**3GPP TSG-RAN WG2 #109bis-e**  ***R2-2003305***

**Online, 20-30 April 2020**

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| *CR-Form-v11.2* |
| **CHANGE REQUEST** |
|  |
|  | **36.331** | **CR** | **4256** | **rev** | **-** | **Current version:** | **16.0.0** |  |
| *For* ***[HE](http://www.3gpp.org/3G_Specs/CRs.htm%22%20%5Cl%20%22_blank)******[LP](http://www.3gpp.org/3G_Specs/CRs.htm%22%20%5Cl%20%22_blank)*** *on using this form: comprehensive instructions can be found at <http://www.3gpp.org/Change-Requests>.* |
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| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| ***Proposed change affects:*** | UICC apps |  | ME |  | Radio Access Network | **X** | Core Network |  |

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|  |
| ***Title:***  | Correction to transfer of UE capabilities at HO for RACS (36.331) |
|  |  |
| ***Source to WG:*** | MediaTek Inc., Ericsson, ZTE Corporation, Sanechips |
| ***Source to TSG:*** | R2  |
|  |  |
| ***Work item code:*** | RACS-RAN-Core |  | ***Date:*** | 2020-04-09 |
|  |  |  |  |  |
| ***Category:*** | **F** |  | ***Release:*** | Rel-16 |
|  | *Use one of the following categories:****F*** *(correction)****A*** *(mirror corresponding to a change in an earlier release)****B*** *(addition of feature),* ***C*** *(functional modification of feature)****D*** *(editorial modification)*Detailed explanations of the above categories canbe found in 3GPP [TR 21.900](http://www.3gpp.org/ftp/Specs/html-info/21900.htm). | *Use one of the following releases:Rel-8 (Release 8)Rel-9 (Release 9)Rel-10 (Release 10)Rel-11 (Release 11)Rel-12 (Release 12)**Rel-13 (Release 13)Rel-14 (Release 14)Rel-15 (Release 15)Rel-16 (Release 16)* |
|  |  |
| ***Reason for change:*** | According to the LS sent from RAN2#109-e to SA2 (R2-2001891), it is optional to include UE radio access capabilities in the HO PreparationInformation when RACS is used. Based on the ASN.1 code, it is already optional, but there is a note specifying which UE capabilites shall be sent, so the note needs to be updated for the RACS case.  |
|  |  |
| ***Summary of change:*** | It is clarified that UE radio access capabilites are optional at HO for RACS capable UE’s. |
|  |  |
| ***Consequences if not approved:*** | UE capabilites are mandatory at HO also for RACS capable UEs, adding unnecessary signaling.  |
|  |  |
| ***Clauses affected:*** | 10.2.2 |
|  |  |
|  | **Y** | **N** |  |  |
| ***Other specs*** |  | **X** |  Other core specifications  | TS/TR ... CR ...  |
| ***affected:*** |  | **X** |  Test specifications | TS/TR ... CR ...  |
| ***(show related CRs)*** |  | **X** |  O&M Specifications | TS/TR ... CR ...  |
|  |  |
| ***Other comments:*** |  |

START OF CHANGE

### 10.2.2 Message definitions

#### – *HandoverCommand*

This message is used to transfer the handover command generated by the target eNB.

Direction: target eNB to source eNB/ source RAN

*HandoverCommand* message

-- ASN1START

HandoverCommand ::= SEQUENCE {

 criticalExtensions CHOICE {

 c1 CHOICE{

 handoverCommand-r8 HandoverCommand-r8-IEs,

 spare7 NULL,

 spare6 NULL, spare5 NULL, spare4 NULL,

 spare3 NULL, spare2 NULL, spare1 NULL

 },

 criticalExtensionsFuture SEQUENCE {}

 }

}

HandoverCommand-r8-IEs ::= SEQUENCE {

 handoverCommandMessage OCTET STRING (CONTAINING DL-DCCH-Message),

 nonCriticalExtension SEQUENCE {} OPTIONAL

}

-- ASN1STOP

| *HandoverCommand* field descriptions |
| --- |
| ***handoverCommandMessage***Contains the entire DL-DCCH-Message including the *RRCConnectionReconfiguration* message used to perform handover within E-UTRAN or handover to E-UTRAN, generated (entirely) by the target eNB. |

NOTE: The source BSC, in case of inter-RAT handover from GERAN to E-UTRAN, expects that the HandoverCommand message includes DL-DCCH-Message only. Thus, criticalExtensionsFuture, spare1-spare7 and nonCriticalExtension should not be used regardless whether the source RAT is E-UTRAN, UTRAN or GERAN.

#### – *HandoverPreparationInformation*

This message is used to transfer the E-UTRA RRC information used by the target eNB or target ng-eNB during handover preparation or UE context retrieval, e.g. in case of resume or re-establishment, including UE capability information.

Direction: source eNB/ source RAN to target eNB or target ng-eNB

*HandoverPreparationInformation* message

-- ASN1START

HandoverPreparationInformation ::= SEQUENCE {

 criticalExtensions CHOICE {

 c1 CHOICE{

 handoverPreparationInformation-r8 HandoverPreparationInformation-r8-IEs,

 spare7 NULL,

 spare6 NULL, spare5 NULL, spare4 NULL,

 spare3 NULL, spare2 NULL, spare1 NULL

 },

 criticalExtensionsFuture SEQUENCE {}

 }

}

HandoverPreparationInformation-r8-IEs ::= SEQUENCE {

 ue-RadioAccessCapabilityInfo UE-CapabilityRAT-ContainerList,

 as-Config AS-Config OPTIONAL, -- Cond HO

 rrm-Config RRM-Config OPTIONAL,

 as-Context AS-Context OPTIONAL, -- Cond HO

 nonCriticalExtension HandoverPreparationInformation-v920-IEs OPTIONAL

}

HandoverPreparationInformation-v920-IEs ::= SEQUENCE {

 ue-ConfigRelease-r9 ENUMERATED {

 rel9, rel10, rel11, rel12, v10j0, v11e0,

 v1280, rel13, ..., rel14, rel15} OPTIONAL, -- Cond HO2

 nonCriticalExtension HandoverPreparationInformation-v9d0-IEs OPTIONAL

}

HandoverPreparationInformation-v9d0-IEs ::= SEQUENCE {

 lateNonCriticalExtension OCTET STRING (CONTAINING HandoverPreparationInformation-v9j0-IEs) OPTIONAL,

 nonCriticalExtension HandoverPreparationInformation-v9e0-IEs OPTIONAL

}

-- Late non-critical extensions:

HandoverPreparationInformation-v9j0-IEs ::= SEQUENCE {

 -- Following field is only for pre REL-10 late non-critical extensions

 lateNonCriticalExtension OCTET STRING OPTIONAL,

 nonCriticalExtension HandoverPreparationInformation-v10j0-IEs OPTIONAL

}

HandoverPreparationInformation-v10j0-IEs ::= SEQUENCE {

 as-Config-v10j0 AS-Config-v10j0 OPTIONAL,

 nonCriticalExtension HandoverPreparationInformation-v10x0-IEs OPTIONAL

}

HandoverPreparationInformation-v10x0-IEs ::= SEQUENCE {

 -- Following field is only for late non-critical extensions from REL-10 to REL-12

 lateNonCriticalExtension OCTET STRING OPTIONAL,

 nonCriticalExtension HandoverPreparationInformation-v13c0-IEs OPTIONAL

}

HandoverPreparationInformation-v13c0-IEs ::= SEQUENCE {

 as-Config-v13c0 AS-Config-v13c0 OPTIONAL,

 -- Following field is only for late non-critical extensions from REL-13

 nonCriticalExtension SEQUENCE {} OPTIONAL

}

-- Regular non-critical extensions:

HandoverPreparationInformation-v9e0-IEs ::= SEQUENCE {

 as-Config-v9e0 AS-Config-v9e0 OPTIONAL, -- Cond HO2

 nonCriticalExtension HandoverPreparationInformation-v1130-IEs OPTIONAL

}

HandoverPreparationInformation-v1130-IEs ::= SEQUENCE {

 as-Context-v1130 AS-Context-v1130 OPTIONAL, -- Cond HO2

 nonCriticalExtension HandoverPreparationInformation-v1250-IEs OPTIONAL

}

HandoverPreparationInformation-v1250-IEs ::= SEQUENCE {

 ue-SupportedEARFCN-r12 ARFCN-ValueEUTRA-r9 OPTIONAL, -- Cond HO3

 as-Config-v1250 AS-Config-v1250 OPTIONAL, -- Cond HO2

 nonCriticalExtension HandoverPreparationInformation-v1320-IEs OPTIONAL

}

HandoverPreparationInformation-v1320-IEs ::= SEQUENCE {

 as-Config-v1320 AS-Config-v1320 OPTIONAL, -- Cond HO2

 as-Context-v1320 AS-Context-v1320 OPTIONAL, -- Cond HO2

 nonCriticalExtension HandoverPreparationInformation-v1430-IEs OPTIONAL

}

HandoverPreparationInformation-v1430-IEs ::= SEQUENCE {

 as-Config-v1430 AS-Config-v1430 OPTIONAL, -- Cond HO2

 makeBeforeBreakReq-r14 ENUMERATED {true} OPTIONAL, -- Cond HO2

 nonCriticalExtension HandoverPreparationInformation-v1530-IEs OPTIONAL

}

HandoverPreparationInformation-v1530-IEs ::= SEQUENCE {

 ran-NotificationAreaInfo-r15 RAN-NotificationAreaInfo-r15 OPTIONAL,

 nonCriticalExtension HandoverPreparationInformation-v1540-IEs OPTIONAL

}

HandoverPreparationInformation-v1540-IEs ::= SEQUENCE {

 sourceRB-ConfigIntra5GC-r15 OCTET STRING OPTIONAL, --Cond HO4

 nonCriticalExtension HandoverPreparationInformation-v16xy-IEs OPTIONAL

}

HandoverPreparationInformation-v16xy-IEs ::= SEQUENCE {

 as-Context-v16xy AS-Context-v16xy OPTIONAL, --Cond HO5

 nonCriticalExtension SEQUENCE {} OPTIONAL

}

-- ASN1STOP

| *HandoverPreparationInformation* field descriptions |
| --- |
| ***as-Config***The radio resource configuration. Applicable in case of intra-E-UTRA handover. If the target receives an incomplete *MeasConfig* and/or *RadioResourceConfigDedicated* in the *as-Config*, the target eNB may decide to apply the full configuration option based on the *ue-ConfigRelease*. |
| ***as-Context***Local E-UTRAN context required by the target eNB. |
| ***makeBeforeBreakReq***To request the target eNB to add the *makeBeforeBreak* indication in the *mobilityControlInfo* in case of intra-frequency handover. |
| ***rrm-Config***Local E-UTRAN context used depending on the target node's implementation, which is mainly used for the RRM purpose. May also be provided at inter-RAT handover from NR. |
| ***sourceRB-ConfigIntra5GC***NR radio bearer config used at intra5GC handover, as defined by *RadioBearerConfig* IE in TS 38.331 [82]. |
| ***ue-ConfigRelease***Indicates the RRC protocol release or version applicable for the current UE configuration. This could be used by target eNB to decide if the full configuration approach should be used. If this field is not present, the target assumes that the current UE configuration is based on the release 8 version of RRC protocol. NOTE 1. |
| ***ue-RadioAccessCapabilityInfo***For E-UTRA radio access capabilities, it is up to E-UTRA how the backward compatibility among *supportedBandCombinationReduced*, *supportedBandCombination* and *supportedBandCombinationAdd* is ensured. If *supportedBandCombinationReduced* and *supportedBandCombination*/*supportedBandCombinationAdd* are included into *ueCapabilityRAT-Container*, it can be assumed that the value of fields, *requestedBands*, *reducedIntNonContCombRequested* and *requestedCCsXL* are consistend with all supported band combination fields. NOTE 2 |
| ***ue-SupportedEARFCN***Includes UE supported EARFCN of the handover target E-UTRA cell if the target E-UTRA cell belongs to multiple frequency bands. |

NOTE 1: The source typically sets the *ue-ConfigRelease* to the release corresponding with the current dedicated radio configuration. The source may however also consider the common radio resource configuration e.g. in case interoperability problems would appear if the UE temporary continues extensions of this part of the configuration in a target PCell not supporting them.

NOTE 2: The following table indicates per source RAT whether RAT capabilities are included or not.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Source RAT | E-UTRA capabilites | UTRA capabilities | GERAN capabilities | MR DC capabilities | NR capabilities |
| UTRAN | Included | May be included, ignored by eNB if received | May be included | Excluded | Excluded |
| GERAN CS | Excluded | May be included, ignored by eNB if received | Included | Excluded | Excluded |
| GERAN PS | Excluded | May be included, ignored by eNB if received | Included | Excluded | Excluded |
| E-UTRAN | May be included if UE Radio Capability ID as specified in 23.502 [102] is used for the UE. Included otherwise. | May be included | May be included | May be included | May be included |
| NR | May be included if UE Radio Capability ID is used for the UE. Included otherwise. | Excluded | Excluded | May be included | May be included |

| Conditional presence | Explanation |
| --- | --- |
| *HO* | The field is mandatory present in case of handover within E-UTRA; otherwise the field is not present. |
| *HO2* | The field is optional present in case of handover within E-UTRA; otherwise the field is not present. |
| *HO3* | The field is optional present in case of handover from GERAN to E-UTRA, otherwise the field is not present. |
| *HO4* | The field is mandatory present in case of handover within E-UTRA/5GC and optional present in case of handover from NR to E-UTRA/5GC; otherwise the field is not present. |
| *HO5* | The field is optional present in case of handover within E-UTRA, or handover from NR to E-UTRA; otherwise the field is not present. |

END OF CHANGE