**3GPP TSG-RAN WG3 #122 R3-237984**

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**Agenda item: 14.4**

**Source: CATT, ZTE,Huawei, NEC, LG Electronics, Ericsson**

**Title: (TP to BLCR for 37.483) on subsequent CPAC**

**Document for: Discussion and Decision**

# 1 Introduction

This TP is for supporting subsequent CPAC on E1AP

# 2 **TP for 37.483 E1AP**

## 3.1 Definitions

For the purposes of the present document, the terms and definitions given in 3GPP TR 21.905 [1] and the following apply. A term defined in the present document takes precedence over the definition of the same term, if any, in 3GPP TR 21.905 [1].

Elementary Procedure**:** E1AP consists of Elementary Procedures (EPs). An Elementary Procedure is a unit of interaction between gNB-CU-CP and gNB-CU-UP, or between eNB-CP and eNB-UP, or between ng-eNB-CU-CP and ng-eNB-CU-UP. These Elementary Procedures are defined separately and are intended to be used to build up complete sequences in a flexible manner. If the independence between some EPs is restricted, it is described under the relevant EP description. Unless otherwise stated by the restrictions, the EPs may be invoked independently of each other as standalone procedures, which can be active in parallel. The usage of several E1AP EPs together is specified in stage 2 specifications (e.g., TS 37.480 [3]).

An EP consists of an initiating message and possibly a response message. Two kinds of EPs are used:

- **Class 1:** Elementary Procedures with response (success and/or failure).

- **Class 2:** Elementary Procedures without response.

For Class 1 EPs, the types of responses can be as follows:

Successful:

- A signalling message explicitly indicates that the elementary procedure successfully completed with the receipt of the response.

Unsuccessful:

- A signalling message explicitly indicates that the EP failed.

- On time supervision expiry (i.e., absence of expected response).

Successful and Unsuccessful:

- One signalling message reports both successful and unsuccessful outcome for the different included requests. The response message used is the one defined for successful outcome.

Class 2 EPs are considered always successful.

Conditional handover:as defined in TS 38.300 [4].

**Conditional PSCell Change:** as defined in TS 37.340 [19].

DAPS Handover: as defined in TS 38.300 [4].

eNB-CP: as defined in TS 36.401 [31].

eNB-UP: as defined in TS 36.401 [31].

gNB: as defined in TS 38.300 [4].

gNB-CU: as defined in TS 38.401 [2].

gNB-DU: as defined in TS 38.401 [2].

gNB-CU-CP: as defined in TS 38.401 [2].

gNB-CU-UP: as defined in TS 38.401 [2].

**MBS-associated signalling:** When E1AP messages associated to one MBS session uses the MBS-associated logical E1-connection for association of the message to the MBS session in gNB-CU-CP and gNB-CU-UP.

**MBS-associated logical E1-connection:** The MBS-associated logical E1-connection uses the identities *GNB-CU-CP MBS E1AP ID* and *GNB-CU-UP MBS E1AP ID* according to the definition in TS 38.401 [2]. For a received MBS-associated E1AP message thegNB-CU-CP identifies the associated MBS session based on the *GNB-CU-CP MBS E1AP ID* IE and the gNB-CU-UP identifies the associated MBS session based on the *GNB-CU-UP MBS E1AP ID* IE*.*

**MBS session resource**: as defined in TS 38.401 [2].

**Multicast F1-U Context:** as defined in TS 38.401 [2].

ng-eNB-CU: as defined in TS 37.470 [30].

ng-eNB-CU-CP: as defined in TS 38.401 [2].

ng-eNB-CU-UP: as defined in TS 38.401 [2].

ng-eNB-DU: as defined in TS 37.470 [30].

PDU Session Resource: as defined in TS 38.401 [2].

UE-associated signalling: When E1AP messages associated to one UE uses the UE-associated logical E1-connection for association of the message to the UE in gNB-CU-UP and gNB-CU-CP, or in eNB-CP and eNB-UP, or in ng-eNB-CU-CP and ng-eNB-CU-UP.

UE-associated logical E1-connection:The UE-associated logical E1-connection uses the identities *GNB-CU-CP UE E1AP ID* and *GNB-CU-UP UE E1AP ID* according to the definition in TS 38.401 [2]. For a received UE associated E1AP message thegNB-CU-CP or eNB-CP or ng-eNB-CU-CP identifies the associated UE based on the *GNB-CU-CP UE E1AP ID* IE and the gNB-CU-UP or eNB-UP or ng-eNB-CU-UP identifies the associated UE based on the *GNB-CU-UP UE E1AP ID* IE.

Public Network Integrated NPN: as defined in TS 23.501 [20].

Stand-alone Non-Public Network: as defined in TS 23.501 [20].

Subsequent Conditional PSCell Addition or Change (subsequent CPAC): as defined in TS 37.340 [30]

## 3.2 Abbreviations

For the purposes of the present document, the abbreviations given in TR 21.905 [1] and the following apply.
An abbreviation defined in the present document takes precedence over the definition of the same abbreviation, if any, in TR 21.905 [1].

5GC 5G Core Network

5QI 5G QoS Identifier

CAG Closed Access Group

CGI Cell Global Identifier

CHO Conditional Handover

CN Core Network

CP Control Plane

CPA Conditional PSCell Addition

CPAC Conditional PSCell Addition or Change

CPC Conditional PSCell Change

DAPS Dual Active Protocol Stack

DL Downlink

EHC Ethernet Header Compression

EN-DC E-UTRA-NR Dual Connectivity

EPC Evolved Packet Core

IAB Integrated Access and Backhaul

MBS Multicast/Broadcast Service

MCG Master Cell Group

NID Network Identifier

NPN Non-Public Network

PNI-NPN Public Network Integrated Non-Public Network

PTP Point to Point

PTM Point to Multipoint

NSSAI Network Slice Selection Assistance Information

RANAC RAN Area Code

SCG Secondary Cell Group

SDAP Service Data Adaptation Protocol

SDT Small Data Transmisson

SNPN Stand-alone Non-Public Network

S-NSSAI Single Network Slice Selection Assistance Information

TNLA Transport Network Layer Association

UDC Uplink Data Compression

### 8.3.1 Bearer Context Setup

#### 8.3.1.1 General

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

#### 8.3.1.2 Successful Operation



Figure 8.3.1.2-1: Bearer Context Setup procedure: Successful Operation.

The gNB-CU-CP initiates the procedure by sending the BEARER CONTEXT SETUP REQUEST message to the gNB-CU-UP. If the gNB-CU-UP succeeds to establish the requested resources, it replies to the gNB-CU-CP with the BEARER CONTEXT SETUP RESPONSE message.

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

For E-UTRAN:

- A list of DRBs which are successfully established shall be included in the *DRB Setup List* IE;

- A list of DRBs which failed to be established shall be included in the *DRB Failed List* IE;

For NG-RAN:

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

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

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

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

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

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

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

If the *Existing Allocated NG DL UP Transport Layer Information* IE is contained in the BEARER CONTEXT SETUP REQUEST message, the gNB-CU-UP may re-use the indicated resources already allocated for this bearer context. If the gNB-CU-UP decides to re-use the indicated resources, it shall include the *NG DL UP Unchanged* IE in the BEARER CONTEXT SETUP RESPONSE message.

If the *PDU Session Resource DL Aggregate Maximum Bit Rate* IE is contained in the *PDU Session Resource To Setup List* IE in the BEARER CONTEXT SETUP REQUEST message, the gNB-CU-UP shall store and use the information for the down link traffic policing for the Non-GBR QoS flows for the concerned UE as specified in TS 23.501 [20].

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

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

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

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

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

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

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

For E-UTRAN: - For each DRB for which the *Security Indication* IE is included in the *DRB To Setup List* IE of the BEARER CONTEXT SETUP REQUEST message, and the *Integrity Protection Indication* IE is set to "preferred", then the gNB-CU-UP should, if supported, perform user plane integrity protection for the concerned DRB and notify whether it performed the user plane integrity protection by including the *Integrity Protection Result* IE, in the *DRB Setup List* IE of the BEARER CONTEXT SETUP RESPONSE message.

- For each DRB for which the *Security Indication* IE is included in the *DRB To Setup List* IE of the BEARER CONTEXT SETUP REQUEST message, and the *Integrity Protection Indication* IE is set to "required", then the gNB-CU-UP shall, if supported, perform user plane integrity protection for the concerned DRB. If the gNB-CU-UP cannot perform the user plane integrity protection, it shall reject the setup of the DRB with an appropriate cause value.

- For each DRB for which the *Security Indication* IE is included in the *DRB To Setup List* IE of the BEARER CONTEXT SETUP REQUEST message, and the *Integrity Protection Indication* IE is set to "not needed", then the gNB-CU-UP shall not perform user plane integrity protection for the concerned DRB.

For each PDU session, if the *Data Forwarding to E-UTRAN Information List* IE is included in the *PDU Session Resource To Modify List* IE in the BEARER CONTEXT MODIFICATION REQUEST message, the gNB-CU-UP shall, if supported, use it for inter-system data forwarding from 5GS to EPS as specified in TS38.300 [8].

If the *UE DL Maximum Integrity Protected Data Rate* IE is contained in the BEARER CONTEXT SETUP REQUEST message, the gNB-CU-UP shall use this value when enforcing the maximum integrity protected data rate for the UE.

If the *Bearer Context Status Change* IE is contained in the BEARER CONTEXT SETUP REQUEST message, the gNB-CU-UP shall consider the UE RRC state and act as specified in TS 38.401 [2]. If the *Bearer Context Status Change* IE is set to "ResumeforSDT", the gNB-CU-UP shall, if supported, consider that DRBs not configured with SDT are suspended after being established.

For each requested DRB, if the *PDCP Duplication* IE is included in the *PDCP Configuration* IE contained in the BEARER CONTEXT SETUP REQUEST message, then the gNB-CU-UP shall include two *UP Transport Layer Information* IEs in the BEARER CONTEXT SETUP RESPONSE message to support packet duplication. If only one cell group is included in the *Cell Group Information* IE for the concerned DRB, then the gNB-CU-UP shall consider that the first *UP Transport Layer Information* IE of the two *UP Transport Layer Information* IEs is for the primary path.

For each requested DRB, if the *Additional PDCP duplication Information* IE is included in the *PDCP Configuration* IE contained in the BEARER CONTEXT SETUP REQUEST message, then the gNB-CU-UP shall, if supported, include the same number of *UP Transport Layer Information* IEs indicated by the *Additional PDCP duplication Information* IE in the BEARER CONTEXT SETUP RESPONSE message to support packet duplication. If only one cell group is included in the *Cell Group Information* IE for the concerned DRB, then the gNB-CU-UP shall consider that the first *UP Transport Layer Information* IE of these *UP Transport Layer Information* IEs is for the primary path. If more than one cell group is included in the *Cell Group Information* IE, then the gNB-CU-UP shall consider that the number of duplication tunnels for each cell group is indicated by the *Number of tunnels* IE, and that the first *UP Transport Layer Information* IE for each cell group is for the primary path or the split secondary path.

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

If the *QoS Flow Mapping Indication* IE is contained in the *QoS Flows Information To Be Setup* IE within the *DRB To Setup List* IE in the BEARER CONTEXT SETUP REQUEST message, the gNB-CU-UP may take it into account that only the uplink or downlink QoS flow is mapped to the DRB.

If the *QoS Flows Remapping* IE is contained within the *DRB To Setup List* IE in the BEARER CONTEXT SETUP REQUEST message for a DRB and set to "update", the gNB-CU-UP shall, if supported, consider that QoS flows mapped for the DRB is updated to the QoS flow(s) included in the *QoS Flows Information To Be Setup* IE after finishing handling forwarded PDCP SDUs during an intra-system handover procedure. If the *QoS Flows Remapping* IE is contained within the *DRB To Setup List* IE in the BEARER CONTEXT SETUP REQUEST message for a DRB and set to "source configuration", the gNB-CU-UP shall, if supported, consider that no QoS flow is mapped to the DRB after finishing handling forwarded PDCP SDUs over that DRB during an intra-system handover procedure and ignore the information included in the *QoS Flows Information To Be Setup* IE for the concerned DRB.

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

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

For each PDU session, if the *Redundant NG UL UP Transport Layer Information* IE is included in the *PDU Session Resource To Setup List* IE in the BEARER CONTEXT SETUP REQUEST message, the gNB-CU-UP shall, if supported, use it as the uplink termination point of the redundant tunnel for the user plane data of those QoS flows in this PDU session which need redundant transmission as described in TS 23.501 [20], and it shall include the *Redundant NG DL UP Transport Layer Information* IE in the *PDU Session Resource Setup List IE* in the BEARER CONTEXT SETUP RESPONSE message.

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

For each PDU session, if the *Redundant QoS Flow Indicator* IE is included in the *QoS Flow QoS Parameters List* IE in the BEARER CONTEXT SETUP REQUEST message, the gNB-CU-UP shall, if supported, consider it for the redundant transmission.

For each PDU session, if the *Redundant PDU Session Information* IE is included in the *PDU Session Resource To Setup List* IE contained in the BEARER CONTEXT SETUP REQUEST message, the gNB-CU-UP shall, if supported, set up the redundant user plane resources, as specified in TS 23.501 [20] and include, if supported, the *Used Redundant PDU Session Information* IE in the *PDU Session Resource Setup List* IE in the BEARER CONTEXT SETUP RESPONSE message. If the *PDU Session Pair ID* IE is included in the *Redundant PDU Session Information* IE, the gNB-CU-UP may use it to identify the paired PDU Sessions.

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

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

If the *gNB-DU-ID* IE is contained in the BEARER CONTEXT SETUP REQUEST message, the gNB-CU-UP shall store the information received.

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

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

If the *Trace Activation* IE is included in the BEARER CONTEXT SETUP REQUEST message the gNB-CU-UP shall, if supported, initiate the requested trace function as described in TS 32.422 [24]. In particular, the gNB-CU-UP shall, if supported:

- if the *MDT Activation* IE is set to "Immediate MDT Only", initiate the requested MDT session as described in TS 32.422 [24] and the gNB-CU-UP shall ignore *Interfaces To Trace* IE, and *Trace Depth* IE;

- if the *MDT Activation* IE is set to "Immediate MDT and Trace", initiate the requested trace session and MDT session as described in TS 32.422 [24];

If the *Management Based MDT PLMN List* IE is contained in the BEARER CONTEXT SETUP REQUEST message, the gNB-CU-UP shall, if supported, store the received information, and use this information to allow subsequent selection of the UE for management based MDT defined in TS 32.422 [24].

For EN-DC, if the *Subscriber Profile ID for RAT/Frequency priority* IE is included in the BEARER CONTEXT SETUP REQUEST, the gNB-CU-UP may use it to apply specific RRM policies as specified in TS 36.300 [25]. If the *Additional RRM Policy Index* IE is included in the BEARER CONTEXT SETUP REQUEST, the gNB-CU-UP may use it to apply specific RRM policies as specified in TS 36.300 [25].

If the *TSC Traffic Characteristics* IE is included in the BEARER CONTEXT SETUP REQUEST message, the gNB-CU-UP shall, if supported, take into account the corresponding information received in the *TSC Traffic Characteristics* IE.

For each QoS flow whose DRB has been successfully established and the *QoS Monitoring Request* IE was included in the *QoS Flow Level QoS Parameters* IE contained in the BEARER CONTEXT SETUP REQUEST message, the gNB-CU-UP shall store this information, and, if supported, perform delay measurement and QoS monitoring, as specified in TS 23.501 [20]. If the *QoS Monitoring Reporting Frequency* IE was included in the *QoS Flow Level QoS Parameters* IE contained in the BEARER CONTEXT SETUP REQUEST message, the gNB-CU-UP shall store this information, and, if supported, use it for RAN part delay reporting.

If the BEARER CONTEXT SETUP REQUEST message contains the *NPN Context Information* IE the gNB-CU-UP shall, if supported, take it into account when allocating UP resources for the bearer context.

For each requested DRB, if the *EHC Parameters* IE is included in the *PDCP Configuration* IE, the gNB-CU-CP shall, if supported, also include *ROHC Parameters* IE in the *PDCP Configuration* IE in the BEARER CONTEXT SETUP REQUEST message, to enable the gNB-CU-UP to perform appropriate header compression.

If the *EHC parameters* IE is included in the *PDCP Configuration* IE contained in the BEARER CONTEXT SETUP REQUEST message, the gNB-CU-UP may take these parameters into account to perform appropriate header compression for the concerned DRB. If the *EHC Downlink* IE is included in the *EHC parameters* IE and the value of *drb-ContinueEHC-DL* IE is set to ‘true’, the gNB-CU-UP shall, if supported, configure Ethernet header compression for downlink and continue the downlink EHC header compression protocol as specified in TS 38.331 [10]. If the *EHC Downlink* IE is included in the *EHC parameters* IE and the value of *drb-ContinueEHC-DL* IE is set to ‘false’, the gNB-CU-UP shall, if supported, configure Ethernet header compression for downlink and reset the downlink EHC header compression protocol during PDCP re-establishment as specified in TS 38.331 [10]. If the *EHC Uplink* IE is included in the *EHC parameters* IE and the value of *drb-ContinueEHC-UL* IE is set to ‘true’, the gNB-CU-UP shall, if supported, configure Ethernet header compression for uplink and continue the uplink EHC header compression protocol as specified in TS 38.331 [10]. If the *EHC Uplink* IE is included in the *EHC parameters* IE and the value of *drb-ContinueEHC-UL* IE is set to ‘false’, the gNB-CU-UP shall, if supported, configure Ethernet header compression for uplink and resets the uplink EHC header compression protocol during PDCP re-establishment as specified in TS 38.331 [10].

If the *DAPS Request Information* IE is included for a DRB to be setup in the BEARER CONTEXT SETUP REQUEST message, the gNB-CU-UP shall consider that the request concerns a DAPS handover for that DRB and, if admitted, act as specified in TS 38.300 [4].

If the *CHO Initiation* IE is contained in the BEARER CONTEXT SETUP REQUEST message, the gNB-CU-UP shall consider that the request concerns conditional handover or conditional PSCell change or conditional PSCell addition or subsequent CPAC and act as specified in TS 38.401 [2].

If the *MCG Offered GBR QoS Flow Information* IE is contained in the *QoS Flows Information To Be Setup* IE within the *DRB To Setup List* IE in the BEARER CONTEXT SETUP REQUEST message, the gNB-CU-UP may take it into account when two cell groups are served by the gNB-CU-UP.

If the *Additional Handover Information* IE is included in the BEARER CONTEXT SETUP REQUEST message and set to “Discard PDCP SN”, the gNB-CU-UP shall, if supported, remove the forwarded PDCP SNs if received in the forwarded GTP-U packets, and deliver the forwarded PDCP SDUs to the UE, as specified in TS 38.300 [8].

If the *Ignore Mapping Rule Indication* IE is contained within the *DRB To Setup List* IE for a DRB in the BEARER CONTEXT SETUP REQUEST message, the gNB-CU-UP shall, if supported, ignore the QoS flow mapping information indicated by the *QoS Flows Information To Be Setup* IE for the concerned DRB.

If the *Direct Forwarding Path Availability* IE set to "inter-system direct path available" is included in the BEARER CONTEXT SETUP REQUEST message, the gNB-CU-UP shall, if supported, assign the UP Transport Layer Information for inter-system direct data forwarding from the appropriate address space, if applicable.

If the *Direct Forwarding Path Availability* IE set to “intra-system direct path available” is included in the BEARER CONTEXT SETUP REQUEST message, the gNB-CU-UP shall, if supported, assign the UP Transport Layer Information for intra-system direct data forwarding from the appropriate address space, if applicable.

If the *gNB-CU-UP UE E1AP ID* IE is contained in the BEARER CONTEXT SETUP REQUEST message, the gNB-CU-UP may use it to identify the UE context as specified in TS 38.401 [2].

If the *Data Forwarding* *Source IP Address* IE is included in the *DRB To Setup List E-UTRAN* IE or in the *QoS Flow Level QoS Parameters* IE contained in the BEARER CONTEXT SETUP REQUEST message, the gNB-CU-UP shall, if supported, store this information in the UE context and use it as part of its ACL functionality configuration actions, if such ACL functionality is deployed.

If the *Data Forwarding* *Source IP Address* IE is included in the *DRB Setup List E-UTRAN* IE or in the *Flow Setup List* IE within the *DRB Setup List* IE in the *PDU Session Resource Setup List* IE of the BEARER CONTEXT SETUP RESPONSE message, the gNB-CU-CP shall, if supported, store this information in the UE context and use it as part of its ACL functionality configuration actions, if such ACL functionality is deployed.

If the *MDT* *Polluted Measurement Indicator* IE is included in the BEARER CONTEXT SETUP REQUEST, the gNB-CU-UP shall take this information into account as specified in TS 38.401 [2].

If the *UE Slice Maximum Bit Rate List* IE is included in the BEARER CONTEXT SETUP REQUEST message, the gNB-CU-UP shall, if supported, store and use the information for the downlink traffic policing for each concerned slice as specified in TS 23.501 [20].

If the *UDC parameters* IE is included in the *PDCP Configuration* IE in the BEARER CONTEXT SETUP REQUEST message, the gNB-CU-UP shall, if supported, take these parameters into account to perform appropriate uplink data compression for the concerned DRB.

If the *SCG Activation Status* IE is contained in the BEARER CONTEXT SETUP REQUEST message, the gNB-CU-UP shall take it into account when handling DL data transfer as specified in TS 37.340 [19].

### 8.3.12 Early Forwarding SN Transfer

#### 8.3.12.1 General

The purpose of the Early Forwarding SN Transfer procedure is to transfer, from the source gNB-CU-UP to the source gNB-CU-CP, DL COUNT of the last PDCP SDU successfully delivered or transmitted to the UE, for the purpose of discarding early forwarded downlink PDCP SDUs during Conditional Handover or conditional PSCell change or conditional PSCell addition.

The procedure uses UE-associated signalling.

#### 8.3.12.2 Successful Operation



Figure 8.3.12.2-1: Early Forwarding SN Transfer procedure: Successful Operation.

The source gNB-CU-UP initiates the procedure by sending the EARLY FORWARDING SN TRANSFER message.

The *DRBs Subject To Early Forwarding List* IE included in the EARLY FORWARDING SN TRANSFER message contains the DRB ID(s) corresponding to the DRB(s) subject to early data forwarding during Conditional Handover or conditional PSCell change or conditional PSCell addition or subsequent CPAC.

For each DRB in the *DRBs Subject To Early Forwarding List* IE, the value of the *DL COUNT Value* IE indicates the DL COUNT of the last PDCP SDU successfully delivered in-sequence to the UE, if RLC-AM, and successfully transmitted, if RLC-UM.

#### 9.2.2.18 EARLY FORWARDING SN TRANSFER

This message is sent by the source gNB-CU-UP to the source gNB-CU-CP to transfer the COUNT value(s) related to early forwarded downlink PDCP SDUs during Conditional Handover or conditional PSCell change or conditional PSCell addition or subsequent CPAC.

Direction: gNB-CU-UP → gNB-CU-CP

| IE/Group Name | Presence | Range | IE type and reference | Semantics description | Criticality | Assigned Criticality |
| --- | --- | --- | --- | --- | --- | --- |
| Message Type | M |  | 9.3.1.1 |  | YES | reject |
| gNB-CU-CP UE E1AP ID | M  |  | 9.3.1.4 |  | YES | reject |
| gNB-CU-UP UE E1AP ID  | M |  | 9.3.1.5 |  | YES | reject |
| DRBs Subject To Early Forwarding List | M | *1* |  |  | YES | reject |
| >DRBs Subject To Early Forwarding Item |  | *1 .. <maxnoofDRBs>* |  |  | - | - |
| >>DRB ID | M |  | 9.3.1.16 |  | - | - |
| >>DL COUNT Value | M |  | PDCP Count9.3.1.35 | PDCP-SN and Hyper frame number of the last DL SDU successfully delivered in sequence to the UE, if RLC-AM, and successfully transmitted, if RLC-UM. | - | - |

#### 9.3.1.92 Early Forwarding COUNT Information

This IE contains DL COUNT value related to early data forwarding during DAPS Handover or Conditional Handover or conditional PSCell change or conditional PSCell addition or subsequent CPAC.

| IE/Group Name | Presence | Range | IE type and reference | Semantics description |
| --- | --- | --- | --- | --- |
| CHOICE *Early Forwarding* | M |  |  |  |
| *>First DL COUNT* |  |  |  |  |
| >>FIRST DL COUNT Value | M |  | PDCP Count9.3.1.35 | PDCP-SN and Hyper frame number of the first DL SDU that the source NG-RAN node forwards to the target NG-RAN node |
| *>DL Discarding* |  |  |  |  |
| >>DISCARD DL COUNT Value | M |  | PDCP Count9.3.1.35 | PDCP-SN and Hyper frame number for which the target NG-RAN node should discard forwarded DL SDUs associated with lower values. |