**3GPP TSG-RAN WG2 Meeting #113e *R2-21xxxxx***

**Electronic Meeting, Jan 25-Feb 05, 2021**

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| *CR-Form-v12.1* |
| **CHANGE REQUEST** |
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|  | **38.331** | **CR** | **2401** | **rev** | **1** | **Current version:** | **16.3.1** |  |
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| *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:***  | Correction on complete message at handover from NR to EN-DC |
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| ***Source to WG:*** | Ericsson |
| ***Source to TSG:*** | R2 |
|  |  |
| ***Work item code:*** | TEI16 |  | ***Date:*** |  |
|  |  |  |  |  |
| ***Category:*** |  |  | ***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-15 (Release 15)Rel-16 (Release 16)Rel-17 (Release 17)Rel-18 (Release 18)* |
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| ***Reason for change:*** | CR 1948r1 ([R2-2008509](https://www.3gpp.org/ftp/TSG_RAN/WG2_RL2/TSGR2_111-e/Docs/R2-2008509.zip)) introduced missing procedure text for the transmission of RRCReconfigurationComplete for case of HO from NR to EN-DC.But the procedure text was introduced at a position for the case “UE in EN-DC”. This makes the existing procedure text confusing. At HO from NR to EN-DC, it could be understood UE will not be in EN-DC until after the procedure is completed. |
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| ***Summary of change:*** | In 5.3.5.3 Reception of an *RRCReconfiguration* by the UE:Clarification added that this is handover from NR standalone to (NG)EN-DC.**Impact Analysis**Impacted 5G architecture options: NR SA, (NG)EN-DC Impacted functionality: Handover from NR to EN-DCInter-operability:1. If the network is implemented according to the CR and the UE is not, UE will not transmit *RRCReconfigurationComplete* at HO from NR standalone to EN-DC. So the target SN will not know if UE received the *RRCReconfiguration.*2. If the UE is implemented according to the CR and the network is not, the UE will correctly transmit the *RRCReconfigurationComplete* message on NR, so there is no inter-operability issue. |
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| ***Consequences if not approved:*** | The UE requirement to submit *RRCReconfigurationComplete* during handover from NR to EN-DC is not correctly captured in the specification. |
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| ***Clauses affected:*** | 5.3.5.3 |
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|  | **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 ...  |
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| ***Other comments:*** |  |
|  |  |
| ***This CR's revision history:*** | This is a revision of R2-2101288. |

#### 5.3.5.3 Reception of an *RRCReconfiguration* by the UE

The UE shall perform the following actions upon reception of the *RRCReconfiguration,* or upon execution of the conditional reconfiguration (CHO or CPC):

1> if the *RRCReconfiguration* is applied due to a conditional reconfiguration execution upon cell selection while timer T311 is running, as defined in 5.3.7.3:

2> remove all the entries within *VarConditionalReconfig*, if any;

1> if the *RRCReconfiguration* includes the *daps-SourceRelease*:

2> reset the source MAC and release the source MAC configuration;

2> for each DAPS bearer:

3> release the RLC entity or entities as specified in TS 38.322 [4], clause 5.1.3, and the associated logical channel for the source SpCell;

3> reconfigure the PDCP entity to release DAPS as specified in TS 38.323 [5];

2> for each SRB:

3> release the PDCP entity for the source SpCell;

3> release the RLC entity as specified in TS 38.322 [4], clause 5.1.3, and the associated logical channel for the source SpCell;

2> release the physical channel configuration for the source SpCell;

2> discard the keys used in the source SpCell (the KgNB key, the KRRCenc key, the KRRCint key, the KUPint key and the KUPenc key), if any;

1> if the *RRCReconfiguration* is received via other RAT (i.e., inter-RAT handover to NR):

2> if the *RRCReconfiguration* does not include the *fullConfig* and the UE is connected to 5GC (i.e., delta signalling during intra 5GC handover):

3> re-use the source RAT SDAP and PDCP configurations if available (i.e., current SDAP/PDCP configurations for all RBs from source E-UTRA RAT prior to the reception of the inter-RAT HO *RRCReconfiguration* message);

1> else:

2> if the RRCReconfiguration includes the fullConfig:

3> perform the full configuration procedure as specified in 5.3.5.11;

1> if the *RRCReconfiguration* includes the *masterCellGroup*:

2> perform the cell group configuration for the received *masterCellGroup* according to 5.3.5.5;

1> if the *RRCReconfiguration* includes the *masterKeyUpdate*:

2> perform AS security key update procedure as specified in 5.3.5.7;

1> if the *RRCReconfiguration* includes the *sk-Counter*:

2> perform security key update procedure as specified in 5.3.5.7;

1> if the *RRCReconfiguration* includes the *secondaryCellGroup*:

2> perform the cell group configuration for the SCG according to 5.3.5.5;

1> if the *RRCReconfiguration* includes the *mrdc-SecondaryCellGroupConfig:*

2> if the *mrdc-SecondaryCellGroupConfig* is set to *setup*:

3> if the *mrdc-SecondaryCellGroupConfig* includes *mrdc-ReleaseAndAdd*:

4> perform MR-DC release as specified in clause 5.3.5.10;

3> if the received *mrdc-SecondaryCellGroup* is set to *nr-SCG*:

4> perform the RRC reconfiguration according to 5.3.5.3 for the *RRCReconfiguration* message included in *nr-SCG*;

3> if the received *mrdc-SecondaryCellGroup* is set to *eutra-SCG*:

4> perform the RRC connection reconfiguration as specified in TS 36.331 [10], clause 5.3.5.3 for the *RRCConnectionReconfiguration* message included in *eutra-SCG*;

2> else (*mrdc-SecondaryCellGroupConfig* is set to *release*):

3> perform MR-DC release as specified in clause 5.3.5.10;

1> if the *RRCReconfiguration* message includes the *radioBearerConfig*:

2> perform the radio bearer configuration according to 5.3.5.6;

1> if the *RRCReconfiguration* message includes the *radioBearerConfig2*:

2> perform the radio bearer configuration according to 5.3.5.6;

1> if the *RRCReconfiguration* message includes the *measConfig*:

2> perform the measurement configuration procedure as specified in 5.5.2;

1> if the *RRCReconfiguration* message includes the *dedicatedNAS-MessageList*:

2> forward each element of the *dedicatedNAS-MessageList* to upper layers in the same order as listed;

1> if the *RRCReconfiguration* message includes the *dedicatedSIB1-Delivery*:

2> perform the action upon reception of *SIB1* as specified in 5.2.2.4.2;

NOTE 0: If this *RRCReconfiguration* is associated to the MCG and includes *reconfigurationWithSync* in *spCellConfig* and *dedicatedSIB1-Delivery*, the UE initiates (if needed) the request to acquire required SIBs, according to clause 5.2.2.3.5, only after the random access procedure towards the target SpCell is completed.

1> if the *RRCReconfiguration* message includes the *dedicatedSystemInformationDelivery*:

2> perform the action upon reception of System Information as specified in 5.2.2.4;

1> if the *RRCReconfiguration* message includes the *dedicatedPosSysInfoDelivery*:

2> perform the action upon reception of the contained posSIB(s), as specified in sub-clause 5.2.2.4.16;

1> if the *RRCReconfiguration* message includes the *otherConfig*:

2> perform the other configuration procedure as specified in 5.3.5.9;

1> if the *RRCReconfiguration* message includes the *bap-Config*:

2> perform the BAP configuration procedure as specified in 5.3.5.12;

1> if the *RRCReconfiguration* message includes the *iab-IP-AddressConfigurationList*:

2> if *iab-IP-AddressToReleaseList* is included:

3> perform release of IP address as specified in 5.3.5.12a.1.1;

2> if *iab-IP-AddressToAddModList* is included:

3> perform IAB IP address addition/update as specified in 5.3.5.12a.1.2;

1> if the *RRCReconfiguration* message includes the *conditionalReconfiguration*:

2> perform conditional reconfiguration as specified in 5.3.5.13;

1> if the *RRCReconfiguration* message includes the *needForGapsConfigNR*:

2> if *needForGapsConfigNR* is set to *setup*:

3> consider itself to be configured to provide the measurement gap requirement information of NR target bands;

2> else:

3> consider itself not to be configured to provide the measurement gap requirement information of NR target bands;

1> if the *RRCReconfiguration* message includes the *sl-ConfigDedicatedNR*:

2> perform the sidelink dedicated configuration procedure as specified in 5.3.5.14;

NOTE 0a: If the *sl-ConfigDedicatedNR* was received embedded within an E-UTRA *RRCConnectionReconfiguration* message, the UE does not build an NR *RRCReconfigurationComplete* message for the received *sl-ConfigDedicatedNR*.

1> if the *RRCReconfiguration* message includes the *sl-ConfigDedicatedEUTRA-Info*:

2> perform related procedures for V2X sidelink communication in accordance with TS 36.331 [10], clause 5.3.10 and clause 5.5.2;

1> set the content of the *RRCReconfigurationComplete* message as follows:

2> if the *RRCReconfiguration* includes the *masterCellGroup* containing the *reportUplinkTxDirectCurrent*:

3> include the *uplinkTxDirectCurrentList* for each MCG serving cell with UL;

3> include *uplinkDirectCurrentBWP-SUL* for each MCG serving cell configured with SUL carrier, if any, within the *uplinkTxDirectCurrentList*;

2> if the *RRCReconfiguration* includes the *secondaryCellGroup* containing the *reportUplinkTxDirectCurrent*:

3> include the *uplinkTxDirectCurrentList* for each SCG serving cell with UL;

3> include *uplinkDirectCurrentBWP-SUL* for each SCG serving cell configured with SUL carrier, if any, within the *uplinkTxDirectCurrentList*;

2> if the *RRCReconfiguration* message includes the *mrdc-SecondaryCellGroupConfig* with *mrdc-SecondaryCellGroup* set to *eutra-SCG*:

3> include in the *eutra-SCG-Response* the E-UTRA *RRCConnectionReconfigurationComplete* message in accordance with TS 36.331 [10] clause 5.3.5.3;

2> if the *RRCReconfiguration* message includes the *mrdc-SecondaryCellGroupConfig* with *mrdc-SecondaryCellGroup* set to *nr-SCG*:

3> include in the *nr-SCG-Response* the *RRCReconfigurationComplete* message;

2> if the *RRCReconfiguration* message was included in an *RRCResume* message:

3> include the *RRCReconfigurationComplete* message in the *nr-SCG-Response* within the *scg-Response* in the *RRCResumeComplete* message;

2> if the *RRCReconfiguration* message was included in E-UTRA *RRCConnectionResume* message:

3> include the *RRCReconfigurationComplete* message in the E-UTRA MCG RRC message *RRCConnectionResumeComplete* in accordance with TS 36.331 [10], clause 5.3.3.4a;

2> if the UE has logged measurements available for NR and if the RPLMN is included in *plmn-IdentityList* stored in *VarLogMeasReport*:

3> include the *logMeasAvailable* in the *RRCReconfigurationComplete* message;

3> if Bluetooth measurement results are included in the logged measurements the UE has available for NR and if the RPLMN is included in *plmn-IdentityList* stored in *VarLogMeasReport*:

4> include the *logMeasAvailableBT* in the *RRCReconfigurationComplete* message;

3> if WLAN measurement results are included in the logged measurements the UE has available for NR and if the RPLMN is included in *plmn-IdentityList* stored in *VarLogMeasReport*:

4> include the *logMeasAvailableWLAN* in the *RRCReconfigurationComplete* message;

2> if the UE has connection establishment failure or connection resume failure information available in *VarConnEstFailReport* and if the RPLMN is equal to *plmn-Identity* stored in *VarConnEstFailReport*:

3> include *connEstFailInfoAvailable* in the *RRCReconfigurationComplete* message;

2> if the *RRCReconfiguration* message was received in response to the *MCGFailureInformation* message:

3> clear the information included in *VarRLF-Report,* if any;

2> if the UE has radio link failure or handover failure information available in *VarRLF-Report* and if the RPLMN is included in *plmn-IdentityList* stored in *VarRLF-Report*; or

2> if the UE has radio link failure or handover failure information available in *VarRLF-Report* of TS 36.331 [10] and if the UE is capable of cross-RAT RLF reporting and if the RPLMN is included in *plmn-IdentityList* stored in *VarRLF-Report* of TS 36.331 [10]:

3> include *rlf-InfoAvailable* in the *RRCReconfigurationComplete* message;

2> if the *RRCReconfiguration* message was received via SRB1, but not within *mrdc-SecondaryCellGroup* or E-UTRA *RRCConnectionReconfiguration* or E-UTRA *RRCConnectionResume*:

3> if the UE is configured to provide the measurement gap requirement information of NR target bands:

4> if the *RRCReconfiguration* message includes the *needForGapsConfigNR*; or

4> if the *NeedForGapsInfoNR* information is changed compared to last time the UE reported this information:

5> include the *NeedForGapsInfoNR* and set the contents as follows:

6> include *intraFreq-needForGap* and set the gap requirement information of intra-frequency measurement for each NR serving cell;

6> if *requestedTargetBandFilterNR* is configured, for each supported NR band that is also included in *requestedTargetBandFilterNR*, include an entry in *interFreq-needForGap* and set the gap requirement information for that band; otherwise, include an entry in *interFreq-needForGap* and set the corresponding gap requirement information for each supported NR band;

1> if the UE is configured with E-UTRA *nr-SecondaryCellGroupConfig* (UE in (NG)EN-DC):

2> if the *RRCReconfiguration* message was received via E-UTRA SRB1 as specified in TS 36.331 [10]; or

2> if the *RRCReconfiguration* message was received via E-UTRA RRC message *RRCConnectionReconfiguration* within *MobilityFromNRCommand* (handover from NR standalone to (NG)EN-DC);

3> if the *RRCReconfiguration* is applied due to a conditional reconfiguration execution:

4> submit the *RRCReconfigurationComplete* message via the E-UTRA MCG embedded in E-UTRA RRC message *ULInformationTransferMRDC* as specified in TS 36.331 [10], clause 5.6.2a.

3> else:

4> submit the *RRCReconfigurationComplete* via E-UTRA embedded in E-UTRA RRC message *RRCConnectionReconfigurationComplete* as specified in TS 36.331 [10], clause 5.3.5.3/5.3.5.4/5.4.2.3;

3> if *reconfigurationWithSync* was included in *spCellConfig* of an SCG:

4> initiate the Random Access procedure on the SpCell, as specified in TS 38.321 [3];

3> else:

4> the procedure ends;

2> if the *RRCReconfiguration* message was received within *nr-SecondaryCellGroupConfig* in *RRCConnectionReconfiguration* message received via SRB3 within *DLInformationTransferMRDC*:

3> submit the *RRCReconfigurationComplete* via E-UTRA embedded in E-UTRA RRC message *RRCConnectionReconfigurationComplete* as specified in TS 36.331 [10], clause 5.3.5.3/5.3.5.4;

3> if *reconfigurationWithSync* was included in *spCellConfig* of an SCG:

4> initiate the Random Access procedure on the SpCell, as specified in TS 38.321 [3];

3> else:

4> the procedure ends;

NOTE 1: The order the UE sends the *RRCConnectionReconfigurationComplete* message and performs the Random Access procedure towards the SCG is left to UE implementation.

2> else (*RRCReconfiguration* was received via SRB3) but not within *DLInformationTransferMRDC*:

3> submit the *RRCReconfigurationComplete* message via SRB3 to lower layers for transmission using the new configuration;

NOTE 2: In (NG)EN-DC and NR-DC, in the case *RRCReconfiguration* is received via SRB1 or within *DLInformationTransferMRDC* via SRB3, the random access is triggered by RRC layer itself as there is not necessarily other UL transmission. In the case *RRCReconfiguration* is received via SRB3 but not within *DLInformationTransferMRDC*, the random access is triggered by the MAC layer due to arrival of *RRCReconfigurationComplete*.

1> else if the *RRCReconfiguration* message was received via SRB1 within the *nr-SCG* within *mrdc-SecondaryCellGroup* (UE in NR-DC, *mrdc-SecondaryCellGroup* was received in *RRCReconfiguration* or *RRCResume* via SRB1):

2> if the *RRCReconfiguration* is applied due to a conditional reconfiguration execution:

3> submit the *RRCReconfigurationComplete* message via the NR MCG embedded in NR RRC message *ULInformationTransferMRDC* as specified in clause 5.7.2a.3.

2> if *reconfigurationWithSync* was included in *spCellConfig* in *nr-SCG*:

3> initiate the Random Access procedure on the PSCell, as specified in TS 38.321 [3];

2> else

3> the procedure ends;

NOTE 2a: The order in which the UE sends the *RRCReconfigurationComplete* message and performs the Random Access procedure towards the SCG is left to UE implementation.

1> else if the *RRCReconfiguration* message was received via SRB3 (UE in NR-DC):

2> if the *RRCReconfiguration* message was received within *DLInformationTransferMRDC*:

3> if the *RRCReconfiguration* message was received within the *nr-SCG* within *mrdc-SecondaryCellGroup* (NR SCG RRC Reconfiguration):

4> if *reconfigurationWithSync* was included in *spCellConfig* in *nr-SCG*:

5> initiate the Random Access procedure on the PSCell, as specified in TS 38.321 [3];

4> else:

5> the procedure ends;

3> else:

4> submit the *RRCReconfigurationComplete* message via SRB1 to lower layers for transmission using the new configuration;

2> else:

3> submit the *RRCReconfigurationComplete* message via SRB3 to lower layers for transmission using the new configuration;

1> else(*RRCReconfiguration* was received via SRB1):

2> submit the *RRCReconfigurationComplete* message via SRB1 to lower layers for transmission using the new configuration;

2> if this is the first *RRCReconfiguration* message after successful completion of the RRC re-establishment procedure:

3> resume SRB2 and DRBs that are suspended;

1> if *reconfigurationWithSync* was included in *spCellConfig* of an MCG or SCG, and when MAC of an NR cell group successfully completes a Random Access procedure triggered above:

2> stop timer T304 for that cell group;

2> stop timer T310 for source SpCell if running;

2> apply the parts of the CSI reporting configuration, the scheduling request configuration and the sounding RS configuration that do not require the UE to know the SFN of the respective target SpCell, if any;

2> apply the parts of the measurement and the radio resource configuration that require the UE to know the SFN of the respective target SpCell (e.g. measurement gaps, periodic CQI reporting, scheduling request configuration, sounding RS configuration), if any, upon acquiring the SFN of that target SpCell;

2> for each DRB configured as DAPS bearer, request uplink data switching to the PDCP entity, as specified in TS 38.323 [5];

2> if the *reconfigurationWithSync* was included in *spCellConfig* of an MCG:

3> if T390 is running:

4> stop timer T390 for all access categories;

4> perform the actions as specified in 5.3.14.4.

3> if T350 is running:

4> stop timer T350;

3> if *RRCReconfiguration* does not include *dedicatedSIB1-Delivery* and

3> if the active downlink BWP, which is indicated by the *firstActiveDownlinkBWP-Id* for the target SpCell of the MCG, has a common search space configured by *searchSpaceSIB1*:

4> acquire the *SIB1*, which is scheduled as specified in TS 38.213 [13], of the target SpCell of the MCG;

4> upon acquiring *SIB1*, perform the actions specified in clause 5.2.2.4.2;

2> if the *reconfigurationWithSync* was included in *spCellConfig* of an MCG; or:

2> if the *reconfigurationWithSync* was included in *spCellConfig* of an SCG and the CPC was configured

3> remove all the entries within *VarConditionalReconfig*, if any;

3> for each *measId* of the source SpCell configuration, if the associated *reportConfig* has a *reportType* set to *condTriggerConfig*:

4> for the associated *reportConfigId*:

5> remove the entry with the matching *reportConfigId* from the *reportConfigList* within the *VarMeasConfig*;

4> if the associated *measObjectId* is only associated to a *reportConfig* with *reportType* set to *condTriggerConfig*:

5> remove the entry with the matching *measObjectId* from the *measObjectList* within the *VarMeasConfig*;

4> remove the entry with the matching *measId* from the *measIdList* within the *VarMeasConfig*;

2> if *reconfigurationWithSync* was included in *masterCellGroup* or *secondaryCellGroup*; and

2> if the UE initiated transmission of a *UEAssistanceInformation* message for the corresponding cell group during the last 1 second, and the UE is still configured to provide the concerned UE assistance information for the corresponding cell group:

3> initiate transmission of a *UEAssistanceInformation* message for the corresponding cell group in accordance with clause 5.7.4.3 to provide the concerned UE assistance information;

3> start or restart the prohibit timer (if exists) associated with the concerned UE assistance information with the timer value set to the value in corresponding configuration;

2> if *SIB12* is provided by the target PCell; and the UE initiated transmission of a *SidelinkUEInformationNR* message indicating a change of NR sidelink communication related parameters relevant in target PCell (i.e. change of *sl-RxInterestedFreqList* or *sl-TxResourceReqList*) during the last 1 second preceding reception of the *RRCReconfiguration* message including *reconfigurationWithSync* in *spCellConfig* of an MCG:

3> initiate transmission of the *SidelinkUEInformationNR* message in accordance with 5.8.3.3;

2> the procedure ends.

NOTE 3: The UE is only required to acquire broadcasted *SIB1* if the UE can acquire it without disrupting unicast data reception, i.e. the broadcast and unicast beams are quasi co-located.

NOTE 4: The UE sets the content of *UEAssistanceInformation* according to latest configuration (i.e. the configuration after applying the *RRCReconfiguration* message) and latest UE preference. The UE may include more than the concerned UE assistance information within the *UEAssistanceInformation* according to 5.7.4.2. Therefore, the content of *UEAssistanceInformation* message might not be the same as the content of the previous *UEAssistanceInformation* message.