**3GPP TSG-RAN WG3 Meeting #110-e *R3-207091***

**E-meeting, 2 – 12 Nov 2020**

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| *CR-Form-v12.1* |
| **CHANGE REQUEST** |
|  |
|  | **38.413** | **CR** | **0510** | **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)*.* |
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| ***Proposed change affects:*** | UICC apps |  | ME |  | Radio Access Network |  | Core Network |  |

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|  |
| ***Title:***  | Clarification of AQP |
|  |  |
| ***Source to WG:*** | Huawei, Orange, BT |
| ***Source to TSG:*** | RAN3 |
|  |  |
| ***Work item code:*** | TEI17 |  | ***Date:*** | 2020-11-22 |
|  |  |  |  |  |
| ***Category:*** | **F** |  | ***Release:*** | *Rel-17* |
|  | *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-15 (Release 15)Rel-16 (Release 16)Rel-17 (Release 17)Rel-18 (Release 18)* |
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| ***Reason for change:*** | The behaviour for handling alternative QoS profiles at admission control is not specified |
|  |  |
| ***Summary of change:*** | Specifying how AQP are handled during admission control |
|  |  |
| ***Consequences if not approved:*** | Inconsistent behaviour in the system |
|  |  |
| ***Clauses affected:*** |  |
|  |  |
|  | **Y** | **N** |  |  |
| ***Other specs*** |  |  |  Other core specifications  | TS/TR ... CR ...  |
| ***affected:*** |  |  |  Test specifications | TS/TR ... CR ...  |
| ***(show related CRs)*** |  |  |  O&M Specifications | TS/TR ... CR ...  |
|  |  |
| ***Other comments:*** |  |
|  |  |
| ***This CR's revision history:*** | Rev1: Simplified the procedure text |

### 8.2.1 PDU Session Resource Setup

#### 8.2.1.1 General

The purpose of the PDU Session Resource Setup procedure is to assign resources on Uu and NG-U for one or several PDU sessions and the corresponding QoS flows, and to setup corresponding DRBs for a given UE. The procedure uses UE-associated signalling.

#### 8.2.1.2 Successful Operation



Figure 8.2.1.2-1: PDU session resource setup: successful operation

The AMF initiates the procedure by sending a PDU SESSION RESOURCE SETUP REQUEST message to the NG-RAN node.

The PDU SESSION RESOURCE SETUP REQUEST message shall contain the information required by the NG-RAN node to setup the PDU session related NG-RAN configuration consisting of at least one PDU session resource and include each PDU session resource to setup in the *PDU Session Resource Setup Request List* IE.

Upon reception of the PDU SESSION RESOURCE SETUP REQUEST message, if resources are available for the requested configuration, the NG-RAN node shall execute the requested NG-RAN configuration and allocate associated resources over NG and over Uu for each PDU session listed in the *PDU Session Resource Setup Request List* IE.

If the *RAN Paging Priority* IE is included in the PDU SESSION RESOURCE SETUP REQUEST message, the NG-RAN node may use it to determine a priority for paging the UE in RRC\_INACTIVE state.

For each requested PDU session, if resources are available for the requested configuration, the NG-RAN node shall establish at least one DRB and associate each accepted QoS flow of the PDU session to a DRB established.

For each PDU session successfully established the NG-RAN node shall pass to the UE the *PDU Session* *NAS-PDU* IE, if included, and the value contained in the *PDU Session ID* IE received for the PDU session. The NG-RAN node shall not send to the UE the PDU Session NAS PDUs associated to the failed PDU sessions.

If the *NAS-PDU* IE is included in the PDU SESSION RESOURCE SETUP REQUEST message, the NG-RAN node shall pass it to the UE.

For each PDU session the NG-RAN node shall store the *UL NG-U UP TNL Information* IE included in the *PDU Session Resource Setup Request Transfer* IE contained in the PDU SESSION RESOURCE SETUP REQUEST message and use it as the uplink termination point for the user plane data for this PDU session.

For each PDU session, if the *Additional UL NG-U UP TNL Information* IE is included in the *PDU Session Resource Setup Request Transfer* IE contained in the PDU SESSION RESOURCE SETUP REQUEST message, the NG-RAN node may allocate for this split PDU session resources for an additional NG-U transport bearer for some or all of the QoS flows present in the *QoS Flow Setup Request List* IE and it shall indicate these QoS flows in the *Additional DL QoS Flow per TNL Information* IE in the *PDU Session Resource Setup Response Transfer* IE. In case the *Additional DL QoS Flow per TNL Information* IE is not included the SMF shall consider the proposed additional UL NG-U UP TNL information as available again.

For each PDU session, if the *Network Instance* IE is included in the *PDU Session Resource Setup Request Transfer* IE contained in the PDU SESSION RESOURCE SETUP REQUEST message and the *Common Network Instance* IE is not present, the NG-RAN node shall, if supported, use it when selecting transport network resource as specified in TS 23.501 [9].

For each PDU session, if the *Common Network Instance* IE is included in the *PDU Session Resource Setup Request Transfer* IE contained in the PDU SESSION RESOURCE SETUP REQUEST message, the NG-RAN node shall, if supported, use it when selecting transport network resource as specified in TS 23.501 [9].

For each PDU session, if the *Redundant UL NG-U UP TNL Information* IE is included in the *PDU Session Resource Setup Request Transfer* IE of the PDU SESSION RESOURCE SETUP REQUEST message, the NG-RAN node shall, if supported, use it as the uplink termination point for the user plane data for this PDU session for the redundant transmission and it shall include the *Redundant QoS Flow per TNL Information* IE in the *PDU Session Resource Setup Response Transfer* IE as described in TS 23.501 [9].

For each PDU session, if the *Additional Redundant UL NG-U UP TNL Information* IE is included in the *PDU Session Resource Setup Request Transfer* IE contained in the PDU SESSION RESOURCE SETUP REQUEST message, the NG-RAN node may allocate for this split PDU session resources for an additional redundant NG-U transport bearer for some or all of the QoS flows present in the *QoS Flow Setup Request List* IE and it shall indicate these QoS flows in the *Additional Redundant DL QoS Flow per TNL Information* IE in the *PDU Session Resource Setup Response Transfer* IE. In case the *Additional* *Redundant DL QoS Flow per TNL Information* IE is not included the SMF shall consider the proposed additional Redundant UL NG-U UP TNL information as available again.

For each PDU session, if the *Redundant Common Network Instance* IE is included in the *PDU Session Resource Setup Request Transfer* IE contained in the PDU SESSION RESOURCE SETUP REQUEST message, the NG-RAN node shall, if supported, use it when selecting transport network resource for the redundant transmission as specified in TS 23.501 [9].

For each PDU session, if the *TSC Traffic Characteristics* IE is included in the *PDU Session Resource Setup Request Transfer* IE contained in the PDU SESSION RESOURCE SETUP REQUEST message, the NG-RAN node shall, if supported, store it and use it as specified in TS 23.501 [9].

For each PDU session, if the *PDU Session Type* IE included in the *PDU Session Resource Setup Request Transfer* IE of the PDU SESSION RESOURCE SETUP REQUEST message is set to "ethernet", the NG-RAN node may perform appropriate header compression for the concerned PDU session, or if it is set to "unstructured", the NG-RAN node shall not perform header compression for the concerned PDU session.

For each PDU session for which the *Security Indication* IE is included in the *PDU Session Resource Setup Request Transfer* IE of the PDU SESSION RESOURCE SETUP REQUEST message, and the *Integrity Protection Indication* IE or *Confidentiality Protection Indication* IE is set to "required", then the NG-RAN node shall perform user plane integrity protection or ciphering, respectively, for the concerned PDU session. If the NG-RAN node cannot 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 Setup Request Transfer* IE of the PDU SESSION RESOURCE SETUP REQUEST message, and the *Integrity Protection Indication* IE or *Confidentiality Protection Indication* IE is set to "preferred", then the NG-RAN node 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 Response Transfer* IE of the PDU SESSION RESOURCE SETUP RESPONSE message.

For each PDU session for which the *Maximum Integrity Protected Data Rate Downlink* IE or the *Maximum Integrity Protected Data Rate Uplink* IE are included in the *Security Indication* IE in the *PDU Session Resource Setup Request Transfer* IE of the PDU SESSION RESOURCE SETUP REQUEST message, 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 limits corresponding to the received values, for the concerned PDU session and concerned UE, as specified in TS 23.501 [9].

For each PDU session for which the *Security Indication* IE is included in the *PDU Session Resource Setup Request Transfer* IE of the PDU SESSION RESOURCE SETUP REQUEST message:

- if the *Integrity Protection Indication* IE is set to "not needed", then the NG-RAN node 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 NG-RAN node shall not perform user plane ciphering for the concerned PDU session.

For each PDU session for which the *PDU Session Aggregate Maximum Bit Rate* IE is included in the *PDU Session Resource Setup Request Transfer* IE of the PDU SESSION RESOURCE SETUP REQUEST message, the NG-RAN node shall store the received value 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 [9].

For each PDU session in the PDU SESSION RESOURCE SETUP REQUEST message, if the *Additional QoS* *Flow Information* IE is included in the *QoS Flow Level QoS Parameters* IE in the *PDU Session Resource Setup Request Transfer* IE of the PDU SESSION RESOURCE SETUP REQUEST message, the NG-RAN node may consider it for the DRB allocation process. It is up to NG-RAN node implementation to decide whether and how to use it.

For each PDU session in the PDU SESSION RESOURCE SETUP REQUEST message, if the *Alternative QoS Parameters Set List* IE is included in the *GBR QoS Flow Information* IE in the *PDU Session Resource Setup Request Transfer* IE of the PDU SESSION RESOURCE SETUP REQUEST message, the NG-RAN node may accept the setup of the QoS flow when notification control has been enabled if the requested QoS parameters or at least one of the alternative QoS parameters sets can be fulfilled at the time of setup. In case the NG-RAN node accepts the setup fulfilling one of the alternative QoS parameters it shall indicate the alternative QoS parameters set which it currently fulfils in the *Current QoS Parameters Set Index* IE within the *PDU Session Resource Setup Response Transfer* IE of the PDU SESSION RESOURCE SETUP RESPONSE message.

For each QoS flow which has been successfully established, the NG-RAN node shall store the *Redundant QoS* *Flow Indicator* IE if included in the *PDU Session Resource Setup Request Transfer* IE contained in the PDU SESSION RESOURCE SETUP REQUEST message and consider it for the redundant transmission as specified in TS 23.501 [9].

For each QoS flow which has been successfully established, if the *QoS Monitoring Request* IE was included in the *QoS Flow Level QoS Parameters* IE contained in the PDU SESSION RESOURCE SETUP REQUEST message, the NG-RAN node shall store this information, and, if supported, perform delay measurement and QoS monitoring, as specified in TS 23.501 [9].

For each QoS flow requested to be setup the NG-RAN node shall take into account the received *QoS Flow Level QoS Parameters* IE. For each QoS flow the NG-RAN node shall establish or modify the resources according to the values of the *Allocation and Retention Priority* IE (priority level and pre-emption indicators) and the resource situation as follows:

- The NG-RAN node shall consider the priority level of the requested QoS flow, when deciding on the resource allocation.

- If the *Alternative QoS Parameter Set List* IE is received for a requested QoS flow the NG-RAN node shall, if supported, consider to not reject the flow by using any of the Alternative QoS Parameter Sets for this QoS flow and any of the Alternative QoS Parameter Sets (if received) for other existing QoS flows.

- The priority levels and the pre-emption indicators may (individually or in combination) be used to determine whether the QoS flow setup has to be performed unconditionally and immediately. If the requested QoS flow is marked as "may trigger pre-emption" and the resource situation requires so, the NG-RAN node may trigger the pre-emption procedure which may then cause the forced release of a lower priority QoS flow which is marked as "pre-emptable". Whilst the process and the extent of the pre-emption procedure are operator-dependent, the pre-emption indicators shall be treated as follows:

1. The values of the last received *Pre-emption Vulnerability* IE and *Priority Level* IE shall prevail.

2. If the *Pre-emption Capability* IE is set to "may trigger pre-emption", then this allocation request may trigger the pre-emption procedure.

3. If the *Pre-emption Capability* IE is set to "shall not trigger pre-emption", then this allocation request shall not trigger the pre-emption procedure.

4. If the *Pre-emption Vulnerability* IE is set to "pre-emptable", then this QoS flow shall be included in the pre-emption process.

5. If the *Pre-emption Vulnerability* IE is set to "not pre-emptable", then this QoS flow shall not be included in the pre-emption process.

- The NG-RAN node pre-emption process shall keep the following rules:

1. The NG-RAN node shall only pre‑empt QoS flows with lower priority, in ascending order of priority.

2. The pre-emption may be done for QoS flows belonging to the same UE or to other UEs.

3. If the Alternative QoS Parameter Set List IE is received for a QoS flow that is a candidate for pre-emption, the NG-RAN node shall, if supported, consider to not pre-empt the flow by using any of the Alternative QoS Parameter Sets for this flow and any of the Alternative QoS Parameter Sets (if received) for other existing QoS flows.

For each QoS flow which has been successfully established, the NG-RAN node shall store the mapped E-RAB ID if included in the *PDU Session Resource Setup Request Transfer* IE contained in the PDU SESSION RESOURCE SETUP REQUEST message and use it as specified in TS 38.300 [8].

For each PDU session, if the *Redundant PDU Session Information* IE is included in the *PDU Session Resource Setup Request Transfer* IE contained in the PDU SESSION RESOURCE SETUP REQUEST message, the NG-RAN node shall, if supported, store the received information in the UE context and setup the redundant user plane for the redundant PDU session as specified in TS38.300 [8] and TS 23.501 [9]. If the *PDU Session Type* IE is set to “ethernet” and the redundancy requirement is fulfilled using a secondary NG-RAN node, the NG-RAN node shall, if supported, include the *Global RAN Node ID of Secondary NG-RAN Node* IE in the *PDU Session Resource Setup Response Transfer* IE of the PDU SESSION RESOURCE SETUP RESPONSE message.

The NG-RAN node shall report to the AMF in the PDU SESSION RESOURCE SETUP RESPONSE message the result for each PDU session resource requested to be setup:

- For each PDU session resource successfully setup, the *PDU Session Resource Setup Response Transfer* IE shall be included containing:

1. The NG-U UP transport layer information to be used for the PDU session and associated list of QoS flows which have been successfully established, in the *QoS Flow per TNL Information* IE.

2. The list of QoS flows which failed to be established, if any, in the *QoS Flow Failed to Setup List* IE. When the NG-RAN node reports unsuccessful establishment of a QoS flow, the cause value should be precise enough to enable the SMF to know the reason for the unsuccessful establishment.

- For each PDU session resource which failed to be setup, the *PDU Session Resource Setup Unsuccessful Transfer* IE shall be included containing a cause value that should be precise enough to enable the SMF to know the reason for the unsuccessful establishment.

Upon reception of the PDU SESSION RESOURCE SETUP RESPONSE message the AMF shall, for each PDU session indicated in the *PDU Session ID* IE, transfer transparently the *PDU Session Resource Setup Response Transfer* IE or *PDU Session Resource Setup Unsuccessful Transfer* IE to the SMF associated with the concerned PDU session.

Upon reception of the PDU SESSION RESOURCE SETUP REQUEST message to setup a QoS flow for IMS voice, if the NG-RAN node is not able to support IMS voice, the NG-RAN node shall initiate EPS fallback or RAT fallback for IMS voice procedure as specified in TS 23.501 [9] and report unsuccessful establishment of the QoS flow in the *PDU Session Resource Setup Response Transfer* IE or in the *PDU Session Resource Setup Unsuccessful Transfer* IE with cause value "IMS voice EPS fallback or RAT fallback triggered".

For each PDU session for which the *Global RAN Node ID of Secondary NG-RAN Node* IE is included in the *PDU Session Resource Setup Response Transfer* IE of the PDU SESSION RESOURCE SETUP RESPONSE message, the SMF shall, if supported, handle this information as specified in TS 23.501 [9].

The *UE Aggregate Maximum Bit Rate* IE should be sent to the NG-RAN node if the AMF has not sent it previously. If it is included in the PDU SESSION RESOURCE SETUP REQUEST message, the NG-RAN node shall store the UE Aggregate Maximum Bit Rate in the UE context, and use the received UE Aggregate Maximum Bit Rate for all Non-GBR QoS flows for the concerned UE as specified in TS 23.501 [9].

**Interactions with Handover Preparation procedure:**

If a handover becomes necessary during the PDU Session Resource Setup procedure, the NG-RAN node may interrupt the ongoing PDU Session Resource Setup procedure and initiate the Handover Preparation procedure as follows:

1. The NG-RAN node shall send the PDU SESSION RESOURCE SETUP RESPONSE message in which the NG-RAN node shall indicate, if necessary, all the PDU session resources which failed to be setup with an appropriate cause value, e.g. "NG intra-system handover triggered", "NG inter-system handover triggered" or "Xn handover triggered".

2. The NG-RAN node shall trigger the handover procedure.

#### 8.2.1.3 Unsuccessful Operation

The unsuccessful operation is specified in the successful operation section.

#### 8.2.1.4 Abnormal Conditions

If the NG-RAN node receives a PDU SESSION RESOURCE SETUP REQUEST message containing several *PDU Session ID* IEs (in the *PDU Session Resource Setup Request List* IE) set to the same value, the NG-RAN node shall report the establishment of the corresponding PDU sessions as failed in the PDU SESSION RESOURCE SETUP RESPONSE message with an appropriate cause value.

If the NG-RAN node receives a PDU SESSION RESOURCE SETUP REQUEST message containing a *PDU Session ID* IE (in the *PDU Session Resource Setup Request List* IE) set to a value that identifies an active PDU session (established before the PDU SESSION RESOURCE SETUP REQUEST message was received), the NG-RAN node shall report the establishment of the new PDU session as failed in the PDU SESSION RESOURCE SETUP RESPONSE message with an appropriate cause value.

If the NG-RAN node receives a PDU SESSION RESOURCE SETUP REQUEST message containing a *QoS Flow Setup Request List* IE in the *PDU Session Resource Setup Request Transfer* IE including at least one Non-GBR QoS flow but the *PDU Session Aggregate Maximum Bit Rate* IE is not present, the NG-RAN node shall report the establishment of the corresponding PDU session as failed in the PDU SESSION RESOURCE SETUP REQUEST message with an appropriate cause value.

If the NG-RAN node receives a PDU SESSION RESOURCE SETUP REQUEST message containing a *QoS Flow Level QoS Parameters* IE in the *PDU Session Resource Setup Request Transfer* IE for a GBR QoS flow but the *GBR QoS Flow Information* IE is not present, the NG-RAN node shall report the establishment of the corresponding QoS flow as failed in the *PDU Session Resource Setup Response Transfer* IE of the PDU SESSION RESOURCE SETUP RESPONSE message with an appropriate cause value.If the NG-RAN node receives a PDU SESSION RESOURCE SETUP REQUEST message containing the *Delay Critical* IE in the *Dynamic 5QI Descriptor* IE of the *QoS Flow Level QoS Parameters* IE of the *PDU Session Resource Setup Request Transfer* IE set to the value “delay critical” but the *Maximum Data Burst Volume* IE is not present, the NG-RAN node shall report the establishment of the corresponding QoS flow as failed in the *PDU Session Resource Setup Response Transfer* IE of the PDU SESSION RESOURCE SETUP RESPONSE message with an appropriate cause value.