**3GPP TSG-RAN WG3 Meeting #119bis** **R3-231954**

**Online, 17th – 26th April 2023**

**Title:** (TP for BLCR for 38.423): Inter-gNB mobility

**Source:** Huawei, LG Electronics, Ericsson

**Agenda item:** 16.3

**Document Type:** other

1. Introduction

This TP reflects agreements in RAN3#119b-e.

Annex - Text proposal

---------------------------------------------------------------TP for TS 38.423------------------------------------------------------------

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 for which the target NG-RAN node decides to admit the data forwarding for at least one QoS flow, the target NG-RAN node may include the *PDU Session level DL data forwarding UP TNL Information* 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 UP TNL Information* 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 node 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 node 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 except for the PNI-NPN mobility as described in TS 23.501 [7].

The target NG-RAN node shall consider that roaming or access to CAG cells is only allowed if the *Allowed PNI-NPN ID List* IE is contained in the HANDOVER REQUEST message, as described in TS 23.501 [7].

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 *PDU Session Pair ID* IE is included in the *Redundant PDU Session Information* IE, the target NG-RAN node may store and use it to identify the paired PDU sessions.

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 or in the *Additional UL NG-U UP TNL Information at UPF List* IE, or in the *Additional Redundant UL NG-U UP TNL Information at UPF List* IE, the target NG-RAN node shall, if supported, use it when selecting transport network resource for the concerned NG-U transport bearer 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 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 use it 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, if supported, store it in the UE context, and 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 REQUEST message, the target NG-RAN node shall store this information, and shall, if supported, perform delay measurement and QoS monitoring, as specified in TS 23.501 [7]. If the *QoS Monitoring Reporting Frequency* IE was included in the *QoS Flow Level QoS Parameters* IE contained in the HANDOVER REQUEST message, the target NG-RAN node shall store this information, and shall, if supported, use it for RAN part delay reporting.

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.

5G ProSe:

- If the *5G ProSe 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 *5G ProSe UE PC5 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 5G ProSe services.

- If the *5G ProSe PC5 QoS Parameters* IE is included in theHANDOVER REQUEST message, the target NG-RAN node shall, if supported, use it as defined in TS 23.304 [48].

If the *Candidate Relay UE Info List* IE is included in theHANDOVER REQUEST message, the target NG-RAN node shall, if supported, use it to configure the path switch to indirect path as specified in TS 38.300 [9].

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].

If the *DAPS Request Information* IE is included for a given DRB in the HANDOVER REQUEST message, the target NG-RAN node shall consider that the request concerns a DAPS handover for that DRB, as described in TS 38.300 [9]. Accordingly, the target NG-RAN node shall include the *DAPS Response Information* IE in the HANDOVER REQUEST ACKNOWLEDGE message.

If the *Maximum Number of CHO Preparations* IE is included in the *Conditional Handover Information* *Acknowledge* IE contained in the HANDOVER REQUEST ACKNOWLEDGE message, then the source NG-RAN node should not prepare more candidate target cells for a CHO for the same UE towards the target NG-RAN node than the number indicated in the IE.

If the *Estimated Arrival Probability* IE is contained in the *Conditional Handover Information Request* IE included in the HANDOVER REQUEST message, then the target NG-RAN node may use the information to allocate necessary resources for the incoming CHO.

If the *IAB Node Indication* IE is contained in the HANDOVER REQUEST message, the target NG-RAN node shall, if supported, consider that the handover is for an IAB node. In addition:

- If the *No PDU Session Indication* IE is contained in the HANDOVER REQUEST message, the target NG-RAN node shall, if supported, consider the UE as an IAB-node which does not have any PDU sessions activated, and ignore the *PDU Session Resources To Be Setup List* IE, and shall not take any action with respect to PDU session setup. Subsequently, the source NG-RAN node shall, if supported, ignore the *PDU Session Resources Admitted To Be Added List* IE in the HANDOVER REQUEST ACKNOWLEDGE message.

If the *UE Radio Capability ID* IE is contained in the HANDOVER REQUEST message, the target NG-RAN node shall, if supported, store this information in the UE context and use it as defined in TS 23.501 [7] and TS 23.502 [13].

If for a given QoS Flow the *Source DL Forwarding IP Address* IE is included within the *Data Forwarding and* *Offloading Info from source NG-RAN node* IE in the *PDU Session Resources To Be Setup List* IE contained in the HANDOVER REQUEST message, the target NG-RAN node shall, if supported, store this information and use it as part of its ACL functionality configuration actions, if such ACL functionality is deployed.

If the *MBS Session Information List* IE is contained in the HANDOVER REQUEST message, the target NG-RAN node shall, if supported, establish an NG-RAN MBS session resources context as specified in TS 23.247 [46] and TS 38.300 [9], if applicable.

If the HANDOVER REQUEST message includes the *MBS Area Session ID* IE, the target NG-RAN, if supported, shall use this information as an indication from which MBS Area Session ID the UE is handed over. For each MBS session for which the *Active MBS Session Information* IE is included in the *MBS Session Information Item List* IE, the target NG-RAN shall, if supported, use this information to setup respective MBS session resources. The target NG-RAN node shall, if supported, consider that the MBS sessions for which the *Active MBS Session Information* IE is not included are inactive.

If the HANDOVER REQUEST ACKNOWLEDGE message contains in the *MBS Session Information Response List* IE the *MBS Data Forwarding Response Info* IE that the source NG-RAN node shall use the information for forwarding MBS traffic to the target NG-RAN node.

If the *MBS Session Associated Information List* IE is included in the *PDU Session Resources To Be Setup List* IE in the HANDOVER REQUEST message, the target NG-RAN node shall, if supported, use the information contained in the *Associated QoS Flows Information List* IE as specified in TS 23.247 [46].

For each MRB indicated in the *MBS Mapping and Data Forwarding Request Info from source NG-RAN node* IE, the target NG-RAN node shall use the *MRB ID* IE and, if included, the *MRB Progress Information* IE which includes the highest PDCP SN of the packet which has already been delivered to the UE for the MRB, to decide whether to apply data forwarding for that MRB and to establish respective resources.

The source NG-RAN shall, for each MRB in the *MBS Data Forwarding Response Info from target NG-RAN node* IE in the HANDOVER REQUEST ACKNOWLEDGE message, start data forwarding to the indicated DL Forwarding UP TNL Information. If the *MRB Progress Information* IE is included the source NG-RAN node may use the information to determine when to stop data forwarding.

If the *Time Synchronisation Assistance Information* IE is contained in the HANDOVER REQUEST message, the target NG-RAN node shall, if supported, store this information in the UE context and use it as defined in TS 23.501 [7].

If the *QMC Configuration Information* IE is contained in the HANDOVER REQUEST message, the target NG-RAN node shall, if supported, take it into account for QoE measurements handling, as described in TS 38.300 [9].

If the *UE Slice-Maximum Bit Rate List* IE is contained in HANDOVER REQUEST message, the target NG-RAN node shall, if supported, store the received UE Slice Maximum Bit Rate List in the UE context, and use the received UE Slice Maximum Bit Rate value for each S-NSSAI for the concerned UE as specified in TS 23.501 [7].

**Interaction with SN Status Transfer procedure:**

If the *UE Context Kept Indicator* IE set to "True" and the *DRBs transferred to MN* IE are included in the HANDOVER REQUEST ACKNOWLEDGE message, the source NG-RAN node shall, if supported, include the uplink/downlink PDCP SN and HFN status received from the S-NG-RAN node in the SN Status Transfer procedure towards the target NG-RAN node, as specified in TS 37.340 [8].

8.2.1.3 Unsuccessful Operation

****

**Figure 8.2.1.3-1: Handover Preparation, unsuccessful operation**

If the target NG-RAN node does not admit at least one PDU session resource, or a failure occurs during the Handover Preparation, the target NG-RAN node shall send the HANDOVER PREPARATION FAILURE message to the source NG-RAN node. The message shall contain the *Cause* IE with an appropriate value.

If the *Conditional Handover Information* *Request* IE is contained in the HANDOVER REQUEST message and the target NG-RAN node rejects the handover or a failure occurs during the Handover Preparation, the target NG-RAN node shall include the *Requested Target Cell ID* IE in the HANDOVER PREPARATION FAILURE message.

**Interactions with Handover Cancel procedure:**

If there is no response from the target NG-RAN node to the HANDOVER REQUEST message before timer TXnRELOCprep expires in the source NG-RAN node, the source NG-RAN node should cancel the Handover Preparation procedure towards the target NG-RAN node by initiating the Handover Cancel procedure with the appropriate value for the *Cause* IE. The source NG-RAN node shall ignore any HANDOVER REQUEST ACKNOWLEDGE or HANDOVER PREPARATION FAILURE message received after the initiation of the Handover Cancel procedure and remove any reference and release any resources related to the concerned Xn UE-associated signalling.

8.2.1.4 Abnormal Conditions

If the supported algorithms for encryption defined in the *UE Security Capabilities* IE in the *UE Context Information* IE, plus the mandated support of the EEA0 and NEA0 algorithms in all UEs (TS 33.501 [28]), do not match any allowed algorithms defined in the configured list of allowed encryption algorithms in the NG-RAN node (TS 33.501 [28]), the NG-RAN node shall reject the procedure using the HANDOVER PREPARATION FAILURE message.

If the supported algorithms for integrity defined in the *UE Security Capabilities* IE in the *UE Context Information* IE, plus the mandated support of the EIA0 and NIA0 algorithms in all UEs (TS 33.501 [28]), do not match any allowed algorithms defined in the configured list of allowed integrity protection algorithms in the NG-RAN node (TS 33.501 [28]), the NG-RAN node shall reject the procedure using the HANDOVER PREPARATION FAILURE message.

If the *CHO trigger* IE is set to "CHO-replace" in the HANDOVER REQUEST message, but there is no CHO prepared for the included Target NG-RAN node UE XnAP ID, or the candidate cell in the *Targe*t *Cell ID* IE was not prepared using the same UE-associated signaling connection, the NG-RAN node shall reject the procedure using the HANDOVER PREPARATION FAILURE message.

If the HANDOVER REQUEST message includes information for a PLMN not serving the UE in the target NG-RAN node in the *Management Based MDT PLMN List* IE, the target NG-RAN node shall ignore information for that PLMN within the Management Based MDT PLMN List.

[snip]

9.1.1.1 HANDOVER REQUEST

This message is sent by the source NG-RAN node to the target NG-RAN node to request the preparation of resources for a handover.

Direction: source NG-RAN node → target NG-RAN node.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **IE/Group Name** | **Presence** | **Range** | **IE type and reference** | **Semantics description** | **Criticality** | **Assigned Criticality** |
| Message Type | M |  | 9.2.3.1 |  | YES | reject |
| Source NG-RAN node UE XnAP ID reference | M |  | NG-RAN node UE XnAP ID9.2.3.16 | Allocated at the source NG-RAN node | YES | reject |
| Cause | M |  | 9.2.3.2 |  | YES | reject |
| Target Cell Global ID | M |  | 9.2.3.25 | Includes either an E-UTRA CGI or an NR CGI | YES | reject |
| GUAMI | M |  | 9.2.3.24 |  | YES | reject |
| **UE Context Information** |  | *1* |  |  | YES | reject |
| >NG-C UE associated Signalling reference | M |  | AMF UE NGAP ID9.2.3.26 | Allocated at the AMF on the source NG-C connection. | – |  |
| >Signalling TNL association address at source NG-C side | M |  | CP Transport Layer Information9.2.3.31 | This IE indicates the AMF’s IP address of the SCTP association used at the source NG-C interface instance.Note: If no UE TNLA binding exists at the source NG-RAN node, the source NG-RAN node indicates the TNL association address it would have selected if it would have had to create a UE TNLA binding. | – |  |
| >UE Security Capabilities | M |  | 9.2.3.49 |  | – |  |
| >AS Security Information | M |  | 9.2.3.50 |  | – |  |
| >Index to RAT/Frequency Selection Priority | O |  | 9.2.3.23 |  | – |  |
| >UE Aggregate Maximum Bit Rate | M |  | 9.2.3.17 |  | – |  |
| >PDU Session Resources To Be Setup List |  | *1* | 9.2.1.1 | Similar to NG-C signalling, containing UL tunnel information per PDU Session Resource;and in addition, the source side QoS flow ⇔ DRB mapping | – |  |
| >RRC Context | M |  | OCTET STRING | Either includes the *HandoverPreparationInformation* message as defined in subclause 10.2.2. of TS 36.331 [14], or the *HandoverPreparationInformation-NB* message as defined in subclause 10.6.2 of TS 36.331 [14], if the target NG-RAN node is an ng-eNB,or the *HandoverPreparationInformation* message as defined in subclause 11.2.2 of TS 38.331 [10], if the target NG-RAN node is a gNB. | – |  |
| >Location Reporting Information | O |  | 9.2.3.47 | Includes the necessary parameters for location reporting. | – |  |
| >Mobility Restriction List | O |  | 9.2.3.53 |  | – |  |
| >5GC Mobility Restriction List Container | O |  | 9.2.3.100 |  | YES | ignore |
| >NR UE Sidelink Aggregate Maximum Bit Rate | O |  | 9.2.3.107 | This IE applies only if the UE is authorized for NR V2X services. | YES | ignore |
| >LTE UE Sidelink Aggregate Maximum Bit Rate | O |  | 9.2.3.108 | This IE applies only if the UE is authorized for LTE V2X services. | YES | ignore |
| >ManagementBasedMDT PLMN List | O |  | MDT PLMN List9.2.3.133 |  | YES | ignore |
| >UE Radio Capability ID | O |  | 9.2.3.138 |  | YES | reject |
| >MBS Session Information List | O |  | 9.2.1.36 |  | YES | ignore |
| >5G ProSe UE PC5 Aggregate Maximum Bit Rate | O |  | NR UE Sidelink Aggregate Maximum Bit Rate9.2.3.107 | This IE applies only if the UE is authorized for 5G ProSe services. | YES | ignore |
| >UE Slice Maximum Bit Rate List | O |  | 9.2.3.167 |  | YES | ignore |
| Trace Activation | O |  | 9.2.3.55 |  | YES | ignore |
| Masked IMEISV | O |  | 9.2.3.32 |  | YES | ignore |
| UE History Information | M |  | 9.2.3.64 |  | YES | ignore |
| **UE Context Reference at the S-NG-RAN node** | O |  |  |  | YES | ignore |
| >Global NG-RAN Node ID | M |  | 9.2.2.3 |  | – |  |
| >S-NG-RAN node UE XnAP ID | M |  | NG-RAN node UE XnAP ID9.2.3.16 |  | – |  |
| **Conditional Handover Information Request** | O |  |  |  | YES | reject |
| >CHO Trigger | M |  | ENUMERATED (CHO-initiation, CHO-replace, …) |  | – |  |
| >Target NG-RAN node UE XnAP ID | C-ifCHOmod |  | NG-RAN node UE XnAP ID9.2.3.16 | Allocated at the target NG-RAN node | – |  |
| >Estimated Arrival Probability | O |  | INTEGER (1..100) |  | – |  |
| NR V2X Services Authorized | O |  | 9.2.3.105 |  | YES | ignore |
| LTE V2X Services Authorized | O |  | 9.2.3.106 |  | YES | ignore |
| PC5 QoS Parameters | O |  | 9.2.3.109 | This IE applies only if the UE is authorized for NR V2X services. | YES | ignore |
| Mobility Information | O |  | BIT STRING (SIZE (32)) | Information related to the handover; the source NG-RAN node provides it in order to enable later analysis of the conditions that led to a wrong HO. | YES | ignore |
| UE History Information from the UE | O |  | 9.2.3.110 |  | YES | ignore |
| IAB Node Indication | O |  | ENUMERATED (true, ...) |  | YES | reject |
| No PDU Session Indication | O |  | ENUMERATED (true, ...) | This IE applies only if the UE is an IAB-MT. | YES | ignore |
| Time Synchronisation Assistance Information  | O |  | 9.2.3.153 |  | YES | ignore |
| QMC Configuration Information | O |  | 9.2.3.156 |  | YES | ignore |
| 5G ProSe Authorized | O |  | 9.2.3.159 |  | YES | ignore |
| 5G ProSe PC5 QoS Parameters | O |  | 9.2.3.160 | This IE applies only if the UE is authorized for 5G ProSe services. | YES | ignore |
| Candidate Relay UE Info List | O |  | 9.2.3.x |  | YES | ignore |

|  |  |
| --- | --- |
| **Condition** | **Explanation** |
| ifCHOmod | This IE shall be present if the *CHO Trigger* IE is present and set to "CHO-replace". |

|  |  |
| --- | --- |
| **Range bound** | **Explanation** |
| maxnoofMDTPLMNs | PLMNs in the Management Based MDT PLMN list. Value is 16. |

9.2.3.x Candidate Relay UE Info List

This IE contains the identity of the candidate relay UE(s) when the source NG-RAN decides to switch the UE to an indirect path at the target NG-RAN.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **IE/Group Name** | **Presence** | **Range** | **IE type and reference** | **Semantics description** |
| **Candidate Relay UE Info Item** |  | *1..<maxnoofCandidateRelayUEs>* |  |  |
| >Candidate Relay UE ID | M |  | BIT STRING(SIZE(24)) | Includes the *SL-SourceIdentity* IE as defined in TS 38.331 [10]. |

|  |  |
| --- | --- |
| Range bound | Explanation |
| maxnoofCandidateRelayUEs | Maximum number of candidate relay UE(s). The value is 32. |

Editor’s note: The range of the list is to be finally confirmed when RAN2 has finalised their work

Editor’s note: Details on the RRC reference is FFS

-----------------------------------------------------TP for 38.473 ends--------------------------------------------------------------------

### 9.3.4 PDU Definitions

-- ASN1START

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

--

-- PDU definitions for XnAP.

--

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

XnAP-PDU-Contents {

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

ngran-access (22) modules (3) xnap (2) version1 (1) xnap-PDU-Contents (1) }

DEFINITIONS AUTOMATIC TAGS ::=

BEGIN

[snip]

 F1-terminatingIAB-donorIndicator,

 SRB-ID,

 AdditionalListofPDUSessionResourceChangeConfirmInfo-SNterminated,

 CandidateRelayUEInfoList

FROM XnAP-IEs

[snip]

 id-UERLFReportContainerLTEExtension,

 id-ExcessPacketDelayThresholdConfiguration,

 id-FiveGProSeLayer2Multipath,

 id-CandidateRelayUEInfoList,

 maxEARFCN,

 maxnoofAllowedAreas,

 maxnoofAMFRegions,

[snip]

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

--

-- HANDOVER REQUEST

--

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

HandoverRequest ::= SEQUENCE {

 protocolIEs ProtocolIE-Container {{HandoverRequest-IEs}},

 ...

}

HandoverRequest-IEs XNAP-PROTOCOL-IES ::= {

 { ID id-sourceNG-RANnodeUEXnAPID CRITICALITY reject TYPE NG-RANnodeUEXnAPID PRESENCE mandatory}|

 { ID id-Cause CRITICALITY reject TYPE Cause PRESENCE mandatory}|

 { ID id-targetCellGlobalID CRITICALITY reject TYPE Target-CGI PRESENCE mandatory}|

 { ID id-GUAMI CRITICALITY reject TYPE GUAMI PRESENCE mandatory}|

 { ID id-UEContextInfoHORequest CRITICALITY reject TYPE UEContextInfoHORequest PRESENCE mandatory}|

 { ID id-TraceActivation CRITICALITY ignore TYPE TraceActivation PRESENCE optional }|

 { ID id-MaskedIMEISV CRITICALITY ignore TYPE MaskedIMEISV PRESENCE optional }|

 { ID id-UEHistoryInformation CRITICALITY ignore TYPE UEHistoryInformation PRESENCE mandatory}|

 { ID id-UEContextRefAtSN-HORequest CRITICALITY ignore TYPE UEContextRefAtSN-HORequest PRESENCE optional }|

 { ID id-CHOinformation-Req CRITICALITY reject TYPE CHOinformation-Req PRESENCE optional }|

 { ID id-NRV2XServicesAuthorized CRITICALITY ignore TYPE NRV2XServicesAuthorized PRESENCE optional }|

 { ID id-LTEV2XServicesAuthorized CRITICALITY ignore TYPE LTEV2XServicesAuthorized PRESENCE optional }|

 { ID id-PC5QoSParameters CRITICALITY ignore TYPE PC5QoSParameters PRESENCE optional }|

 { ID id-MobilityInformation CRITICALITY ignore TYPE MobilityInformation PRESENCE optional }|

 { ID id-UEHistoryInformationFromTheUE CRITICALITY ignore TYPE UEHistoryInformationFromTheUE PRESENCE optional }|

 { ID id-IABNodeIndication CRITICALITY reject TYPE IABNodeIndication PRESENCE optional }|

 { ID id-NoPDUSessionIndication CRITICALITY ignore TYPE NoPDUSessionIndication PRESENCE optional }|

 { ID id-TimeSynchronizationAssistanceInformation CRITICALITY ignore TYPE TimeSynchronizationAssistanceInformation PRESENCE optional }|

 { ID id-QMCConfigInfo CRITICALITY ignore TYPE QMCConfigInfo PRESENCE optional }|

 { ID id-FiveGProSeAuthorized CRITICALITY ignore TYPE FiveGProSeAuthorized PRESENCE optional }|

 { ID id-FiveGProSePC5QoSParameters CRITICALITY ignore TYPE FiveGProSePC5QoSParameters PRESENCE optional }|

 { ID id-CandidateRelayUEInfoList CRITICALITY ignore TYPE CandidateRelayUEInfoList PRESENCE optional },

 ...

}

UEContextInfoHORequest ::= SEQUENCE {

 ng-c-UE-reference AMF-UE-NGAP-ID,

 cp-TNL-info-source CPTransportLayerInformation,

 ueSecurityCapabilities UESecurityCapabilities,

 securityInformation AS-SecurityInformation,

 indexToRatFrequencySelectionPriority RFSP-Index OPTIONAL,

 ue-AMBR UEAggregateMaximumBitRate,

 pduSessionResourcesToBeSetup-List PDUSessionResourcesToBeSetup-List,

 rrc-Context OCTET STRING,

 locationReportingInformation LocationReportingInformation OPTIONAL,

 mrl MobilityRestrictionList OPTIONAL,

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

 ...

}

UEContextInfoHORequest-ExtIEs XNAP-PROTOCOL-EXTENSION ::={

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

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

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

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

 { ID id-UERadioCapabilityID CRITICALITY reject EXTENSION UERadioCapabilityID PRESENCE optional }|

 { ID id-MBS-SessionInformation-List CRITICALITY ignore EXTENSION MBS-SessionInformation-List PRESENCE optional }|

 { ID id-FiveGProSeUEPC5AggregateMaximumBitRate CRITICALITY ignore EXTENSION NRUESidelinkAggregateMaximumBitRate PRESENCE optional }|

 { ID id-UESliceMaximumBitRateList CRITICALITY ignore EXTENSION UESliceMaximumBitRateList PRESENCE optional },

 ...

}

UEContextRefAtSN-HORequest ::= SEQUENCE {

 globalNG-RANNode-ID GlobalNG-RANNode-ID,

 sN-NG-RANnodeUEXnAPID NG-RANnodeUEXnAPID,

 iE-Extensions ProtocolExtensionContainer { {UEContextRefAtSN-HORequest-ExtIEs} } OPTIONAL,

 ...

}

UEContextRefAtSN-HORequest-ExtIEs XNAP-PROTOCOL-EXTENSION ::={

 ...

}

[snip]

### 9.3.5 Information Element definitions

-- ASN1START

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

--

-- Information Element Definitions

--

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

XnAP-IEs {

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

ngran-access (22) modules (3) xnap (2) version1 (1) xnap-IEs (2) }

DEFINITIONS AUTOMATIC TAGS ::=

BEGIN

[snip]

 maxnoofTargetSNsMinusOne,

 maxnoofThresholdsForExcessPacketDelay,

 maxnoofCandidateRelayUEs

[snip]

-- C

CAG-Identifier ::= BIT STRING (SIZE (32))

CandidateRelayUEInfoList ::= SEQUENCE (SIZE(1..maxnoofCandidateRelayUEs)) OF CandidateRelayUEInfoItem

CandidateRelayUEInfoItem ::= SEQUENCE {

 candidateRelayUEID BIT STRING(SIZE(24)),

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

 ...

}

CandidateRelayUEInfoItem-ExtIEs XnAP-PROTOCOL-EXTENSION ::= {

 ...

}

CapacityValue ::= INTEGER (0..100)

[snip]

S-BasedMDT-ExtIEs XNAP-PROTOCOL-EXTENSION ::= {

 ...

}

ServiceType ::= ENUMERATED{

 qMC-for-streaming-service,

 qMC-for-MTSI-service,

 qMC-for-VR-service,

 ...

}

[snip]

### 9.3.7 Constant definitions

-- ASN1START

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

--

-- Constant definitions

--

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

XnAP-Constants {

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

ngran-Access (22) modules (3) xnap (2) version1 (1) xnap-Constants (4) }

DEFINITIONS AUTOMATIC TAGS ::=

BEGIN

[snip]

maxnoofNSAGs INTEGER ::= 256

maxnoofTargetSNsMinusOne INTEGER ::= 7

maxnoofThresholdsForExcessPacketDelay INTEGER ::= 255

maxnoofCandidateRelayUEs INTEGER ::= 32 -- FFS when RAN2 is finished

[snip]

id-UERLFReportContainerLTEExtension ProtocolIE-ID ::= 370

id-ExcessPacketDelayThresholdConfiguration ProtocolIE-ID ::= 371

id-FiveGProSeLayer2Multipath ProtocolIE-ID ::= xxx

id-CandidateRelayUEInfoList ProtocolIE-ID ::= xx2