

3GPP TSG-RAN3 Meeting #43
Prague, CZECH Republik, 16th-20th August 2004

Tdoc #R3-041244

CR-Form-v7	
CHANGE REQUEST	
# 25.413 CR 691 # rev 4 #	Current version: 5.9.0 #

For **HELP** on using this form, see bottom of this page or look at the pop-up text over the # symbols.

Proposed change affects: UICC apps# ME Radio Access Network Core Network

Title:	# Data Volume Reporting Correction		
Source:	# RAN3		
Work item code:	# TEI5	Date:	# 16/08/2004
Category:	# F	Release:	# REL-5
	Use <u>one</u> of the following categories: F (correction) A (corresponds to a correction 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 .		Use <u>one</u> of the following releases: 2 (GSM Phase 2) R96 (Release 1996) R97 (Release 1997) R98 (Release 1998) R99 (Release 1999) Rel-4 (Release 4) Rel-5 (Release 5) Rel-6 (Release 6)

Reason for change:	# It is uncertain which data volume is to be reported at RAB release or lu release. Stage 2 TS32.200 has removed the use of data volume report procedure.
Summary of change:	# The Data Volume Report procedure is clarified to not be used any longer. Consequently the unsuccessfully transmitted data volume to be reported is clarified to be the volume since the establishment of the RAB. <u>Impact assessment towards the previous version of the specification (same release):</u> This CR has isolated impact towards the previous version of the specification (same release). This CR has an impact under functional point of view. The impact can be considered isolated because it only affects the RAB Assignment, lu Release procedure and Data Volume Report. The CR may affect implementations based on previous version of this specification and not behaving according to TS 32.200.
Consequences if not approved:	# Incorrect data volume reported in lu Release Complete and RAB Assignment Response.

Clauses affected:	⌘	8.2, 8.5, 8.21											
Other specs affected:	⌘	<table border="1"> <tr> <td>Y</td> <td>N</td> </tr> <tr> <td>X</td> <td></td> </tr> <tr> <td></td> <td>X</td> </tr> <tr> <td></td> <td>X</td> </tr> </table>	Y	N	X			X		X	Other core specifications	⌘	TS25.413 v 6.2.0 CR692 rev3
		Y	N										
		X											
	X												
	X												
		Test specifications											
		O&M Specifications											
Other comments:	⌘												

How to create CRs using this form:

Comprehensive information and tips about how to create CRs can be found at <http://www.3gpp.org/specs/CR.htm>. Below is a brief summary:

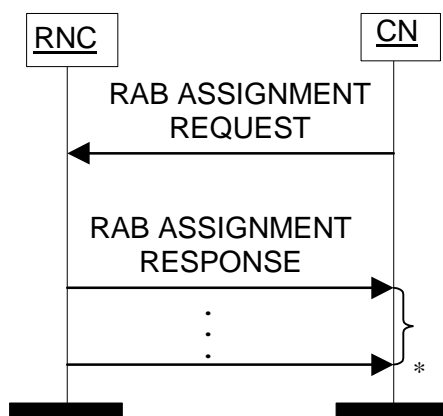
- 1) Fill out the above form. The symbols above marked ⌘ contain pop-up help information about the field that they are closest to.
- 2) Obtain the latest version for the release of the specification to which the change is proposed. Use the MS Word "revision marks" feature (also known as "track changes") when making the changes. All 3GPP specifications can be downloaded from the 3GPP server under <ftp://ftp.3gpp.org/specs/> For the latest version, look for the directory name with the latest date e.g. 2001-03 contains the specifications resulting from the March 2001 TSG meetings.
- 3) With "track changes" disabled, paste the entire CR form (use CTRL-A to select it) into the specification just in front of the clause containing the first piece of changed text. Delete those parts of the specification which are not relevant to the change request.

8.2 RAB Assignment

8.2.1 General

The purpose of the RAB Assignment procedure is to establish new RABs and/or to enable modifications and/or releases of already established RABs for a given UE. The procedure uses connection oriented signalling.

8.2.2 Successful Operation



* it can be several responses

Figure 1: RAB Assignment procedure. Successful operation.

The CN initiates the procedure by sending a RAB ASSIGNMENT REQUEST message. When sending the RAB ASSIGNMENT REQUEST message, the CN shall start the $T_{RABAssgt}$ timer.

The CN may request the UTRAN to:

- establish,
- modify,
- release

one or several RABs with one RAB ASSIGNMENT REQUEST message.

The CN shall include in the RAB ASSIGNMENT REQUEST message at least one request to either establish/modify or release a RAB.

The message shall contain the information required by the UTRAN to build the new RAB configuration, such as:

- list of RABs to establish or modify with their bearer characteristics;
- list of RABs to release.

For each RAB requested to be established, the message shall contain:

- RAB ID;
- NAS Synchronisation Indicator (only when available);
- RAB parameters (including e.g. Allocation/Retention Priority);
- User Plane Information (i.e. required User Plane Mode and required UP Mode Versions);
- Transport Layer Information;

- PDP Type Information (only for PS);
- Data Volume Reporting Indication (only for PS);
- DL GTP-PDU sequence number (only when GTP-PDU sequence number is available in cases of intersystem change from GPRS to UMTS or when establishing a RAB for an existing PDP context or in some further cases described in [21]);
- UL GTP-PDU sequence number (only when GTP-PDU sequence number is available in cases of intersystem change from GPRS to UMTS or when establishing a RAB for an existing PDP context or in some further cases described in [21]);
- DL N-PDU sequence number (only when N-PDU sequence number is available in case of intersystem change from GPRS to UMTS or in some further cases described in [21]);
- UL N-PDU sequence number (only when N-PDU sequence number is available in case of intersystem change from GPRS to UMTS or in some further cases described in [21]).

For each RAB requested to be modified, the message may contain:

- RAB ID (mandatory);
- NAS Synchronisation Indicator;
- RAB parameters;
- Transport Layer Information;
- User Plane Information.

The *Transport Layer Information* IE may be present at a RAB modification except in the case when the only other present IE, besides the *RAB ID* IE, is the *NAS Synchronisation Indicator* IE.

At a RAB modification that does not include transfer of the *NAS Synchronisation Indicator* IE, the *RAB Parameters* IE shall be present in the RAB ASSIGNMENT REQUEST message only when any previously set value for this IE is requested to be modified.

At a RAB modification, the *User Plane Information* IE shall be present in the RAB ASSIGNMENT REQUEST message only when any previously set value for this IE is requested to be modified.

For a RAB setup, the *SDU Format Information Parameter* IE in the *RAB Parameters* IE shall be present only if the *User Plane Mode* IE is set to "support mode for pre-defined SDU sizes" and the *Traffic Class* IE is set to either "Conversational" or "Streaming".

For a RAB setup, the *RAB Parameters* IE may contain the *Signalling Indication* IE. The *Signalling Indication* IE shall not be present if the *Traffic Class* IE is not set to "Interactive" or if the *CN Domain Indicator* IE is not set to "PS domain".

If the *RAB Parameters* IE is present for a RAB modification, the *SDU Format Information Parameter* IE in the *RAB Parameters* IE shall be present only if the *Traffic Class* IE is set to either "Conversational" or "Streaming" and if

- either the User Plane mode is currently "support mode for pre-defined SDU sizes" and the *User Plane Mode* IE is not contained in the RAB ASSIGNMENT REQUEST message
- or if the *User Plane Mode* IE optionally contained within the RAB ASSIGNMENT REQUEST message is set to "support mode for pre-defined SDU sizes".

If, for a RAB requested to be modified, one (or more) of these IEs except *RAB ID* IE are not present in the RAB ASSIGNMENT REQUEST message the RNC shall continue to use the value(s) currently in use for the not present IEs.

For each RAB requested to be released, the message shall contain:

- RAB ID;
- Cause.

Upon reception of the RAB ASSIGNMENT REQUEST message, the UTRAN shall execute the requested RAB configuration. The CN may indicate that RAB QoS negotiation is allowed for certain RAB parameters and in some cases also which alternative values to be used in the negotiation.

The same RAB ID shall only be present once in the whole RAB ASSIGNMENT REQUEST message.

The RAB ID shall uniquely identify the RAB for the specific CN domain and for the particular UE, which makes the RAB ID unique over the Iu connection on which the RAB ASSIGNMENT REQUEST message is received. When a RAB ID already in use over that particular Iu instance is used, the procedure is considered as modification of that RAB.

The RNC shall pass the contents of the *RAB ID* IE to the radio interface protocol for each RAB requested to be established or modified.

The RNC shall establish or modify the resources according to the values of the *Allocation/Retention Priority* IE (priority level, pre-emption indicators, queuing) and the resource situation as follows:

- The RNC shall consider the priority level of the requested RAB, when deciding on the resource allocation.
- If the requested RAB is allowed for queuing and the resource situation requires so, the RNC may place the RAB in the establishment queue.
- The priority levels and the pre-emption indicators may (singularly or in combination) be used to determine whether the RAB assignment has to be performed unconditionally and immediately. If the requested RAB is marked as "may trigger pre-emption" and the resource situation requires so, the RNC may trigger the pre-emption procedure which may then cause the forced release of a lower priority RAB which is marked as "pre-emptable". Whilst the process and the extent of the pre-emption procedure is operator-dependent, the pre-emption indicators, if given in the RAB ASSIGNMENT REQUEST message, shall be treated as follows:
 1. The values of the last received *Pre-emption Vulnerability* IE and *Priority Level* IE shall prevail.
 2. If the *Pre-emption Capability* IE is set to "may trigger pre-emption", then this allocation request may trigger the pre-emption procedure.
 3. If the *Pre-emption Capability* IE is set to "shall not trigger pre-emption", then this allocation request shall not trigger the pre-emption procedure.
 4. If the *Pre-emption Vulnerability* IE is set to "pre-emptable", then this connection shall be included in the pre-emption process.
 5. If the *Pre-emption Vulnerability* IE is set to "not pre-emptable", then this connection shall not be included in the pre-emption process.
 6. If the *Priority Level* IE is set to "no priority" the given values for the *Pre-emption Capability* IE and *Pre-emption Vulnerability* IE shall not be considered. Instead the values "shall not trigger pre-emption" and "not pre-emptable" shall prevail.
- If the *Allocation/Retention Priority* IE is not given in the RAB ASSIGNMENT REQUEST message, the allocation request shall not trigger the pre-emption process and the connection may be pre-empted and considered to have the value "lowest" as priority level. Moreover, queuing shall not be allowed.
- The UTRAN pre-emption process shall keep the following rules:
 1. UTRAN shall only pre-empt RABs with lower priority, in ascending order of priority.
 2. The pre-emption may be done for RABs belonging to the same UE or to other UEs.

If the *NAS Synchronisation Indicator* IE is contained in the RAB ASSIGNMENT REQUEST message, the RNC shall pass it to the radio interface protocol for transfer to the UE.

If the RAB ASSIGNMENT REQUEST message includes the *PDP Type Information* IE, the UTRAN may use it to configure any compression algorithms.

If included, the *Service Handover* IE tells if the RAB

- should be handed over to GSM, i.e. from a NAS point of view, the RAB should be handed over to GSM as soon as possible although the final decision whether to perform a handover to GSM is still made in the UTRAN.
- should not be handed over to GSM, i.e. from a NAS point of view, the RAB should remain in UMTS as long as possible although the final decision whether to perform a handover to GSM is still made in the UTRAN.
- shall not be handed over to GSM, i.e. the RAB shall never be handed over to GSM. This means that the UTRAN shall not initiate handover to GSM for the UE unless the RABs with this indication have first been released with the normal release procedures.

The value of the *Service Handover* IE is valid throughout the lifetime of the RAB or until changed by a RAB modification.

The *Service Handover* IE shall only influence decisions made regarding UTRAN-initiated inter-system handovers.

If the *Service Handover* IE is not included, the decision whether to perform an inter-system handover to GSM is only an internal UTRAN matter.

The UTRAN shall report to the CN, in the first RAB ASSIGNMENT RESPONSE message, the result for all the requested RABs, such as:

- List of RABs successfully established or modified.
- List of RABs released.
- List of RABs queued.
- List of RABs failed to establish or modify.
- List of RABs failed to release.

The same RAB ID shall only be present once in the whole RAB ASSIGNMENT RESPONSE message.

For each RAB successfully established towards the PS domain or towards the CS domain when an ALCAP is not used, the RNC shall include the *Transport Layer Address* IE and the *Iu Transport Association* IE in the RAB ASSIGNMENT RESPONSE message.

For each RAB successfully released towards the PS domain, for which data volume reporting had been requested when the RAB was established, the RNC shall include the *DL Data Volumes* IE in the RAB ASSIGNMENT RESPONSE message. [The *DL Data Volumes* IE shall contain in the *Unsuccessfully Transmitted DL Data Volume* IE the total amount of unsuccessfully transmitted DL data for the RAB since its establishment and may contain the *Data Volume Reference* IE.](#)

For each RAB successfully released towards the PS domain, the RNC shall include in the RAB ASSIGNMENT RESPONSE message the *DL GTP-PDU Sequence Number* IE and the *UL GTP-PDU Sequence Number* IE, if available and if the release was initiated by the UTRAN.

The RNC shall report in the RAB ASSIGNMENT RESPONSE message at least one RAB:

- setup/modified or
- released or
- queued or
- failed to setup/modify or
- failed to release.

If any alternative RAB parameter values have been used when establishing or modifying a RAB, these RAB parameter values shall be included in the RAB ASSIGNMENT RESPONSE message within the *Assigned RAB Parameter Values* IE.

For the CS domain, when an ALCAP is used, UTRAN shall report the successful outcome of a specific RAB to establish or modify only after the Iu user plane at RNL level is ready to be used in UL and DL. At a RAB establishment, the transport network control plane signalling required to set up the transport bearer shall use the *Transport Layer Address*

IE and *Iu Transport Association IE*. At a RAB modification when *Transport Layer Address (IE)* and *Iu Transport Association IEs* are included, the RNC shall establish a new transport bearer. The transport network control plane signalling shall then use the included *Transport Layer Address IE* and *Iu Transport Association IE*. Then the switch over to this new transport bearer shall be done immediately after transport bearer establishment and initialisation of the user plane mode. If *Transport Layer Address (IE)* and *Iu Transport Association IEs* are not included, then the RNC may modify the already existing transport bearer.

For the PS domain or for the CS domain when an ALCAP is not used, for each RAB successfully modified, if the RNC has changed the *Transport Layer Address IE* and/or the *Iu Transport Association IE*, it shall include the new value(s) in the RAB ASSIGNMENT RESPONSE message.

Before reporting the successful outcome of a specific RAB to establish or modify, the RNC shall have executed the initialisation of the user plane, if necessary.

Re-initialisation of the user plane shall not be performed if:

- the *RAB Parameters IE* is not included, for example during transfer of *NAS Synchronisation Indicator IE*;
- the *RAB Parameters IE* is included but the *SDU Format Information Parameter IE* is not changed for the existing RAB and the *NAS Synchronisation Indicator IE* is not included.

Re-initialisation of the user plane shall be performed if the *RAB Parameters IE* and *NAS Synchronisation Indicator IE* are included.

If the RNC can not initialise the requested user plane mode for any of the user plane mode versions in the *UP Mode Versions IE* according to the rules for initialisation of the respective user plane mode versions, as described in [6], the RAB Assignment shall fail with the cause value "RNC unable to establish all RFCs".

In case of establishment of a RAB for the PS domain, the CN must be prepared to receive user data before the RAB ASSIGNMENT RESPONSE message has been received.

If none of the RABs have been queued, the CN shall stop timer $T_{RABAssgt}$ and the RAB Assignment procedure terminates. In that case, the procedure shall also be terminated in the UTRAN.

When the request to establish or modify one or several RABs is put in a queue, the UTRAN shall start the timer $T_{QUEUING}$. This timer specifies the maximum time for queuing of the request for establishment or modification. The same timer $T_{QUEUING}$ supervises all RABs of the request being queued.

For each RAB that is queued the following outcomes are possible:

- successfully established or modified;
- failed to establish or modify;
- failed due to expiry of the timer $T_{QUEUING}$.

For RABs indicated as queued in the first RAB ASSIGNMENT RESPONSE message, the UTRAN shall report the outcome of the queuing for every RAB individually or for several RABs in subsequent RAB ASSIGNMENT RESPONSE message(s). This is left to implementation. The UTRAN shall stop $T_{QUEUING}$ when all RABs have been either successfully established or modified or failed to establish or modify. The RAB Assignment procedure is then terminated both in the CN and the UTRAN when all RABs have been responded to.

When the CN receives the response that one or several RABs are queued, it shall expect the UTRAN to provide the outcome of the queuing function for each RAB before expiry of the $T_{RABAssgt}$ timer. In case the timer $T_{RABAssgt}$ expires, the CN shall consider the RAB Assignment procedure terminated and the RABs not reported shall be considered as failed.

In case the timer $T_{QUEUING}$ expires, the RAB Assignment procedure terminates in the UTRAN for all queued RABs, and the UTRAN shall respond for all of them in one RAB ASSIGNMENT RESPONSE message. The RAB Assignment procedure shall also be terminated in the CN.

In case a request to modify or release a RAB contains the RAB ID of a RAB being queued, the RAB shall be taken out of the queue and treated according to the second request. The first request shall be responded to as a RAB failed to setup or modify with the cause value "Request superseded".

If the UTRAN failed to modify a RAB, it shall keep the RAB as it was configured prior to the modification request.

When UTRAN reports unsuccessful establishment/modification of a RAB, the cause value should be precise enough to enable the core network to know the reason for unsuccessful establishment/modification. Typical cause values are: "Requested Traffic Class not Available", "Invalid RAB Parameters Value", "Requested Maximum Bit Rate not Available", "Requested Maximum Bit Rate for DL not Available", "Requested Maximum Bit Rate for UL not Available", "Requested Guaranteed Bit Rate not Available", "Requested Guaranteed Bit Rate for DL not Available", "Requested Guaranteed Bit Rate for UL not Available", "Requested Transfer Delay not Achievable", "Invalid RAB Parameters Combination", "Condition Violation for SDU Parameters", "Condition Violation for Traffic Handling Priority", "Condition Violation for Guaranteed Bit Rate", "User Plane Versions not Supported", "Iu UP Failure", "Iu Transport Connection Failed to Establish", "T_{QUEUING} Expiry".

If the RAB ID of a RAB requested to be released is unknown in the RNC, this shall be reported as a RAB failed to release with the cause value "Invalid RAB ID".

The RNC may indicate an impending directed retry attempt to GSM by sending a RAB ASSIGNMENT RESPONSE message with a RAB ID included in the list of RABs failed to setup and a cause value of "Directed Retry".

The RNC shall be prepared to receive a RAB ASSIGNMENT REQUEST message containing a *RABs To Be Released* IE at any time and shall always reply to it. If there is an ongoing RAB Assignment procedure for a RAB indicated within the *RABs To Be Released* IE, the RNC shall discard the preceding RAB Assignment procedure for that specific RAB, release any related resources and report the released RAB within the RAB ASSIGNMENT RESPONSE message.

After sending a RAB ASSIGNMENT RESPONSE message containing RAB ID within the *RABs Released* IE, the RNC shall be prepared to receive a new establishment request for a RAB identified by the same RAB ID.

8.2.2.1 Successful Operation for GERAN Iu-mode

For GERAN Iu-mode the following shall apply in addition for the successful operation of the RAB Assignment procedure:

- In case of GERAN Iu-mode, for a RAB requested to be setup or modified from the CS domain, the RAB ASSIGNMENT REQUEST message may contain the *GERAN BSC Container* IE in order to provide GERAN-specific information to GERAN (see [27]).
- In case of GERAN Iu-mode (only for CS), if the BSC cannot provide an appropriate RAB corresponding to the content of the *GERAN BSC Container* IE (if received), the BSC shall report unsuccessful RAB establishment/modification indicating the cause value "GERAN Iu-mode Failure" and the *GERAN Classmark* IE in the *GERAN Iu mode specific RABs Failed To Setup Or Modify List* IE within the RAB ASSIGNMENT RESPONSE message.

8.2.3 Unsuccessful Operation

The unsuccessful operation for this Class 3 Elementary procedure is described under the Successful Operation chapter.

8.2.4 Abnormal Conditions

For a RAB requested to be modified, if only the *RAB ID* IE, the *NAS Synchronisation Indicator* IE and the *Transport Layer Information* IE are included in the *First Setup or Modify Item* IE, the RAB shall not be modified, and the corresponding *RAB ID* IE and *Cause* IE shall be included in the "RABs Failed To Setup Or Modify List" in the RAB ASSIGNMENT RESPONSE message.

If, for a RAB requested to be setup towards the PS domain, any of the following IEs:

- *PDP Type Information*.
- *Data Volume Reporting Indication*.

is not present, the RNC shall continue with the procedure.

Interactions with Relocation Preparation procedure:

If the relocation becomes necessary during the RAB Assignment procedure, the RNC may interrupt the ongoing RAB Assignment procedure and initiate the Relocation Preparation procedure as follows:

1. The RNC shall terminate the RAB Assignment procedure indicating unsuccessful RAB configuration modification:
 - for all queued RABs;
 - for RABs not already established or modified, and
 - for RABs not already released;with the cause "Relocation triggered".
2. The RNC shall terminate the RAB Assignment procedure indicating successful RAB configuration modification:
 - for RABs already established or modified but not yet reported to the CN, and
 - for RABs already released but not yet reported to the CN.
3. The RNC shall report the outcome of the procedure in one RAB ASSIGNMENT RESPONSE message.
4. The RNC shall invoke relocation by sending a RELOCATION REQUIRED message to the active CN node(s).
5. The CN shall terminate the RAB Assignment procedure at reception of the RAB ASSIGNMENT RESPONSE message.

Directed retry from UMTS to GSM (CS domain only):

In the case where the RNC has no RAB configuration for a particular UE in the CS domain, and the RNC receives a RAB ASSIGNMENT REQUEST message for that UE requesting the establishment of one RAB only, a directed retry to perform inter-system handover to GSM may be initiated. In this case the RNC may interrupt the ongoing RAB Assignment procedure and initiate the Relocation Preparation procedure as follows:

1. The RNC shall terminate the RAB Assignment procedure indicating unsuccessful RAB configuration modification of that RAB with the cause "Directed retry".
2. The RNC shall report the outcome of the procedure in one RAB ASSIGNMENT RESPONSE message.
3. The RNC shall invoke relocation by sending a RELOCATION REQUIRED message to the active CN node, with the cause "Directed Retry".
4. The CN shall terminate the RAB Assignment procedure at reception of the RAB ASSIGNMENT RESPONSE message.

8.5 Iu Release

8.5.1 General

The purpose of the Iu Release procedure is to enable the CN to release an Iu connection and all UTRAN resources related only to that Iu connection. The procedure uses connection oriented signalling.

The Iu Release procedure can be initiated for at least the following reasons:

- Completion of transaction between the UE and the CN.
- UTRAN-generated reasons, e.g. reception of an IU RELEASE REQUEST message.
- Completion of successful relocation of SRNS.
- Cancellation of relocation after successful completion of a Relocation Resource Allocation procedure.

The Iu release procedure should also be initiated when there is a period of Iu signalling inactivity with no existing RAB.

8.5.2 Successful Operation

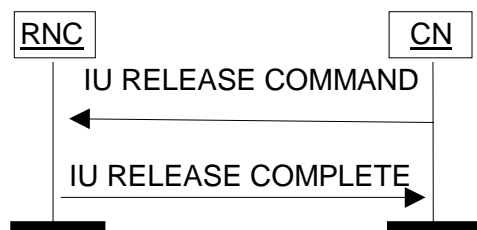


Figure 4: Iu Release procedure. Successful operation.

The CN initiates the procedure by sending an IU RELEASE COMMAND message to the UTRAN.

After the IU RELEASE COMMAND message has been sent, the CN shall not send further RANAP connection-oriented messages on this particular connection.

The IU RELEASE COMMAND message shall include a *Cause* IE indicating the reason for the release (e.g. "Successful Relocation", "Normal Release", "Release due to UTRAN Generated Reason", "Relocation Cancelled", "No Remaining RAB").

When the RNC receives the IU RELEASE COMMAND message:

1. Clearing of the related UTRAN resources is initiated. However, the UTRAN shall not clear resources related to other Iu signalling connections the UE might have. The Iu transport bearers for RABs subject to data forwarding and other UTRAN resources used for the GTP-PDU forwarding process, are released by the RNC only when the timer $T_{DATAfwd}$ expires.
2. The RNC returns any assigned Iu user plane resources to idle i.e. neither uplink user data nor downlink user data can be transferred over the Iu interface anymore. Then the RNC sends an IU RELEASE COMPLETE message to the CN. (The RNC does not need to wait for the release of UTRAN radio resources or for the transport network layer signalling to be completed before returning the IU RELEASE COMPLETE message.) When an IU RELEASE COMPLETE message is sent, the procedure is terminated in the UTRAN.

The IU RELEASE COMPLETE message shall include within the *RABs Data Volume Report List* IE for each RAB towards the PS domain successfully addressed and for which data volume reporting was requested during RAB establishment, the [total](#) amount of unsuccessfully transmitted DL data [for the RAB since its establishment](#).

If the release was initiated by the UTRAN, for each RAB towards the PS domain for which the *DL GTP-PDU Sequence Number* IE and/or the *UL GTP-PDU Sequence Number* IE are (is) available, the RNC shall include the available

sequence number(s) in the *RABs Released Item* IE (within the *RAB Released List* IE) in the IU RELEASE COMPLETE message.

The *RAB Release Item* IE shall not be present if there is no sequence number to be reported for that RAB.

Reception of an IU RELEASE COMPLETE message terminates the procedure in the CN.

8.5.3 Abnormal Conditions

If the Iu Release procedure is not initiated towards the source RNC from the CN before the expiry of timer $T_{RELOCoverall}$, the source RNC should initiate the Iu Release Request procedure towards the CN with a cause value " $T_{RELOCoverall}$ expiry".

8.21 Data Volume Report

8.21.1 General

The Data Volume Report procedure is used by CN to request the unsuccessfully transmitted DL data volume for specific RABs. This procedure only applies to the PS domain. The procedure uses connection oriented signalling.

NOTE: [In line with TS32.200, this procedure is not used and the RNC should ignore a DATA VOLUME REPORT REQUEST message if received.](#)

8.21.2 Successful Operation

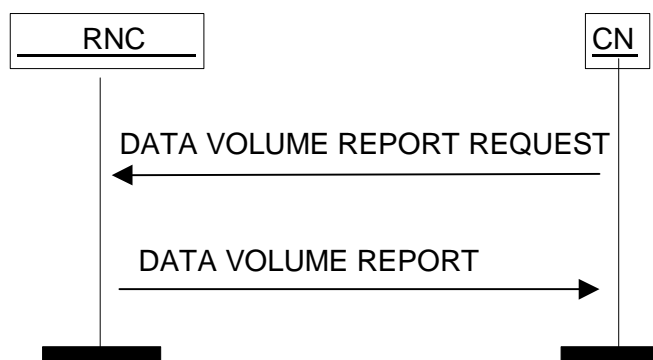


Figure 23: Data Volume Report procedure. Successful operation.

The procedure is initiated by CN by sending DATA VOLUME REPORT REQUEST message to UTRAN. This message shall contain the list of *RAB ID* IEs to identify the RABs for which the unsuccessfully transmitted DL data volume shall be reported.

At reception of a DATA VOLUME REPORT REQUEST message, the UTRAN shall produce a DATA VOLUME REPORT message. For each RAB successfully addressed within the *RAB Data Volume Report List* IE of the DATA VOLUME REPORT REQUEST message, the DATA VOLUME REPORT message shall include in the *Unsuccessfully Transmitted DL Data Volume* IE the amount of unsuccessfully transmitted DL data since the last data volume reported to the CN for the RAB and with the same data volume reference, if present. The message may also contain the *Data Volume Reference* IE.

The message may contain for each RAB successfully addressed a maximum of two *RAB Data Volume Report Item* IEs within the *RAB Data Volume Report List* IE for the case when there is a need to report two different data volumes since the last data volume indication to the CN. The UTRAN shall also reset the data volume counter for the reported RABs. The UTRAN shall send the DATA VOLUME REPORT message to the CN. Transmission and reception of the DATA VOLUME REPORT message terminate the procedure in the UTRAN and in the CN respectively.

The *Data Volume Reference* IE, if included, indicates the time when the data volume is counted.

8.21.3 Unsuccessful Operation

The *RAB ID* IE for each RAB for which UTRAN is not able to transfer a data volume report is included in the DATA VOLUME REPORT message together with a *Cause* IE, e.g. "Invalid RAB ID".

8.21.4 Abnormal Conditions

Not applicable.

3GPP TSG-RAN3 Meeting #43
Prague, CZECH Republik, 16th-20th August 2004

Tdoc #R3-041228

CR-Form-v7			
CHANGE REQUEST			
#	25.413 CR	692	# rev 3 #
			Current version: 6.2.0 #

For **HELP** on using this form, see bottom of this page or look at the pop-up text over the # symbols.

Proposed change affects: UICC apps# ME Radio Access Network Core Network

Title:	# Data Volume Reporting Correction		
Source:	# RAN3		
Work item code:	# TEI5	Date:	# 16/08/2004
Category:	# A	Release:	# REL-6
Use <u>one</u> of the following categories: F (correction) A (corresponds to a correction 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 .		Use <u>one</u> of the following releases: 2 (GSM Phase 2) R96 (Release 1996) R97 (Release 1997) R98 (Release 1998) R99 (Release 1999) Rel-4 (Release 4) Rel-5 (Release 5) Rel-6 (Release 6)	

Reason for change:	# It is uncertain which data volume is to be reported at RAB release or lu release. Stage 2 TS32.200 has removed the use of data volume report procedure.
Summary of change:	# The Data Volume Report procedure is clarified to not be used any longer. Consequently the unsuccessfully transmitted data volume to be reported is clarified to be the volume since the establishment of the RAB. <u>Impact assessment towards the previous version of the specification (same release):</u> This CR has isolated impact towards the previous version of the specification (same release). This CR has an impact under functional point of view. The impact can be considered isolated because it only affects the RAB Assignment, lu Release and Data Volume Report procedures. The CR may affect implementations based on previous version of this specification and not behaving according to TS32.200.

Consequences if not approved:	⌘	Incorrect data volume reported in lu Release Complete and RAB Assignment Response.										
Clauses affected:	⌘	8.2, 8.5, 8.21										
Other specs affected:	⌘	<table border="1"> <tr> <td>Y</td> <td>N</td> </tr> <tr> <td>X</td> <td></td> </tr> <tr> <td></td> <td>X</td> </tr> <tr> <td></td> <td>X</td> </tr> </table>	Y	N	X			X		X	Other core specifications	⌘ TS25.413 v 5.9.0 CR691rev 4
		Y	N									
		X										
	X											
	X											
	X	Test specifications										
	X	O&M Specifications										
Other comments:	⌘											

How to create CRs using this form:

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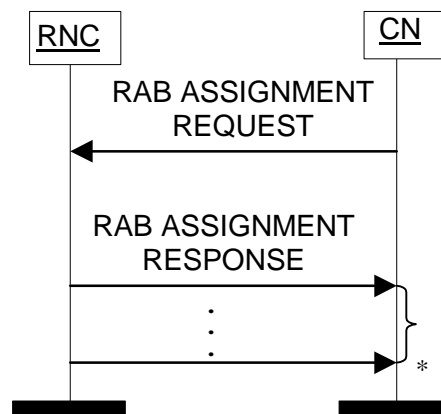
- 1) Fill out the above form. The symbols above marked ⌘ contain pop-up help information about the field that they are closest to.
- 2) Obtain the latest version for the release of the specification to which the change is proposed. Use the MS Word "revision marks" feature (also known as "track changes") when making the changes. All 3GPP specifications can be downloaded from the 3GPP server under <ftp://ftp.3gpp.org/specs/>. For the latest version, look for the directory name with the latest date e.g. 2001-03 contains the specifications resulting from the March 2001 TSG meetings.
- 3) With "track changes" disabled, paste the entire CR form (use CTRL-A to select it) into the specification just in front of the clause containing the first piece of changed text. Delete those parts of the specification which are not relevant to the change request.

8.2 RAB Assignment

8.2.1 General

The purpose of the RAB Assignment procedure is to establish new RABs and/or to enable modifications and/or releases of already established RABs for a given UE. The procedure uses connection oriented signalling.

8.2.2 Successful Operation



* it can be several responses

Figure 1: RAB Assignment procedure. Successful operation.

The CN initiates the procedure by sending a RAB ASSIGNMENT REQUEST message. When sending the RAB ASSIGNMENT REQUEST message, the CN shall start the $T_{RABAssgt}$ timer.

The CN may request the UTRAN to:

- establish,
- modify,
- release

one or several RABs with one RAB ASSIGNMENT REQUEST message.

The CN shall include in the RAB ASSIGNMENT REQUEST message at least one request to either establish/modify or release a RAB.

The message shall contain the information required by the UTRAN to build the new RAB configuration, such as:

- list of RABs to establish or modify with their bearer characteristics;
- list of RABs to release.

For each RAB requested to be established, the message shall contain:

- RAB ID;
- NAS Synchronisation Indicator (only when available);
- RAB parameters (including e.g. Allocation/Retention Priority);
- User Plane Information (i.e. required User Plane Mode and required UP Mode Versions);
- Transport Layer Information;

- PDP Type Information (only for PS);
- Data Volume Reporting Indication (only for PS);
- DL GTP-PDU sequence number (only when GTP-PDU sequence number is available in cases of intersystem change from GPRS to UMTS or when establishing a RAB for an existing PDP context or in some further cases described in [21]);
- UL GTP-PDU sequence number (only when GTP-PDU sequence number is available in cases of intersystem change from GPRS to UMTS or when establishing a RAB for an existing PDP context or in some further cases described in [21]);
- DL N-PDU sequence number (only when N-PDU sequence number is available in case of intersystem change from GPRS to UMTS or in some further cases described in [21]);
- UL N-PDU sequence number (only when N-PDU sequence number is available in case of intersystem change from GPRS to UMTS or in some further cases described in [21]).

For each RAB requested to be modified, the message may contain:

- RAB ID (mandatory);
- NAS Synchronisation Indicator;
- RAB parameters;
- Transport Layer Information;
- User Plane Information.

The *Transport Layer Information* IE may be present at a RAB modification except in the case when the only other present IE, besides the *RAB ID* IE, is the *NAS Synchronisation Indicator* IE.

At a RAB modification that does not include transfer of the *NAS Synchronisation Indicator* IE, the *RAB Parameters* IE shall be present in the RAB ASSIGNMENT REQUEST message only when any previously set value for this IE is requested to be modified.

At a RAB modification, the *User Plane Information* IE shall be present in the RAB ASSIGNMENT REQUEST message only when any previously set value for this IE is requested to be modified.

For a RAB setup, the *SDU Format Information Parameter* IE in the *RAB Parameters* IE shall be present only if the *User Plane Mode* IE is set to "support mode for pre-defined SDU sizes" and the *Traffic Class* IE is set to either "Conversational" or "Streaming".

For a RAB setup, the *RAB Parameters* IE may contain the *Signalling Indication* IE. The *Signalling Indication* IE shall not be present if the *Traffic Class* IE is not set to "Interactive" or if the *CN Domain Indicator* IE is not set to "PS domain".

If the *RAB Parameters* IE is present for a RAB modification, the *SDU Format Information Parameter* IE in the *RAB Parameters* IE shall be present only if the *Traffic Class* IE is set to either "Conversational" or "Streaming" and if

- either the User Plane mode is currently "support mode for pre-defined SDU sizes" and the *User Plane Mode* IE is not contained in the RAB ASSIGNMENT REQUEST message
- or if the *User Plane Mode* IE optionally contained within the RAB ASSIGNMENT REQUEST message is set to "support mode for pre-defined SDU sizes".

If, for a RAB requested to be modified, one (or more) of these IEs except *RAB ID* IE are not present in the RAB ASSIGNMENT REQUEST message the RNC shall continue to use the value(s) currently in use for the not present IEs.

For each RAB requested to be released, the message shall contain:

- RAB ID;
- Cause.

Upon reception of the RAB ASSIGNMENT REQUEST message, the UTRAN shall execute the requested RAB configuration. The CN may indicate that RAB QoS negotiation is allowed for certain RAB parameters and in some cases also which alternative values to be used in the negotiation.

The same RAB ID shall only be present once in the whole RAB ASSIGNMENT REQUEST message.

The RAB ID shall uniquely identify the RAB for the specific CN domain and for the particular UE, which makes the RAB ID unique over the Iu connection on which the RAB ASSIGNMENT REQUEST message is received. When a RAB ID already in use over that particular Iu instance is used, the procedure is considered as modification of that RAB.

The RNC shall pass the contents of the *RAB ID* IE to the radio interface protocol for each RAB requested to be established or modified.

The RNC shall establish or modify the resources according to the values of the *Allocation/Retention Priority* IE (priority level, pre-emption indicators, queuing) and the resource situation as follows:

- The RNC shall consider the priority level of the requested RAB, when deciding on the resource allocation.
- If the requested RAB is allowed for queuing and the resource situation requires so, the RNC may place the RAB in the establishment queue.
- The priority levels and the pre-emption indicators may (singularly or in combination) be used to determine whether the RAB assignment has to be performed unconditionally and immediately. If the requested RAB is marked as "may trigger pre-emption" and the resource situation requires so, the RNC may trigger the pre-emption procedure which may then cause the forced release of a lower priority RAB which is marked as "pre-emptable". Whilst the process and the extent of the pre-emption procedure is operator-dependent, the pre-emption indicators, if given in the RAB ASSIGNMENT REQUEST message, shall be treated as follows:
 1. The values of the last received *Pre-emption Vulnerability* IE and *Priority Level* IE shall prevail.
 2. If the *Pre-emption Capability* IE is set to "may trigger pre-emption", then this allocation request may trigger the pre-emption procedure.
 3. If the *Pre-emption Capability* IE is set to "shall not trigger pre-emption", then this allocation request shall not trigger the pre-emption procedure.
 4. If the *Pre-emption Vulnerability* IE is set to "pre-emptable", then this connection shall be included in the pre-emption process.
 5. If the *Pre-emption Vulnerability* IE is set to "not pre-emptable", then this connection shall not be included in the pre-emption process.
 6. If the *Priority Level* IE is set to "no priority" the given values for the *Pre-emption Capability* IE and *Pre-emption Vulnerability* IE shall not be considered. Instead the values "shall not trigger pre-emption" and "not pre-emptable" shall prevail.
- If the *Allocation/Retention Priority* IE is not given in the RAB ASSIGNMENT REQUEST message, the allocation request shall not trigger the pre-emption process and the connection may be pre-empted and considered to have the value "lowest" as priority level. Moreover, queuing shall not be allowed.
- The UTRAN pre-emption process shall keep the following rules:
 1. UTRAN shall only pre-empt RABs with lower priority, in ascending order of priority.
 2. The pre-emption may be done for RABs belonging to the same UE or to other UEs.

If the *NAS Synchronisation Indicator* IE is contained in the RAB ASSIGNMENT REQUEST message, the RNC shall pass it to the radio interface protocol for transfer to the UE.

If the RAB ASSIGNMENT REQUEST message includes the *PDP Type Information* IE, the UTRAN may use it to configure any compression algorithms.

If included, the *Service Handover* IE tells if the RAB

- should be handed over to GSM, i.e. from a NAS point of view, the RAB should be handed over to GSM as soon as possible although the final decision whether to perform a handover to GSM is still made in the UTRAN.
- should not be handed over to GSM, i.e. from a NAS point of view, the RAB should remain in UMTS as long as possible although the final decision whether to perform a handover to GSM is still made in the UTRAN.
- shall not be handed over to GSM, i.e. the RAB shall never be handed over to GSM. This means that the UTRAN shall not initiate handover to GSM for the UE unless the RABs with this indication have first been released with the normal release procedures.

The value of the *Service Handover* IE is valid throughout the lifetime of the RAB or until changed by a RAB modification.

The *Service Handover* IE shall only influence decisions made regarding UTRAN-initiated inter-system handovers.

If the *Service Handover* IE is not included, the decision whether to perform an inter-system handover to GSM is only an internal UTRAN matter.

The UTRAN shall report to the CN, in the first RAB ASSIGNMENT RESPONSE message, the result for all the requested RABs, such as:

- List of RABs successfully established or modified.
- List of RABs released.
- List of RABs queued.
- List of RABs failed to establish or modify.
- List of RABs failed to release.

The same RAB ID shall only be present once in the whole RAB ASSIGNMENT RESPONSE message.

For each RAB successfully established towards the PS domain or towards the CS domain when an ALCAP is not used, the RNC shall include the *Transport Layer Address* IE and the *Iu Transport Association* IE in the RAB ASSIGNMENT RESPONSE message.

For each RAB successfully released towards the PS domain, for which data volume reporting had been requested when the RAB was established, the RNC shall include the *DL Data Volumes* IE in the RAB ASSIGNMENT RESPONSE message. [The *DL Data Volumes* IE shall contain in the *Unsuccessfully Transmitted DL Data Volume* IE the total amount of unsuccessfully transmitted DL data for the RAB since its establishment and may contain the *Data Volume Reference* IE.](#)

For each RAB successfully released towards the PS domain, the RNC shall include in the RAB ASSIGNMENT RESPONSE message the *DL GTP-PDU Sequence Number* IE and the *UL GTP-PDU Sequence Number* IE, if available and if the release was initiated by the UTRAN.

The RNC shall report in the RAB ASSIGNMENT RESPONSE message at least one RAB:

- setup/modified or
- released or
- queued or
- failed to setup/modify or
- failed to release.

If any alternative RAB parameter values have been used when establishing or modifying a RAB, these RAB parameter values shall be included in the RAB ASSIGNMENT RESPONSE message within the *Assigned RAB Parameter Values* IE.

For the CS domain, when an ALCAP is used, UTRAN shall report the successful outcome of a specific RAB to establish or modify only after the Iu user plane at RNL level is ready to be used in UL and DL. At a RAB establishment, the transport network control plane signalling required to set up the transport bearer shall use the *Transport Layer Address*

IE and *Iu Transport Association IE*. At a RAB modification when *Transport Layer Address (IE)* and *Iu Transport Association IEs* are included, the RNC shall establish a new transport bearer. The transport network control plane signalling shall then use the included *Transport Layer Address IE* and *Iu Transport Association IE*. Then the switch over to this new transport bearer shall be done immediately after transport bearer establishment and initialisation of the user plane mode. If *Transport Layer Address (IE)* and *Iu Transport Association IEs* are not included, then the RNC may modify the already existing transport bearer.

For the PS domain or for the CS domain when an ALCAP is not used, for each RAB successfully modified, if the RNC has changed the *Transport Layer Address IE* and/or the *Iu Transport Association IE*, it shall include the new value(s) in the RAB ASSIGNMENT RESPONSE message.

Before reporting the successful outcome of a specific RAB to establish or modify, the RNC shall have executed the initialisation of the user plane, if necessary.

Re-initialisation of the user plane shall not be performed if:

- the *RAB Parameters IE* is not included, for example during transfer of *NAS Synchronisation Indicator IE*;
- the *RAB Parameters IE* is included but the *SDU Format Information Parameter IE* is not changed for the existing RAB and the *NAS Synchronisation Indicator IE* is not included.

Re-initialisation of the user plane shall be performed if the *RAB Parameters IE* and *NAS Synchronisation Indicator IE* are included.

If the RNC can not initialise the requested user plane mode for any of the user plane mode versions in the *UP Mode Versions IE* according to the rules for initialisation of the respective user plane mode versions, as described in [6], the RAB Assignment shall fail with the cause value "RNC unable to establish all RFCs".

In case of establishment of a RAB for the PS domain, the CN must be prepared to receive user data before the RAB ASSIGNMENT RESPONSE message has been received.

If none of the RABs have been queued, the CN shall stop timer $T_{RABAssgt}$ and the RAB Assignment procedure terminates. In that case, the procedure shall also be terminated in the UTRAN.

When the request to establish or modify one or several RABs is put in a queue, the UTRAN shall start the timer $T_{QUEUING}$. This timer specifies the maximum time for queuing of the request for establishment or modification. The same timer $T_{QUEUING}$ supervises all RABs of the request being queued.

For each RAB that is queued the following outcomes are possible:

- successfully established or modified;
- failed to establish or modify;
- failed due to expiry of the timer $T_{QUEUING}$.

For RABs indicated as queued in the first RAB ASSIGNMENT RESPONSE message, the UTRAN shall report the outcome of the queuing for every RAB individually or for several RABs in subsequent RAB ASSIGNMENT RESPONSE message(s). This is left to implementation. The UTRAN shall stop $T_{QUEUING}$ when all RABs have been either successfully established or modified or failed to establish or modify. The RAB Assignment procedure is then terminated both in the CN and the UTRAN when all RABs have been responded to.

When the CN receives the response that one or several RABs are queued, it shall expect the UTRAN to provide the outcome of the queuing function for each RAB before expiry of the $T_{RABAssgt}$ timer. In case the timer $T_{RABAssgt}$ expires, the CN shall consider the RAB Assignment procedure terminated and the RABs not reported shall be considered as failed.

In case the timer $T_{QUEUING}$ expires, the RAB Assignment procedure terminates in the UTRAN for all queued RABs, and the UTRAN shall respond for all of them in one RAB ASSIGNMENT RESPONSE message. The RAB Assignment procedure shall also be terminated in the CN.

In case a request to modify or release a RAB contains the RAB ID of a RAB being queued, the RAB shall be taken out of the queue and treated according to the second request. The first request shall be responded to as a RAB failed to setup or modify with the cause value "Request superseded".

If the UTRAN failed to modify a RAB, it shall keep the RAB as it was configured prior to the modification request.

When UTRAN reports unsuccessful establishment/modification of a RAB, the cause value should be precise enough to enable the core network to know the reason for unsuccessful establishment/modification. Typical cause values are: "Requested Traffic Class not Available", "Invalid RAB Parameters Value", "Requested Maximum Bit Rate not Available", "Requested Maximum Bit Rate for DL not Available", "Requested Maximum Bit Rate for UL not Available", "Requested Guaranteed Bit Rate not Available", "Requested Guaranteed Bit Rate for DL not Available", "Requested Guaranteed Bit Rate for UL not Available", "Requested Transfer Delay not Achievable", "Invalid RAB Parameters Combination", "Condition Violation for SDU Parameters", "Condition Violation for Traffic Handling Priority", "Condition Violation for Guaranteed Bit Rate", "User Plane Versions not Supported", "Iu UP Failure", "Iu Transport Connection Failed to Establish", "T_{QUEUING} Expiry".

If the RAB ID of a RAB requested to be released is unknown in the RNC, this shall be reported as a RAB failed to release with the cause value "Invalid RAB ID".

The RNC may indicate an impending directed retry attempt to GSM by sending a RAB ASSIGNMENT RESPONSE message with a RAB ID included in the list of RABs failed to setup and a cause value of "Directed Retry".

The RNC shall be prepared to receive a RAB ASSIGNMENT REQUEST message containing a *RABs To Be Released* IE at any time and shall always reply to it. If there is an ongoing RAB Assignment procedure for a RAB indicated within the *RABs To Be Released* IE, the RNC shall discard the preceding RAB Assignment procedure for that specific RAB, release any related resources and report the released RAB within the RAB ASSIGNMENT RESPONSE message.

After sending a RAB ASSIGNMENT RESPONSE message containing RAB ID within the *RABs Released* IE, the RNC shall be prepared to receive a new establishment request for a RAB identified by the same RAB ID.

8.2.2.1 Successful Operation for GERAN Iu-mode

For GERAN Iu-mode the following shall apply in addition for the successful operation of the RAB Assignment procedure:

- In case of GERAN Iu-mode, for a RAB requested to be setup or modified from the CS domain, the RAB ASSIGNMENT REQUEST message may contain the *GERAN BSC Container* IE in order to provide GERAN-specific information to GERAN (see [27]).
- In case of GERAN Iu-mode (only for CS), if the BSC cannot provide an appropriate RAB corresponding to the content of the *GERAN BSC Container* IE (if received), the BSC shall report unsuccessful RAB establishment/modification indicating the cause value "GERAN Iu-mode Failure" and the *GERAN Classmark* IE in the *GERAN Iu mode specific RABs Failed To Setup Or Modify List* IE within the RAB ASSIGNMENT RESPONSE message.

8.5 Iu Release

8.5.1 General

The purpose of the Iu Release procedure is to enable the CN to release an Iu connection and all UTRAN resources related only to that Iu connection. The procedure uses connection oriented signalling.

The Iu Release procedure can be initiated for at least the following reasons:

- Completion of transaction between the UE and the CN.
- UTRAN-generated reasons, e.g. reception of an IU RELEASE REQUEST message.
- Completion of successful relocation of SRNS.
- Cancellation of relocation after successful completion of a Relocation Resource Allocation procedure.

The Iu release procedure should also be initiated when there is a period of Iu signalling inactivity with no existing RAB.

8.5.2 Successful Operation

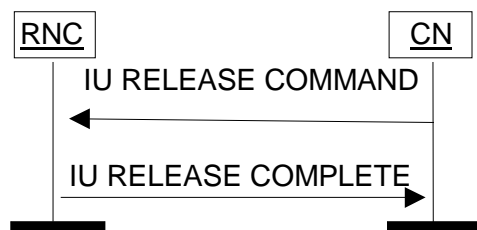


Figure 4: Iu Release procedure. Successful operation.

The CN initiates the procedure by sending an IU RELEASE COMMAND message to the UTRAN.

After the IU RELEASE COMMAND message has been sent, the CN shall not send further RANAP connection-oriented messages on this particular connection.

The IU RELEASE COMMAND message shall include a *Cause* IE indicating the reason for the release (e.g. "Successful Relocation", "Normal Release", "Release due to UTRAN Generated Reason", "Relocation Cancelled", "No Remaining RAB").

When the RNC receives the IU RELEASE COMMAND message:

1. Clearing of the related UTRAN resources is initiated. However, the UTRAN shall not clear resources related to other Iu signalling connections the UE might have. The Iu transport bearers for RABs subject to data forwarding and other UTRAN resources used for the GTP-PDU forwarding process, are released by the RNC only when the timer $T_{DATAfwd}$ expires.
2. The RNC returns any assigned Iu user plane resources to idle i.e. neither uplink user data nor downlink user data can be transferred over the Iu interface anymore. Then the RNC sends an IU RELEASE COMPLETE message to the CN. (The RNC does not need to wait for the release of UTRAN radio resources or for the transport network layer signalling to be completed before returning the IU RELEASE COMPLETE message.) When an IU RELEASE COMPLETE message is sent, the procedure is terminated in the UTRAN.

The IU RELEASE COMPLETE message shall include within the *RABs Data Volume Report List* IE for each RAB towards the PS domain successfully addressed and for which data volume reporting was requested during RAB establishment, the [total](#) amount of unsuccessfully transmitted DL data [for the RAB since its establishment](#).

If the release was initiated by the UTRAN, for each RAB towards the PS domain for which the *DL GTP-PDU Sequence Number* IE and/or the *UL GTP-PDU Sequence Number* IE are (is) available, the RNC shall include the available

sequence number(s) in the *RABs Released Item* IE (within the *RAB Released List* IE) in the IU RELEASE COMPLETE message.

The *RAB Release Item* IE shall not be present if there is no sequence number to be reported for that RAB.

Reception of an IU RELEASE COMPLETE message terminates the procedure in the CN.

Interaction with Trace:

In case of simultaneous Iu signalling connections for both CS and PS domains, if a trace session was activated by both domains, the successful release of one of the connections should not close this trace session. If the trace session was activated by only one domain and the Iu connection for this domain is successfully released, this trace session shall be stopped in UTRAN.

8.5.3 Abnormal Conditions

If the Iu Release procedure is not initiated towards the source RNC from the CN before the expiry of timer $T_{RELOCoverall}$, the source RNC should initiate the Iu Release Request procedure towards the CN with a cause value " $T_{RELOCoverall}$ expiry".

8.21 Data Volume Report

8.21.1 General

The Data Volume Report procedure is used by CN to request the unsuccessfully transmitted DL data volume for specific RABs. This procedure only applies to the PS domain. The procedure uses connection oriented signalling.

NOTE: In line with TS32.200, this procedure is not used and the RNC should ignore a DATA VOLUME REPORT REQUEST message if received.

8.21.2 Successful Operation

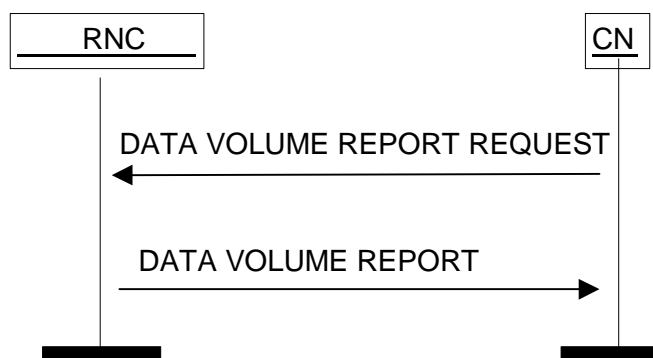


Figure 23: Data Volume Report procedure. Successful operation.

The procedure is initiated by CN by sending DATA VOLUME REPORT REQUEST message to UTRAN. This message shall contain the list of *RAB ID* IEs to identify the RABs for which the unsuccessfully transmitted DL data volume shall be reported.

At reception of a DATA VOLUME REPORT REQUEST message, the UTRAN shall produce a DATA VOLUME REPORT message. For each RAB successfully addressed within the *RAB Data Volume Report List* IE of the DATA VOLUME REPORT REQUEST message, the DATA VOLUME REPORT message shall include in the *Unsuccessfully Transmitted DL Data Volume* IE the amount of unsuccessfully transmitted DL data since the last data volume reported to the CN for the RAB and with the same data volume reference, if present. The message may also contain the *Data Volume Reference* IE.

The message may contain for each RAB successfully addressed a maximum of two *RAB Data Volume Report Item* IEs within the *RAB Data Volume Report List* IE for the case when there is a need to report two different data volumes since the last data volume indication to the CN. The UTRAN shall also reset the data volume counter for the reported RABs. The UTRAN shall send the DATA VOLUME REPORT message to the CN. Transmission and reception of the DATA VOLUME REPORT message terminate the procedure in the UTRAN and in the CN respectively.

The *Data Volume Reference* IE, if included, indicates the time when the data volume is counted.

8.21.3 Unsuccessful Operation

The *RAB ID* IE for each RAB for which UTRAN is not able to transfer a data volume report is included in the DATA VOLUME REPORT message together with a *Cause* IE, e.g. "Invalid RAB ID".

8.21.4 Abnormal Conditions

Not applicable.

3GPP TSG-RAN3 Meeting #43
Prague, Czech Republik, 16th-20th August 2004

Tdoc #R3-041209

CR-Form-v7	
CHANGE REQUEST	
# 25.413 CR 695 # rev 2 #	Current version: 5.9.0 #

For **HELP** on using this form, see bottom of this page or look at the pop-up text over the # symbols.

Proposed change affects: UICC apps# ME Radio Access Network Core Network

Title:	# Service Handover Timing and Priority		
Source:	# RAN3		
Work item code:	# TEI5	Date:	# 16/08/2004
Category:	# F	Release:	# REL-5
	<i>Use <u>one</u> of the following categories:</i> F (correction) A (corresponds to a correction 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 .		<i>Use <u>one</u> of the following releases:</i> 2 (GSM Phase 2) R96 (Release 1996) R97 (Release 1997) R98 (Release 1998) R99 (Release 1999) Rel-4 (Release 4) Rel-5 (Release 5) Rel-6 (Release 6)

Reason for change:	# It is unclear whether the 'service handover' indication received from the CN can result in handover to GSM after the RAB is established or before the RAB is established.
Summary of change:	# The value "should be handed over to GSM" is clarified to also possibly result in a handover to GSM before the RAB is established. <u>Impact assessment towards the previous version of the specification (same release):</u> This CR has isolated impact towards the previous version of the specification (same release). This CR has an impact under functional point of view. The impact can be considered isolated because it only affects the RAB Assignment.
Consequences if not approved:	# The 'service handover' field can be interpreted differently depending on RNC implementation leading to possible drop call or unexpected fulfillment of the service regarding the timing.

Clauses affected:	# 8.2,
--------------------------	--------

Other specs affected:		Y	N		
	⌘	X		Other core specifications	⌘ TS25.413 6.2.0 CR696 rev2
			X	Test specifications	
			X	O&M Specifications	
Other comments:	⌘				

How to create CRs using this form:

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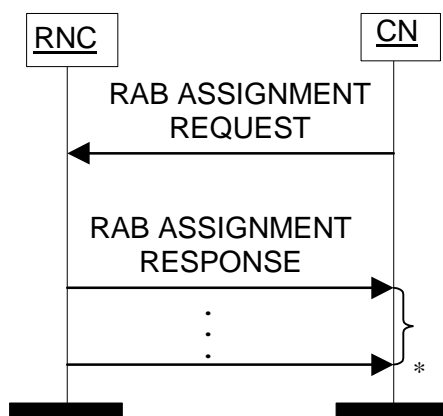
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8.2 RAB Assignment

8.2.1 General

The purpose of the RAB Assignment procedure is to establish new RABs and/or to enable modifications and/or releases of already established RABs for a given UE. The procedure uses connection oriented signalling.

8.2.2 Successful Operation



* it can be several responses

Figure 1: RAB Assignment procedure. Successful operation.

The CN initiates the procedure by sending a RAB ASSIGNMENT REQUEST message. When sending the RAB ASSIGNMENT REQUEST message, the CN shall start the $T_{RABAssgt}$ timer.

The CN may request the UTRAN to:

- establish,
- modify,
- release

one or several RABs with one RAB ASSIGNMENT REQUEST message.

The CN shall include in the RAB ASSIGNMENT REQUEST message at least one request to either establish/modify or release a RAB.

The message shall contain the information required by the UTRAN to build the new RAB configuration, such as:

- list of RABs to establish or modify with their bearer characteristics;
- list of RABs to release.

For each RAB requested to be established, the message shall contain:

- RAB ID;
- NAS Synchronisation Indicator (only when available);
- RAB parameters (including e.g. Allocation/Retention Priority);
- User Plane Information (i.e. required User Plane Mode and required UP Mode Versions);
- Transport Layer Information;

- PDP Type Information (only for PS);
- Data Volume Reporting Indication (only for PS);
- DL GTP-PDU sequence number (only when GTP-PDU sequence number is available in cases of intersystem change from GPRS to UMTS or when establishing a RAB for an existing PDP context or in some further cases described in [21]);
- UL GTP-PDU sequence number (only when GTP-PDU sequence number is available in cases of intersystem change from GPRS to UMTS or when establishing a RAB for an existing PDP context or in some further cases described in [21]);
- DL N-PDU sequence number (only when N-PDU sequence number is available in case of intersystem change from GPRS to UMTS or in some further cases described in [21]);
- UL N-PDU sequence number (only when N-PDU sequence number is available in case of intersystem change from GPRS to UMTS or in some further cases described in [21]).

For each RAB requested to be modified, the message may contain:

- RAB ID (mandatory);
- NAS Synchronisation Indicator;
- RAB parameters;
- Transport Layer Information;
- User Plane Information.

The *Transport Layer Information* IE may be present at a RAB modification except in the case when the only other present IE, besides the *RAB ID* IE, is the *NAS Synchronisation Indicator* IE.

At a RAB modification that does not include transfer of the *NAS Synchronisation Indicator* IE, the *RAB Parameters* IE shall be present in the RAB ASSIGNMENT REQUEST message only when any previously set value for this IE is requested to be modified.

At a RAB modification, the *User Plane Information* IE shall be present in the RAB ASSIGNMENT REQUEST message only when any previously set value for this IE is requested to be modified.

For a RAB setup, the *SDU Format Information Parameter* IE in the *RAB Parameters* IE shall be present only if the *User Plane Mode* IE is set to "support mode for pre-defined SDU sizes" and the *Traffic Class* IE is set to either "Conversational" or "Streaming".

For a RAB setup, the *RAB Parameters* IE may contain the *Signalling Indication* IE. The *Signalling Indication* IE shall not be present if the *Traffic Class* IE is not set to "Interactive" or if the *CN Domain Indicator* IE is not set to "PS domain".

If the *RAB Parameters* IE is present for a RAB modification, the *SDU Format Information Parameter* IE in the *RAB Parameters* IE shall be present only if the *Traffic Class* IE is set to either "Conversational" or "Streaming" and if

- either the User Plane mode is currently "support mode for pre-defined SDU sizes" and the *User Plane Mode* IE is not contained in the RAB ASSIGNMENT REQUEST message
- or if the *User Plane Mode* IE optionally contained within the RAB ASSIGNMENT REQUEST message is set to "support mode for pre-defined SDU sizes".

If, for a RAB requested to be modified, one (or more) of these IEs except *RAB ID* IE are not present in the RAB ASSIGNMENT REQUEST message the RNC shall continue to use the value(s) currently in use for the not present IEs.

For each RAB requested to be released, the message shall contain:

- RAB ID;
- Cause.

Upon reception of the RAB ASSIGNMENT REQUEST message, the UTRAN shall execute the requested RAB configuration. The CN may indicate that RAB QoS negotiation is allowed for certain RAB parameters and in some cases also which alternative values to be used in the negotiation.

The same RAB ID shall only be present once in the whole RAB ASSIGNMENT REQUEST message.

The RAB ID shall uniquely identify the RAB for the specific CN domain and for the particular UE, which makes the RAB ID unique over the Iu connection on which the RAB ASSIGNMENT REQUEST message is received. When a RAB ID already in use over that particular Iu instance is used, the procedure is considered as modification of that RAB.

The RNC shall pass the contents of the *RAB ID* IE to the radio interface protocol for each RAB requested to be established or modified.

The RNC shall establish or modify the resources according to the values of the *Allocation/Retention Priority* IE (priority level, pre-emption indicators, queuing) and the resource situation as follows:

- The RNC shall consider the priority level of the requested RAB, when deciding on the resource allocation.
- If the requested RAB is allowed for queuing and the resource situation requires so, the RNC may place the RAB in the establishment queue.
- The priority levels and the pre-emption indicators may (singularly or in combination) be used to determine whether the RAB assignment has to be performed unconditionally and immediately. If the requested RAB is marked as "may trigger pre-emption" and the resource situation requires so, the RNC may trigger the pre-emption procedure which may then cause the forced release of a lower priority RAB which is marked as "pre-emptable". Whilst the process and the extent of the pre-emption procedure is operator-dependent, the pre-emption indicators, if given in the RAB ASSIGNMENT REQUEST message, shall be treated as follows:
 1. The values of the last received *Pre-emption Vulnerability* IE and *Priority Level* IE shall prevail.
 2. If the *Pre-emption Capability* IE is set to "may trigger pre-emption", then this allocation request may trigger the pre-emption procedure.
 3. If the *Pre-emption Capability* IE is set to "shall not trigger pre-emption", then this allocation request shall not trigger the pre-emption procedure.
 4. If the *Pre-emption Vulnerability* IE is set to "pre-emptable", then this connection shall be included in the pre-emption process.
 5. If the *Pre-emption Vulnerability* IE is set to "not pre-emptable", then this connection shall not be included in the pre-emption process.
 6. If the *Priority Level* IE is set to "no priority" the given values for the *Pre-emption Capability* IE and *Pre-emption Vulnerability* IE shall not be considered. Instead the values "shall not trigger pre-emption" and "not pre-emptable" shall prevail.
- If the *Allocation/Retention Priority* IE is not given in the RAB ASSIGNMENT REQUEST message, the allocation request shall not trigger the pre-emption process and the connection may be pre-empted and considered to have the value "lowest" as priority level. Moreover, queuing shall not be allowed.
- The UTRAN pre-emption process shall keep the following rules:
 1. UTRAN shall only pre-empt RABs with lower priority, in ascending order of priority.
 2. The pre-emption may be done for RABs belonging to the same UE or to other UEs.

If the *NAS Synchronisation Indicator* IE is contained in the RAB ASSIGNMENT REQUEST message, the RNC shall pass it to the radio interface protocol for transfer to the UE.

If the RAB ASSIGNMENT REQUEST message includes the *PDP Type Information* IE, the UTRAN may use it to configure any compression algorithms.

If included, the *Service Handover* IE tells if the [requested](#) RAB

- should be handed over to GSM, i.e. from a NAS point of view, the [requested](#) RAB should be handed over to GSM as soon as possible although the final decision whether to perform a handover to GSM is still made in the UTRAN.
- should not be handed over to GSM, i.e. from a NAS point of view, the [requested](#) RAB should remain in UMTS as long as possible although the final decision whether to perform a handover to GSM is still made in the UTRAN.
- shall not be handed over to GSM, i.e. the [requested](#) RAB shall never be handed over to GSM. This means that the UTRAN shall not initiate handover to GSM for the UE unless the RABs with this indication have first been released with the normal release procedures.

The value of the *Service Handover* IE is valid throughout the lifetime of the RAB or until changed by a RAB modification.

The *Service Handover* IE shall only influence decisions made regarding UTRAN-initiated inter-system handovers.

If the *Service Handover* IE is not included, the decision whether to perform an inter-system handover to GSM is only an internal UTRAN matter.

The UTRAN shall report to the CN, in the first RAB ASSIGNMENT RESPONSE message, the result for all the requested RABs, such as:

- List of RABs successfully established or modified.
- List of RABs released.
- List of RABs queued.
- List of RABs failed to establish or modify.
- List of RABs failed to release.

The same RAB ID shall only be present once in the whole RAB ASSIGNMENT RESPONSE message.

For each RAB successfully established towards the PS domain or towards the CS domain when an ALCAP is not used, the RNC shall include the *Transport Layer Address* IE and the *Iu Transport Association* IE in the RAB ASSIGNMENT RESPONSE message.

For each RAB successfully released towards the PS domain, for which data volume reporting had been requested when the RAB was established, the RNC shall include the *DL Data Volumes* IE in the RAB ASSIGNMENT RESPONSE message.

For each RAB successfully released towards the PS domain, the RNC shall include in the RAB ASSIGNMENT RESPONSE message the *DL GTP-PDU Sequence Number* IE and the *UL GTP-PDU Sequence Number* IE, if available and if the release was initiated by the UTRAN.

The RNC shall report in the RAB ASSIGNMENT RESPONSE message at least one RAB:

- setup/modified or
- released or
- queued or
- failed to setup/modify or
- failed to release.

If any alternative RAB parameter values have been used when establishing or modifying a RAB, these RAB parameter values shall be included in the RAB ASSIGNMENT RESPONSE message within the *Assigned RAB Parameter Values* IE.

For the CS domain, when an ALCAP is used, UTRAN shall report the successful outcome of a specific RAB to establish or modify only after the Iu user plane at RNL level is ready to be used in UL and DL. At a RAB establishment, the transport network control plane signalling required to set up the transport bearer shall use the *Transport Layer Address* IE and *Iu Transport Association* IE. At a RAB modification when *Transport Layer Address* (IE) and *Iu Transport Association* IEs are included, the RNC shall establish a new transport bearer. The transport network control plane

signalling shall then use the included *Transport Layer Address IE* and *Iu Transport Association IE*. Then the switch over to this new transport bearer shall be done immediately after transport bearer establishment and initialisation of the user plane mode. If *Transport Layer Address IE* and *Iu Transport Association IE*s are not included, then the RNC may modify the already existing transport bearer.

For the PS domain or for the CS domain when an ALCAP is not used, for each RAB successfully modified, if the RNC has changed the *Transport Layer Address IE* and/or the *Iu Transport Association IE*, it shall include the new value(s) in the RAB ASSIGNMENT RESPONSE message.

Before reporting the successful outcome of a specific RAB to establish or modify, the RNC shall have executed the initialisation of the user plane, if necessary.

Re-initialisation of the user plane shall not be performed if:

- the *RAB Parameters IE* is not included, for example during transfer of *NAS Synchronisation Indicator IE*;
- the *RAB Parameters IE* is included but the *SDU Format Information Parameter IE* is not changed for the existing RAB and the *NAS Synchronisation Indicator IE* is not included.

Re-initialisation of the user plane shall be performed if the *RAB Parameters IE* and *NAS Synchronisation Indicator IE* are included.

If the RNC can not initialise the requested user plane mode for any of the user plane mode versions in the *UP Mode Versions IE* according to the rules for initialisation of the respective user plane mode versions, as described in [6], the RAB Assignment shall fail with the cause value "RNC unable to establish all RFCs".

In case of establishment of a RAB for the PS domain, the CN must be prepared to receive user data before the RAB ASSIGNMENT RESPONSE message has been received.

If none of the RABs have been queued, the CN shall stop timer $T_{RABAssgt}$ and the RAB Assignment procedure terminates. In that case, the procedure shall also be terminated in the UTRAN.

When the request to establish or modify one or several RABs is put in a queue, the UTRAN shall start the timer $T_{QUEUING}$. This timer specifies the maximum time for queuing of the request for establishment or modification. The same timer $T_{QUEUING}$ supervises all RABs of the request being queued.

For each RAB that is queued the following outcomes are possible:

- successfully established or modified;
- failed to establish or modify;
- failed due to expiry of the timer $T_{QUEUING}$.

For RABs indicated as queued in the first RAB ASSIGNMENT RESPONSE message, the UTRAN shall report the outcome of the queuing for every RAB individually or for several RABs in subsequent RAB ASSIGNMENT RESPONSE message(s). This is left to implementation. The UTRAN shall stop $T_{QUEUING}$ when all RABs have been either successfully established or modified or failed to establish or modify. The RAB Assignment procedure is then terminated both in the CN and the UTRAN when all RABs have been responded to.

When the CN receives the response that one or several RABs are queued, it shall expect the UTRAN to provide the outcome of the queuing function for each RAB before expiry of the $T_{RABAssgt}$ timer. In case the timer $T_{RABAssgt}$ expires, the CN shall consider the RAB Assignment procedure terminated and the RABs not reported shall be considered as failed.

In case the timer $T_{QUEUING}$ expires, the RAB Assignment procedure terminates in the UTRAN for all queued RABs, and the UTRAN shall respond for all of them in one RAB ASSIGNMENT RESPONSE message. The RAB Assignment procedure shall also be terminated in the CN.

In case a request to modify or release a RAB contains the RAB ID of a RAB being queued, the RAB shall be taken out of the queue and treated according to the second request. The first request shall be responded to as a RAB failed to setup or modify with the cause value "Request superseded".

If the UTRAN failed to modify a RAB, it shall keep the RAB as it was configured prior to the modification request.

When UTRAN reports unsuccessful establishment/modification of a RAB, the cause value should be precise enough to enable the core network to know the reason for unsuccessful establishment/modification. Typical cause values are: "Requested Traffic Class not Available", "Invalid RAB Parameters Value", "Requested Maximum Bit Rate not Available", "Requested Maximum Bit Rate for DL not Available", "Requested Maximum Bit Rate for UL not Available", "Requested Guaranteed Bit Rate not Available", "Requested Guaranteed Bit Rate for DL not Available", "Requested Guaranteed Bit Rate for UL not Available", "Requested Transfer Delay not Achievable", "Invalid RAB Parameters Combination", "Condition Violation for SDU Parameters", "Condition Violation for Traffic Handling Priority", "Condition Violation for Guaranteed Bit Rate", "User Plane Versions not Supported", "Iu UP Failure", "Iu Transport Connection Failed to Establish", "T_{QUEUING} Expiry".

If the RAB ID of a RAB requested to be released is unknown in the RNC, this shall be reported as a RAB failed to release with the cause value "Invalid RAB ID".

The RNC may indicate an impending directed retry attempt to GSM by sending a RAB ASSIGNMENT RESPONSE message with a RAB ID included in the list of RABs failed to setup and a cause value of "Directed Retry".

The RNC shall be prepared to receive a RAB ASSIGNMENT REQUEST message containing a *RABs To Be Released* IE at any time and shall always reply to it. If there is an ongoing RAB Assignment procedure for a RAB indicated within the *RABs To Be Released* IE, the RNC shall discard the preceding RAB Assignment procedure for that specific RAB, release any related resources and report the released RAB within the RAB ASSIGNMENT RESPONSE message.

After sending a RAB ASSIGNMENT RESPONSE message containing RAB ID within the *RABs Released* IE, the RNC shall be prepared to receive a new establishment request for a RAB identified by the same RAB ID.

8.2.2.1 Successful Operation for GERAN Iu-mode

For GERAN Iu-mode the following shall apply in addition for the successful operation of the RAB Assignment procedure:

- In case of GERAN Iu-mode, for a RAB requested to be setup or modified from the CS domain, the RAB ASSIGNMENT REQUEST message may contain the *GERAN BSC Container* IE in order to provide GERAN-specific information to GERAN (see [27]).
- In case of GERAN Iu-mode (only for CS), if the BSC cannot provide an appropriate RAB corresponding to the content of the *GERAN BSC Container* IE (if received), the BSC shall report unsuccessful RAB establishment/modification indicating the cause value "GERAN Iu-mode Failure" and the *GERAN Classmark* IE in the *GERAN Iu mode specific RABs Failed To Setup Or Modify List* IE within the RAB ASSIGNMENT RESPONSE message.

3GPP TSG-RAN3 Meeting #43
Prague, Czech Republik, 16th-20th August 2004

Tdoc #R3-041210

CR-Form-v7	
CHANGE REQUEST	
# 25.413 CR 696 # rev 2 #	Current version: 6.2.0 #

For **HELP** on using this form, see bottom of this page or look at the pop-up text over the # symbols.

Proposed change affects: UICC apps# ME Radio Access Network Core Network

Title:	# Service Handover Timing and Priority		
Source:	# RAN3		
Work item code:	# TEI5	Date:	# 16/08/2004
Category:	# A	Release:	# REL-6
	Use <u>one</u> of the following categories: <i>F</i> (correction) <i>A</i> (corresponds to a correction in an earlier release) <i>B</i> (addition of feature), <i>C</i> (functional modification of feature) <i>D</i> (editorial modification) Detailed explanations of the above categories can be found in 3GPP TR 21.900 .		Use <u>one</u> of the following releases: 2 (GSM Phase 2) R96 (Release 1996) R97 (Release 1997) R98 (Release 1998) R99 (Release 1999) Rel-4 (Release 4) Rel-5 (Release 5) Rel-6 (Release 6)

Reason for change:	# It is unclear whether the 'service handover' indication received from the CN can result in handover to GSM after the RAB is established or before the RAB is established.
Summary of change:	# The value "should be handed over to GSM" is clarified to also possibly result in a handover to GSM before the RAB is established. <u>Impact assessment towards the previous version of the specification (same release):</u> This CR has isolated impact towards the previous version of the specification (same release). This CR has an impact under functional point of view. The impact can be considered isolated because it only affects the RAB Assignment.
Consequences if not approved:	# The 'service handover' field can be interpreted differently depending on RNC implementation leading to possible drop call or unexpected fulfillment of the service regarding the timing.

Clauses affected:	# 8.2,
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Other specs affected:		Y	N		
	⌘	X		Other core specifications	⌘ TS25.413 v5.9.0 CR695 rev2
			X	Test specifications	
			X	O&M Specifications	
Other comments:	⌘				

How to create CRs using this form:

Comprehensive information and tips about how to create CRs can be found at <http://www.3gpp.org/specs/CR.htm>.

Below is a brief summary:

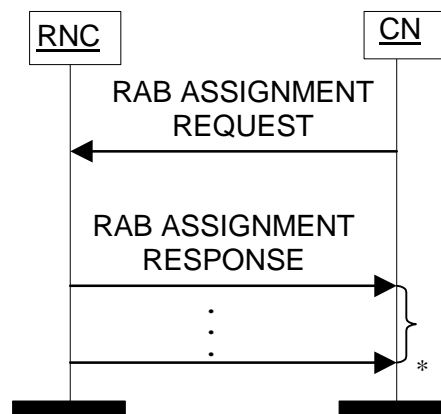
- 1) Fill out the above form. The symbols above marked ⌘ contain pop-up help information about the field that they are closest to.
- 2) Obtain the latest version for the release of the specification to which the change is proposed. Use the MS Word "revision marks" feature (also known as "track changes") when making the changes. All 3GPP specifications can be downloaded from the 3GPP server under <ftp://ftp.3gpp.org/specs/> For the latest version, look for the directory name with the latest date e.g. 2001-03 contains the specifications resulting from the March 2001 TSG meetings.
- 3) With "track changes" disabled, paste the entire CR form (use CTRL-A to select it) into the specification just in front of the clause containing the first piece of changed text. Delete those parts of the specification which are not relevant to the change request.

8.2 RAB Assignment

8.2.1 General

The purpose of the RAB Assignment procedure is to establish new RABs and/or to enable modifications and/or releases of already established RABs for a given UE. The procedure uses connection oriented signalling.

8.2.2 Successful Operation



* it can be several responses

Figure 1: RAB Assignment procedure. Successful operation.

The CN initiates the procedure by sending a RAB ASSIGNMENT REQUEST message. When sending the RAB ASSIGNMENT REQUEST message, the CN shall start the $T_{RABAssgt}$ timer.

The CN may request the UTRAN to:

- establish,
- modify,
- release

one or several RABs with one RAB ASSIGNMENT REQUEST message.

The CN shall include in the RAB ASSIGNMENT REQUEST message at least one request to either establish/modify or release a RAB.

The message shall contain the information required by the UTRAN to build the new RAB configuration, such as:

- list of RABs to establish or modify with their bearer characteristics;
- list of RABs to release.

For each RAB requested to be established, the message shall contain:

- RAB ID;
- NAS Synchronisation Indicator (only when available);
- RAB parameters (including e.g. Allocation/Retention Priority);
- User Plane Information (i.e. required User Plane Mode and required UP Mode Versions);
- Transport Layer Information;

- PDP Type Information (only for PS);
- Data Volume Reporting Indication (only for PS);
- DL GTP-PDU sequence number (only when GTP-PDU sequence number is available in cases of intersystem change from GPRS to UMTS or when establishing a RAB for an existing PDP context or in some further cases described in [21]);
- UL GTP-PDU sequence number (only when GTP-PDU sequence number is available in cases of intersystem change from GPRS to UMTS or when establishing a RAB for an existing PDP context or in some further cases described in [21]);
- DL N-PDU sequence number (only when N-PDU sequence number is available in case of intersystem change from GPRS to UMTS or in some further cases described in [21]);
- UL N-PDU sequence number (only when N-PDU sequence number is available in case of intersystem change from GPRS to UMTS or in some further cases described in [21]).

For each RAB requested to be modified, the message may contain:

- RAB ID (mandatory);
- NAS Synchronisation Indicator;
- RAB parameters;
- Transport Layer Information;
- User Plane Information.

The *Transport Layer Information* IE may be present at a RAB modification except in the case when the only other present IE, besides the *RAB ID* IE, is the *NAS Synchronisation Indicator* IE.

At a RAB modification that does not include transfer of the *NAS Synchronisation Indicator* IE, the *RAB Parameters* IE shall be present in the RAB ASSIGNMENT REQUEST message only when any previously set value for this IE is requested to be modified.

At a RAB modification, the *User Plane Information* IE shall be present in the RAB ASSIGNMENT REQUEST message only when any previously set value for this IE is requested to be modified.

For a RAB setup, the *SDU Format Information Parameter* IE in the *RAB Parameters* IE shall be present only if the *User Plane Mode* IE is set to "support mode for pre-defined SDU sizes" and the *Traffic Class* IE is set to either "Conversational" or "Streaming".

For a RAB setup, the *RAB Parameters* IE may contain the *Signalling Indication* IE. The *Signalling Indication* IE shall not be present if the *Traffic Class* IE is not set to "Interactive" or if the *CN Domain Indicator* IE is not set to "PS domain".

If the *RAB Parameters* IE is present for a RAB modification, the *SDU Format Information Parameter* IE in the *RAB Parameters* IE shall be present only if the *Traffic Class* IE is set to either "Conversational" or "Streaming" and if

- either the User Plane mode is currently "support mode for pre-defined SDU sizes" and the *User Plane Mode* IE is not contained in the RAB ASSIGNMENT REQUEST message
- or if the *User Plane Mode* IE optionally contained within the RAB ASSIGNMENT REQUEST message is set to "support mode for pre-defined SDU sizes".

If, for a RAB requested to be modified, one (or more) of these IEs except *RAB ID* IE are not present in the RAB ASSIGNMENT REQUEST message the RNC shall continue to use the value(s) currently in use for the not present IEs.

For each RAB requested to be released, the message shall contain:

- RAB ID;
- Cause.

Upon reception of the RAB ASSIGNMENT REQUEST message, the UTRAN shall execute the requested RAB configuration. The CN may indicate that RAB QoS negotiation is allowed for certain RAB parameters and in some cases also which alternative values to be used in the negotiation.

The same RAB ID shall only be present once in the whole RAB ASSIGNMENT REQUEST message.

The RAB ID shall uniquely identify the RAB for the specific CN domain and for the particular UE, which makes the RAB ID unique over the Iu connection on which the RAB ASSIGNMENT REQUEST message is received. When a RAB ID already in use over that particular Iu instance is used, the procedure is considered as modification of that RAB.

The RNC shall pass the contents of the *RAB ID* IE to the radio interface protocol for each RAB requested to be established or modified.

The RNC shall establish or modify the resources according to the values of the *Allocation/Retention Priority* IE (priority level, pre-emption indicators, queuing) and the resource situation as follows:

- The RNC shall consider the priority level of the requested RAB, when deciding on the resource allocation.
- If the requested RAB is allowed for queuing and the resource situation requires so, the RNC may place the RAB in the establishment queue.
- The priority levels and the pre-emption indicators may (singularly or in combination) be used to determine whether the RAB assignment has to be performed unconditionally and immediately. If the requested RAB is marked as "may trigger pre-emption" and the resource situation requires so, the RNC may trigger the pre-emption procedure which may then cause the forced release of a lower priority RAB which is marked as "pre-emptable". Whilst the process and the extent of the pre-emption procedure is operator-dependent, the pre-emption indicators, if given in the RAB ASSIGNMENT REQUEST message, shall be treated as follows:
 1. The values of the last received *Pre-emption Vulnerability* IE and *Priority Level* IE shall prevail.
 2. If the *Pre-emption Capability* IE is set to "may trigger pre-emption", then this allocation request may trigger the pre-emption procedure.
 3. If the *Pre-emption Capability* IE is set to "shall not trigger pre-emption", then this allocation request shall not trigger the pre-emption procedure.
 4. If the *Pre-emption Vulnerability* IE is set to "pre-emptable", then this connection shall be included in the pre-emption process.
 5. If the *Pre-emption Vulnerability* IE is set to "not pre-emptable", then this connection shall not be included in the pre-emption process.
 6. If the *Priority Level* IE is set to "no priority" the given values for the *Pre-emption Capability* IE and *Pre-emption Vulnerability* IE shall not be considered. Instead the values "shall not trigger pre-emption" and "not pre-emptable" shall prevail.
- If the *Allocation/Retention Priority* IE is not given in the RAB ASSIGNMENT REQUEST message, the allocation request shall not trigger the pre-emption process and the connection may be pre-empted and considered to have the value "lowest" as priority level. Moreover, queuing shall not be allowed.
- The UTRAN pre-emption process shall keep the following rules:
 1. UTRAN shall only pre-empt RABs with lower priority, in ascending order of priority.
 2. The pre-emption may be done for RABs belonging to the same UE or to other UEs.

If the *NAS Synchronisation Indicator* IE is contained in the RAB ASSIGNMENT REQUEST message, the RNC shall pass it to the radio interface protocol for transfer to the UE.

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- shall not be handed over to GSM, i.e. the [requested](#) RAB shall never be handed over to GSM. This means that the UTRAN shall not initiate handover to GSM for the UE unless the RABs with this indication have first been released with the normal release procedures.

The value of the *Service Handover* IE is valid throughout the lifetime of the RAB or until changed by a RAB modification.

The *Service Handover* IE shall only influence decisions made regarding UTRAN-initiated inter-system handovers.

If the *Service Handover* IE is not included, the decision whether to perform an inter-system handover to GSM is only an internal UTRAN matter.

The UTRAN shall report to the CN, in the first RAB ASSIGNMENT RESPONSE message, the result for all the requested RABs, such as:

- List of RABs successfully established or modified.
- List of RABs released.
- List of RABs queued.
- List of RABs failed to establish or modify.
- List of RABs failed to release.

The same RAB ID shall only be present once in the whole RAB ASSIGNMENT RESPONSE message.

For each RAB successfully established towards the PS domain or towards the CS domain when an ALCAP is not used, the RNC shall include the *Transport Layer Address* IE and the *Iu Transport Association* IE in the RAB ASSIGNMENT RESPONSE message.

For each RAB successfully released towards the PS domain, for which data volume reporting had been requested when the RAB was established, the RNC shall include the *DL Data Volumes* IE in the RAB ASSIGNMENT RESPONSE message.

For each RAB successfully released towards the PS domain, the RNC shall include in the RAB ASSIGNMENT RESPONSE message the *DL GTP-PDU Sequence Number* IE and the *UL GTP-PDU Sequence Number* IE, if available and if the release was initiated by the UTRAN.

The RNC shall report in the RAB ASSIGNMENT RESPONSE message at least one RAB:

- setup/modified or
- released or
- queued or
- failed to setup/modify or
- failed to release.

If any alternative RAB parameter values have been used when establishing or modifying a RAB, these RAB parameter values shall be included in the RAB ASSIGNMENT RESPONSE message within the *Assigned RAB Parameter Values* IE.

For the CS domain, when an ALCAP is used, UTRAN shall report the successful outcome of a specific RAB to establish or modify only after the Iu user plane at RNL level is ready to be used in UL and DL. At a RAB establishment, the transport network control plane signalling required to set up the transport bearer shall use the *Transport Layer Address* IE and *Iu Transport Association* IE. At a RAB modification when *Transport Layer Address* (IE) and *Iu Transport Association* IEs are included, the RNC shall establish a new transport bearer. The transport network control plane

signalling shall then use the included *Transport Layer Address IE* and *Iu Transport Association IE*. Then the switch over to this new transport bearer shall be done immediately after transport bearer establishment and initialisation of the user plane mode. If *Transport Layer Address IE* and *Iu Transport Association IE*s are not included, then the RNC may modify the already existing transport bearer.

For the PS domain or for the CS domain when an ALCAP is not used, for each RAB successfully modified, if the RNC has changed the *Transport Layer Address IE* and/or the *Iu Transport Association IE*, it shall include the new value(s) in the RAB ASSIGNMENT RESPONSE message.

Before reporting the successful outcome of a specific RAB to establish or modify, the RNC shall have executed the initialisation of the user plane, if necessary.

Re-initialisation of the user plane shall not be performed if:

- the *RAB Parameters IE* is not included, for example during transfer of *NAS Synchronisation Indicator IE*;
- the *RAB Parameters IE* is included but the *SDU Format Information Parameter IE* is not changed for the existing RAB and the *NAS Synchronisation Indicator IE* is not included.

Re-initialisation of the user plane shall be performed if the *RAB Parameters IE* and *NAS Synchronisation Indicator IE* are included.

If the RNC can not initialise the requested user plane mode for any of the user plane mode versions in the *UP Mode Versions IE* according to the rules for initialisation of the respective user plane mode versions, as described in [6], the RAB Assignment shall fail with the cause value "RNC unable to establish all RFCs".

In case of establishment of a RAB for the PS domain, the CN must be prepared to receive user data before the RAB ASSIGNMENT RESPONSE message has been received.

If none of the RABs have been queued, the CN shall stop timer $T_{RABAssgt}$ and the RAB Assignment procedure terminates. In that case, the procedure shall also be terminated in the UTRAN.

When the request to establish or modify one or several RABs is put in a queue, the UTRAN shall start the timer $T_{QUEUING}$. This timer specifies the maximum time for queuing of the request for establishment or modification. The same timer $T_{QUEUING}$ supervises all RABs of the request being queued.

For each RAB that is queued the following outcomes are possible:

- successfully established or modified;
- failed to establish or modify;
- failed due to expiry of the timer $T_{QUEUING}$.

For RABs indicated as queued in the first RAB ASSIGNMENT RESPONSE message, the UTRAN shall report the outcome of the queuing for every RAB individually or for several RABs in subsequent RAB ASSIGNMENT RESPONSE message(s). This is left to implementation. The UTRAN shall stop $T_{QUEUING}$ when all RABs have been either successfully established or modified or failed to establish or modify. The RAB Assignment procedure is then terminated both in the CN and the UTRAN when all RABs have been responded to.

When the CN receives the response that one or several RABs are queued, it shall expect the UTRAN to provide the outcome of the queuing function for each RAB before expiry of the $T_{RABAssgt}$ timer. In case the timer $T_{RABAssgt}$ expires, the CN shall consider the RAB Assignment procedure terminated and the RABs not reported shall be considered as failed.

In case the timer $T_{QUEUING}$ expires, the RAB Assignment procedure terminates in the UTRAN for all queued RABs, and the UTRAN shall respond for all of them in one RAB ASSIGNMENT RESPONSE message. The RAB Assignment procedure shall also be terminated in the CN.

In case a request to modify or release a RAB contains the RAB ID of a RAB being queued, the RAB shall be taken out of the queue and treated according to the second request. The first request shall be responded to as a RAB failed to setup or modify with the cause value "Request superseded".

If the UTRAN failed to modify a RAB, it shall keep the RAB as it was configured prior to the modification request.

When UTRAN reports unsuccessful establishment/modification of a RAB, the cause value should be precise enough to enable the core network to know the reason for unsuccessful establishment/modification. Typical cause values are: "Requested Traffic Class not Available", "Invalid RAB Parameters Value", "Requested Maximum Bit Rate not Available", "Requested Maximum Bit Rate for DL not Available", "Requested Maximum Bit Rate for UL not Available", "Requested Guaranteed Bit Rate not Available", "Requested Guaranteed Bit Rate for DL not Available", "Requested Guaranteed Bit Rate for UL not Available", "Requested Transfer Delay not Achievable", "Invalid RAB Parameters Combination", "Condition Violation for SDU Parameters", "Condition Violation for Traffic Handling Priority", "Condition Violation for Guaranteed Bit Rate", "User Plane Versions not Supported", "Iu UP Failure", "Iu Transport Connection Failed to Establish", "T_{QUEUING} Expiry".

If the RAB ID of a RAB requested to be released is unknown in the RNC, this shall be reported as a RAB failed to release with the cause value "Invalid RAB ID".

The RNC may indicate an impending directed retry attempt to GSM by sending a RAB ASSIGNMENT RESPONSE message with a RAB ID included in the list of RABs failed to setup and a cause value of "Directed Retry".

The RNC shall be prepared to receive a RAB ASSIGNMENT REQUEST message containing a *RABs To Be Released* IE at any time and shall always reply to it. If there is an ongoing RAB Assignment procedure for a RAB indicated within the *RABs To Be Released* IE, the RNC shall discard the preceding RAB Assignment procedure for that specific RAB, release any related resources and report the released RAB within the RAB ASSIGNMENT RESPONSE message.

After sending a RAB ASSIGNMENT RESPONSE message containing RAB ID within the *RABs Released* IE, the RNC shall be prepared to receive a new establishment request for a RAB identified by the same RAB ID.

8.2.2.1 Successful Operation for GERAN Iu-mode

For GERAN Iu-mode the following shall apply in addition for the successful operation of the RAB Assignment procedure:

- In case of GERAN Iu-mode, for a RAB requested to be setup or modified from the CS domain, the RAB ASSIGNMENT REQUEST message may contain the *GERAN BSC Container* IE in order to provide GERAN-specific information to GERAN (see [27]).
- In case of GERAN Iu-mode (only for CS), if the BSC cannot provide an appropriate RAB corresponding to the content of the *GERAN BSC Container* IE (if received), the BSC shall report unsuccessful RAB establishment/modification indicating the cause value "GERAN Iu-mode Failure" and the *GERAN Classmark* IE in the *GERAN Iu mode specific RABs Failed To Setup Or Modify List* IE within the RAB ASSIGNMENT RESPONSE message.

3GPP TSG-RAN3 Meeting #43
Prague, CZECH Republik, 16th-20th August 2004

Tdoc #R3-041219

CR-Form-v7

CHANGE REQUEST

25.413 CR 699 # rev 1 # Current version: 5.9.0

For **HELP** on using this form, see bottom of this page or look at the pop-up text over the # symbols.

Proposed change affects: UICC apps# ME Radio Access Network Core Network

Title:	# Presence of the Ciphering Key in the RANAP container
Source:	# RAN3
Work item code:	# TEI5
Date:	# 16/08/2004
Category:	# F
<p>Use <u>one</u> of the following categories:</p> <p>F (correction) A (corresponds to a correction in an earlier release) B (addition of feature), C (functional modification of feature) D (editorial modification)</p> <p>Detailed explanations of the above categories can be found in 3GPP TR 21.900.</p>	
Release:	# REL-5
<p>Use <u>one</u> of the following releases:</p> <p>2 (GSM Phase 2) R96 (Release 1996) R97 (Release 1997) R98 (Release 1998) R99 (Release 1999) Rel-4 (Release 4) Rel-5 (Release 5) Rel-6 (Release 6)</p>	

Reason for change:	# The conditions for the presence of the ciphering key in the RANAP container are not well defined.
Summary of change:	# The conditions for including the ciphering key in the RANAP container are corrected.
	<p><u>Impact assessment towards the previous version of the specification (same release):</u></p> <p>This CR has isolated impact towards the previous version of the specification (same release).</p> <p>This CR has an impact under functional.</p> <p>The impact can be considered isolated because it only affects the Relocation Preparation.</p>
Consequences if not approved:	# Interworking issue between source and target RNC in some relocation scenarios.

Clauses affected:	# 8.6						
Other specs affected:	<table border="1"> <tr> <td>Y</td> <td>N</td> </tr> <tr> <td>X</td> <td></td> </tr> <tr> <td></td> <td>X</td> </tr> </table> Other core specifications # TS25.413 v 6.2.0 CR700 rev1 Test specifications	Y	N	X			X
Y	N						
X							
	X						

<input type="checkbox"/>	<input checked="" type="checkbox"/>	O&M Specifications	
Other comments: ☞			

How to create CRs using this form:

Comprehensive information and tips about how to create CRs can be found at <http://www.3gpp.org/specs/CR.htm>. Below is a brief summary:

- 1) Fill out the above form. The symbols above marked ☞ contain pop-up help information about the field that they are closest to.
- 2) Obtain the latest version for the release of the specification to which the change is proposed. Use the MS Word "revision marks" feature (also known as "track changes") when making the changes. All 3GPP specifications can be downloaded from the 3GPP server under <ftp://ftp.3gpp.org/specs/>. For the latest version, look for the directory name with the latest date e.g. 2001-03 contains the specifications resulting from the March 2001 TSG meetings.
- 3) With "track changes" disabled, paste the entire CR form (use CTRL-A to select it) into the specification just in front of the clause containing the first piece of changed text. Delete those parts of the specification which are not relevant to the change request.

8.6 Relocation Preparation

8.6.1 General

The purpose of the Relocation Preparation procedure is to prepare relocation of SRNS either with involving the UE or without involving the UE. The relocation procedure shall be co-ordinated over all Iu signalling connections existing for the UE in order to allow Relocation co-ordination in the target RNC. The procedure uses connection oriented signalling.

The source RNC shall not initiate the Relocation Preparation procedure for an Iu signalling connection if a Prepared Relocation exists in the RNC for that Iu signalling connection or if a Relocation Preparation procedure is ongoing for that Iu signalling connection.

8.6.2 Successful Operation

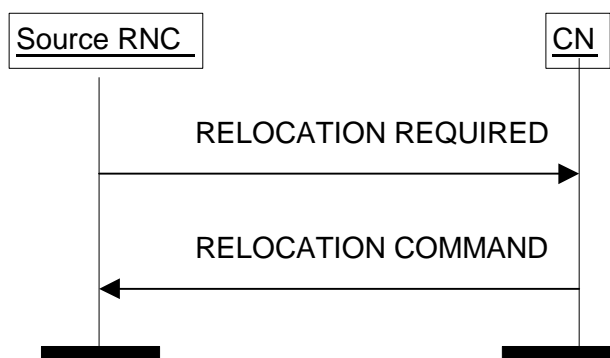


Figure 5: Relocation Preparation procedure. Successful operation.

The source RNC initiates the procedure by sending a RELOCATION REQUIRED message. The source RNC shall decide whether to initiate an intra-system Relocation or an inter-system handover. In case of intra-system Relocation, the source RNC shall indicate in the *Source ID* IE the RNC-ID of the source RNC and in the *Target ID* IE the RNC-ID of the target RNC. In case of inter-system handover, the source RNC shall indicate in the *Source ID* IE the Service Area Identifier and in the *Target ID* IE the cell global identity of the cell in the target system. The source RNC shall indicate the appropriate cause value for the Relocation in the *Cause* IE. Typical cause values are "Time critical Relocation", "Resource optimisation relocation", "Relocation desirable for radio reasons", "Directed Retry", "Reduce Load in Serving Cell", "Access Restricted Due to Shared Networks".

The source RNC shall determine whether the relocation of SRNS shall be executed with or without involvement of the UE. The source RNC shall set accordingly the *Relocation Type* IE to "UE involved in relocation of SRNS" or "UE not involved in relocation of SRNS".

In case of intra-system Relocation, the source RNC shall include in the RELOCATION REQUIRED message the *Source RNC to Target RNC Transparent Container* IE. This container shall include the *Relocation Type* IE and the *Number of Iu Instances* IE containing the number of Iu signalling connections existing for the UE.

Only in case of intra-system relocation, the *Source RNC to Target RNC Transparent Container* IE shall include the *Integrity Protection Key* IE from the last received domain on which the Security Mode Control procedure has been successfully performed, and the associated *Chosen Integrity Protection Algorithm* IE that has been selected for this domain.

Only in case of intra-system relocation, the *Source RNC to Target RNC Transparent Container* IE shall include the *Ciphering Key* IE for the signalling data from the last received domain on which the Security Mode Control procedure has been successfully performed [if the ciphering has been started, and together with](#) the associated *Chosen Encryption Algorithm* IE that has been selected for this domain. [If the ciphering has not been started, the RNC may include the Ciphering Key IE and the Chosen Encryption Algorithm IE if they are available.](#)

Only in case of intra-system relocation, for each domain where the Security Mode Control procedure has been successfully performed in the source RNC, the *Source RNC to Target RNC Transparent Container* IE shall include the *Chosen Encryption Algorithm* IE of CS (PS respectively) user data corresponding to the ciphering alternative that has

been selected for this domain. If the Security Mode Control procedure had not been successful or performed for one domain or had proposed no ciphering alternative, the *Chosen Encryption Algorithm* IE for the user data of this domain shall not be included. When both the CS and the PS user data *Chosen Encryption Algorithm* IEs are provided, they shall be the same.

This *Source RNC to Target RNC Transparent Container* IE shall include the *RRC Container* IE. If the *Relocation Type* IE is set to "UE not involved in relocation of SRNS" and the UE is using DCH(s), DSCH(s), USCH(s) or HS-DSCH, the *Source RNC to Target RNC Transparent Container* IE shall:

- for each RAB include the RAB ID, the *CN Domain Indicator* IE and the mapping between each RAB subflow and transport channel identifier(s) over Iur, i.e. if the RAB is carried on a DCH(s), the DCH ID(s) shall be included, and when it is carried on DSCH(s), USCH(s) or HS-DSCH, the DSCH ID(s), USCH ID(s) or HS-DSCH MAC-d Flow ID respectively shall be included,
- only in the case the active SRBs in SRNC are not all mapped onto the same DCH, include the *SRB TrCH Mapping* IE containing for each SRB the SRB ID and the associated transport channel identifier over Iur, i.e. if the SRB is carried on a DCH, the DCH ID shall be included, and when it is carried on DSCH or USCH, the DSCH ID or USCH ID respectively shall be included.

If the *Relocation Type* IE is set to "UE not involved in relocation of SRNS", the *d-RNTI* IE shall be included in the *Source RNC to Target RNC Transparent Container* IE. If the *Relocation Type* IE is set to "UE involved in relocation of SRNS", the *Target Cell ID* IE shall be included in the *Source RNC to Target RNC Transparent Container* IE.

In case of inter-system handover to GSM the RNC:

- shall include the *MS Classmark 2* and *MS Classmark 3* IEs received from the UE in the RELOCATION REQUIRED message to the CN.
- shall include the *Old BSS to New BSS Information* IE within the RELOCATION REQUIRED message only if the information is available. This information shall include, if available, the current traffic load in the source cell, i.e. prior to the inter-system handover attempt. This information shall also include the source cell identifier the included traffic load values correspond to. In the case the UE is using, prior to the inter-system handover attempt, radio resources of more than one cell, it is implementation specific for which cell the source RNC should report the current traffic load and the cell identifier.

When the source RNC sends the RELOCATION REQUIRED message, it shall start the timer $T_{\text{RELOCprep}}$.

When the preparation including resource allocation in the target system is ready and the CN has decided to continue the relocation of SRNS, the CN shall send a RELOCATION COMMAND message to the source RNC and the CN shall start the timer $T_{\text{RELOCcomplete}}$.

If the *Target RNC To Source RNC Transparent Container* IE or the *L3 information* IE is received by the CN from the relocation target, it shall be included in the RELOCATION COMMAND message.

The RELOCATION COMMAND message may also contain the *Inter-System Information Transparent Container* IE.

For each RAB successfully established in the target system and originating from the PS domain, the RELOCATION COMMAND message shall contain at least one pair of Iu transport address and Iu transport association to be used for the forwarding of the DL N-PDU duplicates towards the relocation target. If more than one pair of Iu transport address and Iu transport association is included, the source RNC shall select one of the pairs to be used for the forwarding of the DL N-PDU duplicates towards the relocation target. Upon reception of the RELOCATION COMMAND message from the PS domain, the source RNC shall start the timer T_{DATAfwd} .

The Relocation Preparation procedure is terminated in the CN by transmission of the RELOCATION COMMAND message.

If the target system (including target CN) does not support all existing RABs, the RELOCATION COMMAND message shall contain a list of RABs indicating all the RABs that are not supported by the target system. This list is contained in the *RABs to Be Released* IE. The source RNC shall use this information to avoid transferring associated contexts where applicable and may use this information e.g. to decide if to cancel the relocation or not. The resources associated with these not supported RABs shall not be released until the relocation is completed. This is in order to make a return to the old configuration possible in case of a failed or cancelled relocation.

Upon reception of the RELOCATION COMMAND message the source RNC shall stop the timer $T_{RELOCprep}$, start the timer $T_{RELOCoverall}$ and terminate the Relocation Preparation procedure. The source RNC is then defined to have a Prepared Relocation for that Iu signalling connection.

When the Relocation Preparation procedure is successfully terminated and when the source RNC is ready, the source RNC should trigger the execution of relocation of SRNS.

Interactions with other procedures:

If, after a RELOCATION REQUIRED message is sent and before the Relocation Preparation procedure is terminated, the source RNC receives a RANAP message initiating another connection oriented RANAP class 1 or class 3 procedure (except IU RELEASE COMMAND message, which shall be handled normally) via the same Iu signalling connection, the source RNC shall either:

1. cancel the Relocation Preparation procedure i.e. execute the Relocation Cancel procedure with an appropriate value for the *Cause* IE, e.g. "Interaction with other procedure", and after successful completion of the Relocation Cancel procedure, the source RNC shall continue the initiated RANAP procedure;

or

2. terminate the initiated RANAP procedure without any changes in UTRAN by sending the appropriate response message with the cause value "Relocation Triggered" to the CN. The source RNC shall then continue the relocation of SRNS.

If during the Relocation Preparation procedure the source RNC receives a DIRECT TRANSFER message it shall be handled normally.

If during the Relocation Preparation procedure the source RNC receives connection oriented RANAP class 2 messages (with the exception of DIRECT TRANSFER message) it shall decide to either execute the procedure immediately or suspend it. In case the relocation is cancelled, the RNC shall resume any suspended procedures (if any).

After the Relocation Preparation procedure is successfully terminated, all RANAP messages (except IU RELEASE COMMAND message, which shall be handled normally) received via the same Iu signalling bearer shall be ignored by the source RNC.

3GPP TSG-RAN3 Meeting #43
Prague, CZECH Republik, 16th-20th August 2004

Tdoc #R3-041220

CR-Form-v7	
CHANGE REQUEST	
# 25.413 CR 700 # rev 1 #	Current version: 6.2.0 #

For **HELP** on using this form, see bottom of this page or look at the pop-up text over the # symbols.

Proposed change affects: UICC apps# ME Radio Access Network Core Network

Title:	# Presence of the Ciphering Key in the RANAP container		
Source:	# RAN3		
Work item code:	# TEI5	Date:	# 16/08/2004
Category:	# A	Release:	# REL-6
	<i>Use <u>one</u> of the following categories:</i> F (correction) A (corresponds to a correction 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 .		<i>Use <u>one</u> of the following releases:</i> 2 (GSM Phase 2) R96 (Release 1996) R97 (Release 1997) R98 (Release 1998) R99 (Release 1999) Rel-4 (Release 4) Rel-5 (Release 5) Rel-6 (Release 6)

Reason for change:	# The conditions for the presence of the ciphering key in the RANAP container are not well defined.
Summary of change:	# The conditions for including the ciphering key in the RANAP container are corrected. <u>Impact assessment towards the previous version of the specification (same release):</u> This CR has isolated impact towards the previous version of the specification (same release). This CR has an impact under functional and protocol point of view. The impact can be considered isolated because it only affects the Relocation Preparation.
Consequences if not approved:	# Interworking issue between source and target RNC in some relocation scenarios.

Clauses affected:	# 8.6		
	<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="padding: 2px 5px;">Y</td> <td style="padding: 2px 5px;">N</td> </tr> </table>	Y	N
Y	N		

Other specs affected:	⌘	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Other core specifications	⌘	TS25.413 v 5.9.0 CR699 rev1
		<input checked="" type="checkbox"/>	<input type="checkbox"/>	Test specifications		
		<input checked="" type="checkbox"/>	<input type="checkbox"/>	O&M Specifications		
Other comments:	⌘					

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Below is a brief summary:

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- 3) With "track changes" disabled, paste the entire CR form (use CTRL-A to select it) into the specification just in front of the clause containing the first piece of changed text. Delete those parts of the specification which are not relevant to the change request.

8.6 Relocation Preparation

8.6.1 General

The purpose of the Relocation Preparation procedure is to prepare relocation of SRNS either with involving the UE or without involving the UE. The relocation procedure shall be co-ordinated over all Iu signalling connections existing for the UE in order to allow Relocation co-ordination in the target RNC. The procedure uses connection oriented signalling.

The source RNC shall not initiate the Relocation Preparation procedure for an Iu signalling connection if a Prepared Relocation exists in the RNC for that Iu signalling connection or if a Relocation Preparation procedure is ongoing for that Iu signalling connection.

8.6.2 Successful Operation

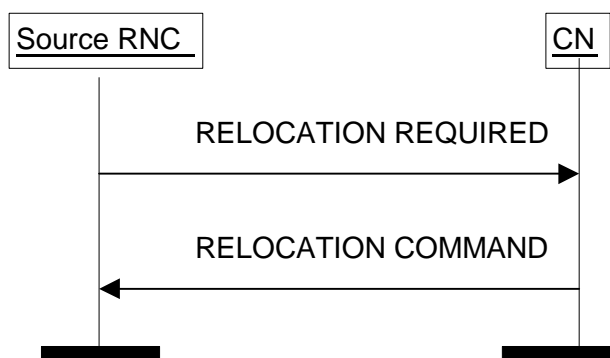


Figure 5: Relocation Preparation procedure. Successful operation.

The source RNC initiates the procedure by sending a RELOCATION REQUIRED message. The source RNC shall decide whether to initiate an intra-system Relocation or an inter-system handover. In case of intra-system Relocation, the source RNC shall indicate in the *Source ID* IE the RNC-ID of the source RNC and in the *Target ID* IE the RNC-ID of the target RNC. In case of inter-system handover, the source RNC shall indicate in the *Source ID* IE the Service Area Identifier and in the *Target ID* IE the cell global identity of the cell in the target system. The source RNC shall indicate the appropriate cause value for the Relocation in the *Cause* IE. Typical cause values are "Time critical Relocation", "Resource optimisation relocation", "Relocation desirable for radio reasons", "Directed Retry", "Reduce Load in Serving Cell", "Access Restricted Due to Shared Networks".

The source RNC shall determine whether the relocation of SRNS shall be executed with or without involvement of the UE. The source RNC shall set accordingly the *Relocation Type* IE to "UE involved in relocation of SRNS" or "UE not involved in relocation of SRNS".

In case of intra-system Relocation, the source RNC shall include in the RELOCATION REQUIRED message the *Source RNC to Target RNC Transparent Container* IE. This container shall include the *Relocation Type* IE and the *Number of Iu Instances* IE containing the number of Iu signalling connections existing for the UE.

Only in case of intra-system relocation, the *Source RNC to Target RNC Transparent Container* IE shall include the *Integrity Protection Key* IE from the last received domain on which the Security Mode Control procedure has been successfully performed, and the associated *Chosen Integrity Protection Algorithm* IE that has been selected for this domain.

Only in case of intra-system relocation, the *Source RNC to Target RNC Transparent Container* IE shall include the *Ciphering Key* IE for the signalling data from the last received domain on which the Security Mode Control procedure has been successfully performed [if the ciphering has been started, and together with](#) the associated *Chosen Encryption Algorithm* IE that has been selected for this domain. [If the ciphering has not been started, the RNC may include the Ciphering Key IE and the Chosen Encryption Algorithm IE if they are available.](#)

Only in case of intra-system relocation, for each domain where the Security Mode Control procedure has been successfully performed in the source RNC, the *Source RNC to Target RNC Transparent Container* IE shall include the *Chosen Encryption Algorithm* IE of CS (PS respectively) user data corresponding to the ciphering alternative that has

been selected for this domain. If the Security Mode Control procedure had not been successful or performed for one domain or had proposed no ciphering alternative, the *Chosen Encryption Algorithm* IE for the user data of this domain shall not be included. When both the CS and the PS user data *Chosen Encryption Algorithm* IEs are provided, they shall be the same.

This *Source RNC to Target RNC Transparent Container* IE shall include the *RRC Container* IE. If the *Relocation Type* IE is set to "UE not involved in relocation of SRNS" and the UE is using DCH(s), DSCH(s), USCH(s) or HS-DSCH, the *Source RNC to Target RNC Transparent Container* IE shall:

- for each RAB include the RAB ID, the *CN Domain Indicator* IE and the mapping between each RAB subflow and transport channel identifier(s) over Iur, i.e. if the RAB is carried on a DCH(s), the DCH ID(s) shall be included, and when it is carried on DSCH(s), USCH(s) or HS-DSCH, the DSCH ID(s), USCH ID(s) or HS-DSCH MAC-d Flow ID respectively shall be included,
- only in the case the active SRBs in SRNC are not all mapped onto the same DCH, include the *SRB TrCH Mapping* IE containing for each SRB the SRB ID and the associated transport channel identifier over Iur, i.e. if the SRB is carried on a DCH, the DCH ID shall be included, and when it is carried on DSCH or USCH, the DSCH ID or USCH ID respectively shall be included.

If the *Relocation Type* IE is set to "UE not involved in relocation of SRNS", the *d-RNTI* IE shall be included in the *Source RNC to Target RNC Transparent Container* IE. If the *Relocation Type* IE is set to "UE involved in relocation of SRNS", the *Target Cell ID* IE shall be included in the *Source RNC to Target RNC Transparent Container* IE.

In case a Trace Recording Session is active in the Source RNC due to a Signalling Based Activation (see ref [37]), the *Trace Recording Session Information* IE containing information identifying the Trace Record being generated may be included in the *Source RNC to Target RNC Transparent Container* IE.

In case of inter-system handover to GSM the RNC:

- shall include the *MS Classmark 2* and *MS Classmark 3* IEs received from the UE in the RELOCATION REQUIRED message to the CN.
- shall include the *Old BSS to New BSS Information* IE within the RELOCATION REQUIRED message only if the information is available. This information shall include, if available, the current traffic load in the source cell, i.e. prior to the inter-system handover attempt. This information shall also include the source cell identifier the included traffic load values correspond to. In the case the UE is using, prior to the inter-system handover attempt, radio resources of more than one cell, it is implementation specific for which cell the source RNC should report the current traffic load and the cell identifier.

When the source RNC sends the RELOCATION REQUIRED message, it shall start the timer $T_{\text{RELOCprep}}$.

When the preparation including resource allocation in the target system is ready and the CN has decided to continue the relocation of SRNS, the CN shall send a RELOCATION COMMAND message to the source RNC and the CN shall start the timer $T_{\text{RELOCcomplete}}$.

If the *Target RNC To Source RNC Transparent Container* IE or the *L3 information* IE is received by the CN from the relocation target, it shall be included in the RELOCATION COMMAND message.

The RELOCATION COMMAND message may also contain the *Inter-System Information Transparent Container* IE.

For each RAB successfully established in the target system and originating from the PS domain, the RELOCATION COMMAND message shall contain at least one pair of Iu transport address and Iu transport association to be used for the forwarding of the DL N-PDU duplicates towards the relocation target. If more than one pair of Iu transport address and Iu transport association is included, the source RNC shall select one of the pairs to be used for the forwarding of the DL N-PDU duplicates towards the relocation target. Upon reception of the RELOCATION COMMAND message from the PS domain, the source RNC shall start the timer T_{DATAfwd} .

The Relocation Preparation procedure is terminated in the CN by transmission of the RELOCATION COMMAND message.

If the target system (including target CN) does not support all existing RABs, the RELOCATION COMMAND message shall contain a list of RABs indicating all the RABs that are not supported by the target system. This list is contained in the *RABs to Be Released* IE. The source RNC shall use this information to avoid transferring associated contexts where applicable and may use this information e.g. to decide if to cancel the relocation or not. The resources associated with

these not supported RABs shall not be released until the relocation is completed. This is in order to make a return to the old configuration possible in case of a failed or cancelled relocation.

Upon reception of the RELOCATION COMMAND message the source RNC shall stop the timer $T_{RELOCprep}$, start the timer $T_{RELOCoverall}$ and terminate the Relocation Preparation procedure. The source RNC is then defined to have a Prepared Relocation for that Iu signalling connection.

When the Relocation Preparation procedure is successfully terminated and when the source RNC is ready, the source RNC should trigger the execution of relocation of SRNS.

Interactions with other procedures:

If, after a RELOCATION REQUIRED message is sent and before the Relocation Preparation procedure is terminated, the source RNC receives a RANAP message initiating another connection oriented RANAP class 1 or class 3 procedure (except IU RELEASE COMMAND message, which shall be handled normally) via the same Iu signalling connection, the source RNC shall either:

1. cancel the Relocation Preparation procedure i.e. execute the Relocation Cancel procedure with an appropriate value for the *Cause* IE, e.g. "Interaction with other procedure", and after successful completion of the Relocation Cancel procedure, the source RNC shall continue the initiated RANAP procedure;

or

2. terminate the initiated RANAP procedure without any changes in UTRAN by sending the appropriate response message with the cause value "Relocation Triggered" to the CN. The source RNC shall then continue the relocation of SRNS.

If during the Relocation Preparation procedure the source RNC receives a DIRECT TRANSFER message it shall be handled normally.

If during the Relocation Preparation procedure the source RNC receives connection oriented RANAP class 2 messages (with the exception of DIRECT TRANSFER message) it shall decide to either execute the procedure immediately or suspend it. In case the relocation is cancelled, the RNC shall resume any suspended procedures (if any).

After the Relocation Preparation procedure is successfully terminated, all RANAP messages (except IU RELEASE COMMAND message, which shall be handled normally) received via the same Iu signalling bearer shall be ignored by the source RNC.