *measObjectList* within the *VarMeasConfig*;

2> the procedure ends;

NOTE 4: The UE is not required to determine the SFN of the target PCell by acquiring system information from that cell before performing RACH access in the target PCell, except for BL UEs or UEs in CE when *sameSFN-Indication* is not present in *mobilityControlInfo*.

 [End of Change]