**3GPP TSG-RAN WG3 #113-e R3-214258**

**16-26 Aug 2021**

**Online**

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| *CR-Form-v12.1* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
|  | | | | | | | | |
|  | **38.413** | **CR** | **0645** | **rev** | **1** | **Current version:** | **16.6.0** |  |
|  | | | | | | | | |
| *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 | **X** | Core Network | **X** |

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| ***Title:*** | Missing QoS Flows not Admitted List in HANDOVER COMMAND | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Source to WG:*** | ZTE,Samsung,China Unicom,China Telecom, Ericsson, Nokia, Nokia Shanghai Bell | | | | | | | | | |
| ***Source to TSG:*** | R3 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | NR\_newRAT-Core, TEI16 | | | | |  | ***Date:*** | | | 2021-08-17 |
|  |  | | | |  | |  | | |  |
| ***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:*** | | The 5G QoS model is based on QoS Flows.The QoS Flow is the finest granularity of QoS differentiation in the PDU Session. During Handover, it is possible that not all QoS flows in admitted PDU Session are accepted by target gNB. Take XNAP as example, in HANDOVER REQUEST ACKNOWLEDGE message, the target gNB sends back both admitted and not admitted QoS flows list in PDU Session Resources Admitted List IE. Based on the information, source gNB is able to be aware of the failure reason for not allowed QoS flows and can do subsequent handover optimization.  However, for NG Based Handover, the failed QoS flows list is missing in HANDOVER COMMAND message. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Summary of change:*** | | Introduce *QoS Flow Failed to Setup List* IE in HANDOVER COMMAND message.  Impact Analysis:  Impact assessment towards the previous version of the specification (same release):  This CR has no impact with the previous version of the specification. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Consequences if not approved:*** | | Misalignment of behavior between XNAP and NGAP regarding QoS flows list not admitted. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Clauses affected:*** | | 9.3.4.10, 9.4.5, 9.4.7 | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **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:*** | | Rev 1: correct version from 16.5.0 to 16.6.0, addiing co-signer? | | | | | | | | |

*Change Start*

### 8.4.1 Handover Preparation

#### 8.4.1.1 General

The purpose of the Handover Preparation procedure is to request the preparation of resources at the target side via the 5GC. There is only one Handover Preparation procedure ongoing at the same time for a certain UE. The procedure uses UE-associated signalling.

#### 8.4.1.2 Successful Operation



Figure 8.4.1.2-1: Handover preparation: successful operation

The source NG-RAN node initiates the handover preparation by sending the HANDOVER REQUIRED message to the serving AMF. When the source NG-RAN node sends the HANDOVER REQUIRED message, it shall start the timer TNGRELOCprep. The source NG-RAN node shall indicate the appropriate cause value for the handover in the *Cause* IE.

Upon reception of the HANDOVER REQUIRED message the AMF shall, for each PDU session indicated in the *PDU Session ID* IE, transparently transfer the *Handover Required Transfer* IE to the SMF associated with the concerned PDU session.

In case of intra-system handover, the information in the *Source to Target Transparent Container* IE shall be encoded according to the definition of the *Source NG-RAN node to Target NG-RAN node Transparent Container* IE.

If the *DL Forwarding* IE is included for a given QoS flow in the *PDU Session Resource Information Item* IE within the *Source NG-RAN node to Target NG-RAN node Transparent Container* IE of the HANDOVER REQUIRED message and it is set to "DL forwarding proposed", it indicates that the source NG-RAN node proposes forwarding of downlink data for that QoS flow.

If the *UL Forwarding* IE is included for a given QoS flow in the *PDU Session Resource Information Item* IE within the *Source NG-RAN Node to Target NG-RAN Node Transparent Container* IE of the HANDOVER REQUIRED message and it is set to "UL forwarding proposed", it indicates that the source NG-RAN node proposes forwarding of uplink data for that QoS flow.

If the *DRBs to QoS Flows Mapping List* IE is included in the *PDU Session Resource Information Item* IE within the *Source NG-RAN node to Target NG-RAN node Transparent Container* IE of the HANDOVER REQUIRED message, it implicitly indicates that the source NG-RAN node proposes forwarding of downlink data for those DRBs.

If the *QoS Flow Mapping Indication* IE for a QoS flow is included in the *Associated QoS Flow List* IE within the *DRBs to QoS Flows Mapping List* IE within the *Source NG-RAN node to Target NG-RAN node Transparent Container* IE of the HANDOVER REQUIRED message, it indicates that the source NG-RAN node has mapped only the uplink or downlink of the QoS flow to the DRB.

In case of intra-system handover, if the HANDOVER COMMAND message contains the *DL Forwarding UP TNL Information* IE for a given DRB within the *Data Forwarding Response DRB List* IE in the *Handover Command Transfer* IE, the source NG-RAN node shall consider that the forwarding of downlink data for this DRB is accepted by the target NG-RAN node. If the HANDOVER COMMAND message contains the *UL Forwarding UP TNL Information* IE for a given DRB in the *Data Forwarding Response DRB List* IE within the *Handover Command Transfer* IE, it means the target NG-RAN node has requested the forwarding of uplink data for this DRB.

In case direct data forwarding is applied for inter-system handover, if the *Data Forwarding Response E-RAB List* IE in the *Handover Command Transfer* IE is included in the HANDOVER COMMAND message, the source NG-RAN node shall consider that forwarding of downlink data for this E-RAB is accepted by the target eNB.

If the HANDOVER COMMAND message contains the *UL Forwarding UP TNL Information* IE for a given PDU session within the *Handover Command Transfer* IE, the source NG-RAN node shall consider that the forwarding of uplink data of the QoS flows is accepted by the target NG-RAN node.

In case of inter-system handover to LTE, the information in the *Source to Target Transparent Container* IE shall be encoded according to the *Source eNB to Target eNB Transparent Container* IE definition as specified in TS 36.413 [16].

If the *Direct Forwarding Path Availability* IE is included in the HANDOVER REQUIRED message the AMF shall handle it as specified in TS 23.502 [10].

If the *Direct Forwarding Path Availability* IE is included within the *Handover Required Transfer* IE of the HANDOVER REQUIRED message the SMF shall handle it as specified in TS 23.502 [10].

When the preparation, including the reservation of resources at the target side is ready, the AMF responds with the HANDOVER COMMAND message to the source NG-RAN node. In case of intra-system handover, the AMF shall include the *PDU Session Resource Handover List* IE in the HANDOVER COMMAND message.

Upon reception of the HANDOVER COMMAND message the source NG-RAN node shall stop the timer TNGRELOCprep and start the timer TNGRELOCoverall.

If there are any PDU sessions that could not be admitted in the target, they shall be indicated in the *PDU Session Resource to Release List* IE.

NOTE: As an exception in case of inter-system handover to LTE, the AMF generates the *Handover Preparation Unsuccessful Transfer* IE in the *PDU Session Resource to Release List* IE.

If the HANDOVER COMMAND message contains the *QoS Flow to be Forwarded List* IE within the *Handover Command Transfer* IE for a given PDU session, then the source NG-RAN node should initiate data forwarding for the listed QoS flows over the forwarding tunnel specified in the *DL Forwarding UP TNL Information* IE as specified in TS 38.300 [8].

If the HANDOVER COMMAND message contains the *Additional DL Forwarding UP TNL Information* IE within the *Handover Command Transfer* IE, the source NG-RAN node should initiate data forwarding of the PDU session split in different tunnel and shall use the received UP transport layer information for the forwarding QoS flows associated to it.

If the HANDOVER COMMAND message contains the *Additional UL Forwarding UP TNL Information* IE within the *Handover Command Transfer* IE, the source NG-RAN node should initiate data forwarding of the PDU session split in different tunnels using the received UP transport layer information.

If the *NAS Security Parameters from NG-RAN* IE is included in the HANDOVER COMMAND message the NG-RAN node shall use it as specified in TS 33.501 [13].

If the *Target to Source Transparent Container* IE has been received by the AMF from the handover target then the transparent container shall be included in the HANDOVER COMMAND message.

If the HANDOVER COMMAND message contains the *QoS Flow Failed to Setup List* IE within the *Handover Command Transfer* IE, the source NG-RAN shall consider that the listed QoS flows are failed to be handed over.

In case of inter-system handover to LTE, the information in the *Target to Source Transparent Container* IE shall be encoded according to the definition of the *Target eNB to Source eNB Transparent Container* IE as specified in TS 36.413 [16].

If the *Index to RAT/Frequency Selection Priority* IE is contained in the *Source NG-RAN Node to Target NG-RAN Node Transparent Container* IE, the target NG-RAN node shall store the content of the received *Index to RAT/Frequency Selection Priority* IE in the UE context and use it as defined in TS 23.501 [9].

If the *DAPS Request Information* IE is included for a DRB in the *Source NG-RAN Node to Target NG-RAN Node Transparent Container* IE within the HANDOVER REQUIRED message, it indicates that the request concerns a DAPS Handover for that DRB, as described in TS 38.300 [8].

**Interactions with other NGAP procedures:**

If, after a HANDOVER REQUIRED message is sent and before the Handover Preparation procedure is terminated, the source NG-RAN node receives an AMF initiated PDU Session Management procedure on the same UE-associated signalling connection, the source NG-RAN node shall either:

1. Cancel the Handover Preparation procedure by executing the Handover Cancellation procedure with an appropriate cause value. After successful completion of the Handover Cancellation procedure, the source NG-RAN node shall continue the AMF initiated PDU Session Management procedure.

or

2. Terminate the AMF initiated PDU Session Management procedure by sending the appropriate response message with an appropriate cause value, e.g. "NG intra-system handover triggered" or "NG inter-system handover triggered" to the AMF and then the source NG-RAN node shall continue with the handover procedure.

\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*

Skip to next change

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#### 9.3.4.10 Handover Command Transfer

This IE is transparent to the AMF.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| IE/Group Name | Presence | Range | IE type and reference | Semantics description | Criticality | Assigned Criticality |
| DL Forwarding UP TNL Information | O |  | UP Transport Layer Information  9.3.2.2 | To deliver forwarded DL PDUs. | - |  |
| **QoS Flow to be Forwarded List** |  | *0..1* |  | QoS flows associated with the *DL Forwarding UP TNL Information* IE. | - |  |
| **>QoS Flow to be Forwarded Item** |  | *1..<maxnoofQoSFlows>* |  |  | - |  |
| >>QoS Flow Identifier | M |  | 9.3.1.51 |  | - |  |
| Data Forwarding Response DRB List | O |  | 9.3.1.77 |  | - |  |
| Additional DL Forwarding UP TNL Information | O |  | QoS Flow per TNL Information List  9.3.2.1 | NG-RAN node endpoint to deliver forwarded DL PDUs for split PDU session, together with associated QoS flows to be forwarded. | YES | ignore |
| UL Forwarding UP TNL Information | O |  | UP Transport Layer Information  9.3.2.2 | To deliver forwarded UL PDUs | YES | reject |
| Additional UL Forwarding UP TNL Information | O |  | UP Transport Layer Information List  9.3.2.12 | NG-RAN node endpoint to deliver forwarded UL PDUs for split PDU session. | YES | reject |
| Data Forwarding Response E-RAB List | O |  | 9.3.1.121 |  | YES | ignore |
| QoS Flow Failed to Setup List | O |  | QoS Flow List with Cause  9.3.1.13 |  | YES | ignore |

|  |  |
| --- | --- |
| Range bound | Explanation |
| maxnoofQoSFlows | Maximum no. of QoS flows allowed within one PDU session. Value is 64. |

*Next of Change*

### 9.4.5 Information Element Definitions

-- ASN1START

-- \*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*

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-- Information Element Definitions

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-- \*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*

NGAP-IEs {

itu-t (0) identified-organization (4) etsi (0) mobileDomain (0)

ngran-Access (22) modules (3) ngap (1) version1 (1) ngap-IEs (2) }

DEFINITIONS AUTOMATIC TAGS ::=

BEGIN

IMPORTS

--unchanged part

id-UserLocationInformationW-AGF,

id-qosFlowFailedToSetupList,

maxnoofAllowedAreas,

maxnoofAllowedCAGsperPLMN,

maxnoofAllowedS-NSSAIs,

maxnoofBluetoothName,

*Next of Change*

-- H

HandoverCommandTransfer ::= SEQUENCE {

dLForwardingUP-TNLInformation UPTransportLayerInformation OPTIONAL,

qosFlowToBeForwardedList QosFlowToBeForwardedList OPTIONAL,

dataForwardingResponseDRBList DataForwardingResponseDRBList OPTIONAL,

iE-Extensions ProtocolExtensionContainer { {HandoverCommandTransfer-ExtIEs} } OPTIONAL,

...

}

HandoverCommandTransfer-ExtIEs NGAP-PROTOCOL-EXTENSION ::= {

{ ID id-AdditionalDLForwardingUPTNLInformation CRITICALITY ignore EXTENSION QosFlowPerTNLInformationList PRESENCE optional }|

{ ID id-ULForwardingUP-TNLInformation CRITICALITY reject EXTENSION UPTransportLayerInformation PRESENCE optional }|

{ ID id-AdditionalULForwardingUPTNLInformation CRITICALITY reject EXTENSION UPTransportLayerInformationList PRESENCE optional }|

{ ID id-DataForwardingResponseERABList CRITICALITY ignore EXTENSION DataForwardingResponseERABList PRESENCE optional }|

{ ID id-qosFlowFailedToSetupList CRITICALITY ignore EXTENSION QosFlowListWithCause PRESENCE optional },

...

}

*Next of Change*

### 9.4.7 Constant Definitions

-- ASN1START

-- \*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*

--

-- Constant definitions

--

-- \*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*

NGAP-Constants {

itu-t (0) identified-organization (4) etsi (0) mobileDomain (0)

ngran-Access (22) modules (3) ngap (1) version1 (1) ngap-Constants (4) }

DEFINITIONS AUTOMATIC TAGS ::=

BEGIN

-- \*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*

--

-- IE parameter types from other modules.

--

-- \*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*

IMPORTS

ProcedureCode,

ProtocolIE-ID

FROM NGAP-CommonDataTypes;

-- \*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*

--

-- Elementary Procedures

--

-- \*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*

--unchanged part

id-Extended-RANNodeName ProtocolIE-ID ::= 273

id-Extended-AMFName ProtocolIE-ID ::= 274

id-GlobalCable-ID ProtocolIE-ID ::= 275

id-QosMonitoringReportingFrequency ProtocolIE-ID ::= 276

id-QosFlowParametersList ProtocolIE-ID ::= 277

id-QosFlowFeedbackList ProtocolIE-ID ::= 278

id-BurstArrivalTimeDownlink ProtocolIE-ID ::= 279

id-ExtendedUEIdentityIndexValue ProtocolIE-ID ::= 280

id-qosFlowFailedToSetupList ProtocolIE-ID ::= 281

END

-- ASN1STOP

*End of Change*