**3GPP TSG-RAN WG2 Meeting #113bis-e R2-2104597**

**E-meeting, 12 – 20 April 2021**

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| *CR-Form-v11.4* | | | | | | | | |
| **CHANGE REQUEST** | | | | | | | | |
|  | | | | | | | | |
|  | **36.331** | **CR** | **4649** | **rev** | **-** | **Current version:** | **16.4.0** |  |
|  | | | | | | | | |
| *For* [***HE******LP***](http://www.3gpp.org/3G_Specs/CRs.htm#_blank)*on using this form: comprehensive instructions can be found at* [*http://www.3gpp.org/Change-Requests*](http://www.3gpp.org/Change-Requests)*.* | | | | | | | | |
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| ***Proposed change affects:*** | UICC apps |  | ME | **X** | Radio Access Network | **X** | Core Network |  |

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| ***Title:*** | IAB LTE changes | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Source to WG:*** | Samsung | | | | | | | | | |
| ***Source to TSG:*** | R2 | | | | | | | | | |
|  |  | | | | | | | | | |
| ***Work item code:*** | NR\_IAB-Core | | | | |  | ***Date:*** | | | 2021-04-16 |
|  |  | | | |  | |  | | |  |
| ***Category:*** | **F** |  | | | | | ***Release:*** | | | Rel-16 |
|  | *Use one of the following categories:* ***F*** *(correction)* ***A*** *(mirror corresponding to a change in an earlier release)* ***B*** *(addition of feature),* ***C*** *(functional modification of feature)* ***D*** *(editorial modification)*  Detailed explanations of the above categories can be found in 3GPP [TR 21.900](http://www.3gpp.org/ftp/Specs/html-info/21900.htm). | | | | | | | | *Use one of the following releases: Rel-8 (Release 8) Rel-9 (Release 9) Rel-10 (Release 10) Rel-11 (Release 11) Rel-12 (Release 12)* *Rel-13 (Release 13) Rel-14 (Release 14) Rel-15 (Release 15) Rel-16 (Release 16)* | |
|  |  | | | | | | | | | |
| ***Reason for change:*** | | 1. Definition/usage of SRB2 (in 4.2.2 Signalling radio bearers) does not mention transfer of IAB-DU specific F1-C information. 2. Incorrect use (typo) of abbreviations in 5.6.1.1 and 5.6.2.1 (‘IAB Donor-CU’ used instead of (‘IAB-donor-CU’). 3. In 5.6.2.4, it is implied that upper layers are informed of failure of messages containing F1-C related information. 4. In 6.2.2 (DLInformationTransfer and ULInformationTransfer), it is not made explicitly clear that only SRB2 can be used for transfer of F1-C related information. This is made clear elsewhere in the spec (in 5.6.2.2) where it is stated that “When F1-C related information has to be transferred, the IAB-MT shall initiate the procedure only if SRB2 is established.” However, there is no similar clarification for DL. 5. In 6.2.2 (DLInformationTransfer and ULInformationTransfer), there is no mention of F1-C, making the message definitions incomplete and misaligned with with DL and UL information transfer procedures section (5.6.1/5.6.2). 6. 6.3.6 could imply that every F1-C related IP packet must come with SCTP encapsulation, violating RAN3 agreement. 7. Typo in 6.3.6 – currently it says ‘IAB Node’ instead of ‘IAB-node’ | | | | | | | | |
|  | |  | | | | | | | | |
| ***Summary of change:*** | | 1. Definition/usage of SRB2 (in 4.2.2 Signalling radio bearers) modified to include transfer of IAB-DU specific F1-C information. 2. Correct the typos in in 5.6.1.1 and 5.6.2.1 (change ‘IAB Donor-CU’ to ‘IAB-donor-CU’). 3. In 5.6.2.4, make it clear that upper layers are not informed of failure of messages containing F1-C related information. 4. In 6.2.2 (DLInformationTransfer and ULInformationTransfer), make it explicitly clear that only SRB2 can be used for transfer of F1-C related information. 5. In 6.2.2 (DLInformationTransfer and ULInformationTransfer), introduce F1-C related messages into the definitions. 6. In 6.3.6 make it clear that not every F1-C related IP packet comes with SCTP encapsulation, and include additional reference. 7. In 6.3.6 change ‘IAB node’ to ‘IAB-node’   **Impact analysis**  Impacted functionality:  IAB-related LTE features and procedures.  Inter-operability:  If only the network is implemented according to the CR, no interoperability problems are foreseen.  If only the IAB-MT is implemented according to the CR, no interoperability problems are foreseen. | | | | | | | | |
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| ***Consequences if not approved:*** | | Inconsistencies across the spec. Possible misinterpretation of certain clauses. Incorrect information given in some cases. | | | | | | | | |
|  | |  | | | | | | | | |
| ***Clauses affected:*** | | 2 References  4.2.2 Signalling radio bearers  5.6.1.1 General  5.6.2.1 General  5.6.2.4 Failure to deliver *ULInformationTransfer* message  6.2.2 Message definitions  6.3.6 Other information elements | | | | | | | | |
|  | |  | | | | | | | | |
|  | | **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:*** | |  | | | | | | | | |

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| ***This CR's revision history:*** |  |

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FIRST CHANGE

# 2 References

The following documents contain provisions which, through reference in this text, constitute provisions of the present document.

- References are either specific (identified by date of publication, edition number, version number, etc.) or non‑specific.

- For a specific reference, subsequent revisions do not apply.

- For a non-specific reference, the latest version applies. In the case of a reference to a 3GPP document (including a GSM document), a non-specific reference implicitly refers to the latest version of that document *in the same Release as the present document*.

[1] 3GPP TR 21.905: "Vocabulary for 3GPP Specifications".

[2] Void.

[3] 3GPP TS 36.302: "Evolved Universal Terrestrial Radio Access (E-UTRA); Services provided by the physical layer ".

[4] 3GPP TS 36.304: "Evolved Universal Terrestrial Radio Access (E-UTRA); UE Procedures in Idle Mode".

[5] 3GPP TS 36.306 "Evolved Universal Terrestrial Radio Access (E-UTRA); UE Radio Access Capabilities".

[6] 3GPP TS 36.321: "Evolved Universal Terrestrial Radio Access (E-UTRA); Medium Access Control (MAC) protocol specification".

[7] 3GPP TS 36.322:"Evolved Universal Terrestrial Radio Access (E-UTRA); Radio Link Control (RLC) protocol specification".

[8] 3GPP TS 36.323: "Evolved Universal Terrestrial Radio Access (E-UTRA); Packet Data Convergence Protocol (PDCP) Specification".

[9] 3GPP TS 36.300: "Evolved Universal Terrestrial Radio Access (E-UTRA) and Evolved Universal Terrestrial Radio Access (E-UTRAN); Overall description; Stage 2".

[10] 3GPP TS 22.011: "Service accessibility".

[11] 3GPP TS 23.122: "Non-Access-Stratum (NAS) functions related to Mobile Station (MS) in idle mode".

[12] 3GPP2 C.S0002-F v1.0: "Physical Layer Standard for cdma2000 Spread Spectrum Systems".

[13] ITU-T Recommendation X.680 (07/2002) "Information Technology - Abstract Syntax Notation One (ASN.1): Specification of basic notation" (Same as the ISO/IEC International Standard 8824-1).

[14] ITU-T Recommendation X.681 (07/2002) "Information Technology - Abstract Syntax Notation One (ASN.1): Information object specification" (Same as the ISO/IEC International Standard 8824-2).

[15] ITU-T Recommendation X.691 (07/2002) "Information technology - ASN.1 encoding rules: Specification of Packed Encoding Rules (PER)" (Same as the ISO/IEC International Standard 8825-2).

[16] 3GPP TS 36.133: "Evolved Universal Terrestrial Radio Access (E-UTRA); Requirements for support of radio resource management".

[17] 3GPP TS 25.101: "Universal Terrestrial Radio Access (UTRA); User Equipment (UE) radio transmission and reception (FDD)".

[18] 3GPP TS 25.102: "Universal Terrestrial Radio Access (UTRA); User Equipment (UE) radio transmission and reception (TDD)".

[19] 3GPP TS 25.331:"Universal Terrestrial Radio Access (UTRA); Radio Resource Control (RRC); Protocol specification".

[20] 3GPP TS 45.005: "Radio transmission and reception".

[21] 3GPP TS 36.211: "Evolved Universal Terrestrial Radio Access (E-UTRA); Physical Channels and Modulation".

[22] 3GPP TS 36.212: "Evolved Universal Terrestrial Radio Access (E-UTRA); Multiplexing and channel coding".

[23] 3GPP TS 36.213: "Evolved Universal Terrestrial Radio Access (E-UTRA); Physical layer procedures".

[24] 3GPP2 C.S0057-E v1.0: "Band Class Specification for cdma2000 Spread Spectrum Systems".

[25] 3GPP2 C.S0005-F v1.0: "Upper Layer (Layer 3) Signaling Standard for cdma2000 Spread Spectrum Systems".

[26] 3GPP2 C.S0024-C v2.0: "cdma2000 High Rate Packet Data Air Interface Specification".

[27] 3GPP TS 23.003: "Numbering, addressing and identification".

[28] 3GPP TS 45.008: "Radio subsystem link control".

[29] 3GPP TS 25.133: "Requirements for Support of Radio Resource Management (FDD)".

[30] 3GPP TS 25.123: "Requirements for Support of Radio Resource Management (TDD)".

[31] 3GPP TS 36.401: "Evolved Universal Terrestrial Radio Access (E-UTRA); Architecture description".

[32] 3GPP TS 33.401: "3GPP System Architecture Evolution (SAE); Security architecture".

[33] 3GPP2 A.S0008-C v4.0: "Interoperability Specification (IOS) for High Rate Packet Data (HRPD) Radio Access Network Interfaces with Session Control in the Access Network"

[34] 3GPP2 C.S0004-F v1.0: "Signaling Link Access Control (LAC) Standard for cdma2000 Spread Spectrum Systems"

[35] 3GPP TS 24.301: "Non-Access-Stratum (NAS) protocol for Evolved Packet System (EPS); Stage 3".

[36] 3GPP TS 44.060: "General Packet Radio Service (GPRS); Mobile Station (MS) - Base Station System (BSS) interface; Radio Link Control/Medium Access Control (RLC/MAC) protocol".

[37] 3GPP TS 23.041: "Technical realization of Cell Broadcast Service (CBS)".

[38] 3GPP TS 23.038: "Alphabets and Language".

[39] 3GPP TS 36.413: "Evolved Universal Terrestrial Radio Access (E-UTRAN); S1 Application Protocol (S1 AP)".

[40] 3GPP TS 25.304: "Universal Terrestrial Radio Access (UTRAN); User Equipment (UE) procedures in idle mode and procedures for cell reselection in connected mode".

[41] 3GPP TS 23.401: "General Packet Radio Service (GPRS) enhancements for Evolved Universal Terrestrial Radio Access Network (E-UTRAN) access".

[42] 3GPP TS 36.101: "Evolved Universal Terrestrial Radio Access (E-UTRA); User Equipment (UE) radio transmission and reception".

[43] 3GPP TS 45.005: "GSM/EDGE Radio transmission and reception".

[44] 3GPP2 C.S0087-A v2.0: "E-UTRAN - cdma2000 HRPD Connectivity and Interworking Air Interface Specification"

[45] 3GPP TS 44.018: "Mobile radio interface layer 3 specification; Radio Resource Control (RRC) protocol".

[46] 3GPP TS 25.223: "Spreading and modulation (TDD)".

[47] 3GPP TS 36.104: "Evolved Universal Terrestrial Radio Access (E-UTRA); Base Station (BS) radio transmission and reception".

[48] 3GPP TS 36.214: "Evolved Universal Terrestrial Radio Access (E-UTRA); Physical layer - Measurements".

[49] 3GPP TS 24.008: "Mobile radio interface layer 3 specification; Core network protocols; Stage 3".

[50] 3GPP TS 45.010: "Radio subsystem synchronization".

[51] 3GPP TS 23.272: "Circuit Switched Fallback in Evolved Packet System; Stage 2".

[52] 3GPP TS 29.061: "Interworking between the Public Land Mobile Network (PLMN) supporting packet based services and Packet Data Networks (PDN)".

[53] 3GPP2 C.S0097-0 v3.0: "E-UTRAN - cdma2000 1x Connectivity and Interworking Air Interface Specification".

[54] 3GPP TS 36.355: "LTE Positioning Protocol (LPP)".

[55] 3GPP TS 36.216: "Evolved Universal Terrestrial Radio Access (E-UTRA); Physical layer for relaying operation".

[56] 3GPP TS 23.246: "Multimedia Broadcast/Multicast Service (MBMS); Architecture and functional description".

[57] 3GPP TS 26.346: "Multimedia Broadcast/Multicast Service (MBMS); Protocols and codecs".

[58] 3GPP TS 32.422: "Telecommunication management; Subsriber and equipment trace; Trace control and confiuration management".

[59] 3GPP TS 22.368: "Service Requirements for Machine Type Communications; Stage 1".

[60] 3GPP TS 37.320: "Universal Terrestrial Radio Access (UTRA) and Evolved Universal Terrestrial Radio Access (E-UTRA); Radio measurement collection for Minimization of Drive Tests (MDT); Overall description; Stage 2".

[61] 3GPP TS 23.216: "Single Radio Voice Call Continuity (SRVCC); Stage 2".

[62] 3GPP TS 22.146: "Multimedia Broadcast/Multicast Service (MBMS); Stage 1".

[63] 3GPP TR 36.816: "Evolved Universal Terrestrial Radio Access (E-UTRA); Study on signalling and procedure for interference avoidance for in-device coexistence".

[64] IS-GPS-200F: "Navstar GPS Space Segment/Navigation User Segment Interfaces".

[65] 3GPP TS 25.307: "Requirement on User Equipments (UEs) supporting a release-independent frequency band".

[66] 3GPP TS 24.312: "Access Network Discovery and Selection Function (ANDSF) Management Object (MO)".

[67] IEEE 802.11-2012, Part 11: Wireless LAN Medium Access Control (MAC) and Physical Layer (PHY) specifications, IEEE Std.

[68] 3GPP TS 23.303: "Proximity-based services (ProSe); Stage 2".

[69] 3GPP TS 24.334: "Proximity-services (ProSe) User Equipment (UE) to ProSe function protocol aspects; Stage 3".

[70] 3GPP TS 24.333: "Proximity-services (ProSe) Management Objects (MO)".

[71] 3GPP TS 36.314: "Evolved Universal Terrestrial Radio Access (E-UTRA); Layer 2- Measurements".

[72] 3GPP TS 24.105: "Application specific Congestion control for Data Communication (ACDC) Management Object (MO)".

[73] 3GPP TS 23.179: "Functional architecture and information flows to support mission critical communication services; Stage 2".

[74] 3GPP TS 24.302: "Access to the 3GPP Evolved Packet Core (EPC) via non-3GPP access networks".

[75] 3GPP TS 23.402: "Architecture enhancements for non-3GPP accesses; Stage-2".

[76] Wi-Fi Alliance® Technical Committee, Hotspot 2.0 Technical Task Group Hotspot 2.0 (Release 2) Technical Specification Version 3.11.

[77] 3GPP TS 22.101: "Service aspects; Service principles".

[78] 3GPP TS 23.285: "Technical Specification Group Services and System Aspects; Architecture enhancements for V2X services".

[79] 3GPP TS 36.307: "Evolved Universal Terrestrial Radio Access (E-UTRA); Requirements on User Equipments (UEs) supporting a release-independent frequency band".

[80] Military Standard WGS84 Metric MIL-STD-2401 (11 January 1994): "Military Standard Department of Defence World Geodetic System (WGS)".

[81] 3GPP TS 37.340: "NR; Multi-connectivity; Overall description; Stage-2".

[82] 3GPP TS 38.331: "NR; Radio Resource Control (RRC); Protocol specification".

[83] 3GPP TS 38.323: "NR; Packet Data Convergence Protocol (PDCP) Specification".

[84] 3GPP TS 38.133: "NR; Requirements for support of radio resource management".

[85] 3GPP TS 38.101-1: "NR; User Equipment (UE) radio transmission and reception; Part 1: Range 1 Standalone ".

[86] 3GPP TS 33.501: "Security Architecture and Procedures for 5G System".

[87] 3GPP TS 38.306: "NR; UE Radio Access Capabilities".

[88] 3GPP TS 38.213: "NR; Physical layer procedures for control".

[89] 3GPP TS 38.215: "NR; Physical layer measurements".

[90] 3GPP TS 26.247: "Transparent end-to-end Packet-switched Streaming Service (PSS); Progressive Download and Dynamic Adaptive Streaming over HTTP (3GP-DASH)".

[91] 3GPP TS 38.104: "NR; Base Station (BS) radio transmission and reception".

[92] 3GPP TS 38.304: "NR; User Equipment (UE) procedures in Idle mode and RRC Inactive state".

[93] Bluetooth Special Interest Group: "Bluetooth Core Specification v5.0", December 2016.

[94] 3GPP TS 37.213: "Physical layer procedures for shared spectrum channel access".

[95] 3GPP TS 24.501: "Non-Access-Stratum (NAS) protocol for 5G System (5GS); Stage 3".

[96] 3GPP TS 22.261: "Service requirements for the 5G System".

[97] 3GPP TS 37.324: "Service Data Adaptation Protocol (SDAP) specification".

[98] ATIS 0700041: "WEA 3.0: Device-Based Geo-Fencing".

[99] 3GPP TS 26.114: "IP Multimedia Subsystem (IMS); Multimedia Telephony; Media handling and interaction ".

[100] 3GPP TS 38.101-2: "NR; User Equipment (UE) radio transmission and reception; Part 2: Range 2 Standalone ".

[101] 3GPP TS 38.101-3: "NR; User Equipment (UE) radio transmission and reception; Part 3: Range 1 and Range 2 Interworking operation with other radios".

[102] 3GPP TS 23.502: "Procedures for the 5G System; Stage 2".

[103] 3GPP TS 38.314: "NR; layer 2 measurements".

[104] 3GPP TS 23.287: "Architecture enhancements for 5G System (5GS) to support Vehicle-to-Everything (V2X) services ".

[105] 3GPP TS 38.472: "NG-RAN; F1 signalling transport".

[106] 3GPP TS 38.300: "NR; Overall description; Stage 2".

[107] 3GPP TS 38.174: "NR; Integrated access and backhaul radio transmission and reception".

[x] 3GPP TS 36.423: "Evolved Universal Terrestrial Radio Access Network (E-UTRAN); X2 Application Protocol (X2AP)".

NEXT CHANGE

### 4.2.2 Signalling radio bearers

"Signalling Radio Bearers" (SRBs) are defined as Radio Bearers (RB) that are used only for the transmission of RRC and NAS messages. More specifically, the following SRBs are defined:

- SRB0 is for RRC messages using the CCCH logical channel;

- SRB1 is for RRC messages (which may include a piggybacked NAS message) as well as for NAS messages prior to the establishment of SRB2, all using DCCH logical channel;

- For NB-IoT, SRB1bis is for RRC messages (which may include a piggybacked NAS message) as well as for NAS messages prior to the activation of security, all using DCCH logical channel;

- SRB2 is for RRC messages which include logged measurement information as well as for NAS messages and messages which include IAB-DU specific F1-C related information, all using DCCH logical channel. SRB2 has a lower-priority than SRB1 and is always configured by E-UTRAN after security activation. SRB2 is not applicable for NB-IoT;

- SRB4 is for RRC messages which include application layer measurement reporting information, all using DCCH logical channel. SRB4 can only be configured by E-UTRAN after security activation. SRB4 is not applicable for NB-IoT.

In downlink piggybacking of NAS messages is used only for one dependant (i.e. with joint success/ failure) procedure: bearer establishment/ modification/ release. In uplink NAS message piggybacking is used only for transferring the initial NAS message during connection setup.

NOTE 1: The NAS messages transferred via SRB2 are also contained in RRC messages, which however do not include any RRC protocol control information.

Once security is activated, all RRC messages on SRB1, SRB2 and SRB4, including those containing NAS or non-3GPP messages, are integrity protected and ciphered by PDCP. NAS independently applies integrity protection and ciphering to the NAS messages.

For a UE configured with DC, all RRC messages, regardless of the SRB used and both in downlink and uplink, are transferred via the MCG. In case of EN-DC, after connection establishment NR PDCP may be configured for both SRB1 and SRB2 and if so, these SRBs may be configured as split SRB. In case of NGEN-DC and NE-DC, NR PDCP is always configured. For a split SRB, the UE receives RRC messages via both MCG and NR SCG i.e. handles out of order and duplicate PDUs as specified in TS 38.323 [83]. For a split SRB, the network configures via which cell group(s) the UE sends uplink RRC messages.

NOTE 2: In case of (NG)EN-DC, SRB3 may be configured for the transfer of some NR RRC messages between UE and SgNB via the NR radio interface, see TS 38.331 [82].

An SRB can be configured with PDCP duplication, either by two logical channels within the same CG (CA duplication) or by two logical channels each within a different CG (DC duplication).

NEXT CHANGE

### 5.6.1 DL information transfer

#### 5.6.1.1 General



Figure 5.6.1.1-1: DL information transfer

The purpose of this procedure is to transfer NAS, (tunnelled) non-3GPP dedicated information or time reference information from E-UTRAN to a UE in RRC\_CONNECTED, or to transfer F1-C related information from IAB-donor-CU to IAB-DU via IAB-MT in RRC\_CONNECTED.

NEXT CHANGE

### 5.6.2 UL information transfer

#### 5.6.2.1 General



Figure 5.6.2.1-1: UL information transfer

The purpose of this procedure is to transfer NAS or (tunnelled) non-3GPP dedicated information from the UE to E-UTRAN, or to transfer F1-C related information from IAB-DU to IAB-donor-CU via IAB-MT in RRC\_CONNECTED.

NEXT CHANGE

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#### 5.6.2.4 Failure to deliver *ULInformationTransfer* message

The UE shall:

1> if the UE is a NB-IoT UE, AS security is not started and radio link failure occurs before the successful delivery of *ULInformationTransfer* messages has been confirmed by lower layers; or

1> if mobility (i.e. handover, RRC connection re-establishment) occurs before the successful delivery of *ULInformationTransfer* messages has been confirmed by lower layers:

2> inform upper layers about the possible failure to deliver the information contained in the concerned *ULInformationTransfer* messages, except the upper layers associated with *dedicatedInfoF1c* if included;

NEXT CHANGE

### 6.2.2 Message definitions

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#### – *DLInformationTransfer*

The *DLInformationTransfer* message is used for the downlink transfer of NAS, non-3GPP dedicated information, IAB-DU specific F1-C related information, or time reference information.

NOTE: The UE may use the time reference information provided in the *timeReferenceInfo* IE for numerous purposes, possibly involving upper layers e.g. to synchronise the UE clock.

Signalling radio bearer: SRB2 or SRB1. If only *timeReferenceInfo* is included in the message, SRB1 is used. Otherwise, SRB1 is used only if SRB2 not established yet, and if SRB2 is suspended, E-UTRAN does not send this message until SRB2 is resumed. If only *dedicatedInfoF1c* is included, SRB2 is used.

RLC-SAP: AM

Logical channel: DCCH

Direction: E‑UTRAN to UE

…

#### – *ULInformationTransfer*

The *ULInformationTransfer* message is used for the uplink transfer of NAS, non-3GPP dedicated information, or IAB-DU specific F1-C related information.

Signalling radio bearer: SRB2 or SRB1 (only if SRB2 not established yet). If SRB2 is suspended, the UE does not send this message until SRB2 is resumed. If only *dedicatedInfoF1c* is included, SRB2 is used.

RLC-SAP: AM

Logical channel: DCCH

Direction: UE to E‑UTRAN

NEXT CHANGE

### 6.3.6 Other information elements

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#### – *DedicatedInfoF1c*

The IE *DedicatedInfoF1c* is used to transfer IAB-DU specific F1-C related information between the network and the IAB-node. The carried information consists of F1AP message encapsulated in SCTP/IP or F1-C related IP packet with or without SCTP encapsulation, see TS 38.472 [105] and TS 36.423 [x]. The RRC layer is transparent for this information.